

Index of Governance and Public Policy in Disaster Risk Management (iGOPP)

Application Protocol

Sergio Lacambra
Cassandra Rogers
Ginés Suarez
Tsuneki Hori
Lina P. Salazar
Maricarmen Esquivel
Lizardo Narváez
Omar Darío Cardona
Rolando Durán
Ana Maria Torres
Ernesto Visconti

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Contacts: Sergio Lacambra (slacambra@iadb.org); Tsuneki Hori (tsunekih@iadb.org);
Ginés Suarez (giness@iadb.org)

This document was prepared by:

The IDB specialists in Disaster Risk Management: Sergio Lacambra (Team Leader), Ginés Suárez, Tsuneki Hori and Cassandra Rogers.

The IDB economists: Lina P. Salazar

The IDB specialist in Climate Change Adaptation: Maricarmen Esquivel

The external consultants in Risk Management and Climate Change Adaptation: Lizardo Narváez, Omar Darío Cardona, Rolando Durán and Ana María Torres.

For regulatory issues and indicators review from a legal point of view, we had the assessment of a lawyer specialized in Disaster Risk management legal frameworks: Ernesto Visconti.

For the Governance focus, we had the assessment of Xavier Ballart, Professor of Political Sciences and Administration from the Governance and Public Policy Institute (Autonomous University of Barcelona).

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Presentation:

The protocol describes in detail the necessary steps for the measurement of indicators, including the information to be compile, the assessment process, recommendations and examples based on the application conducted, as well as on the experiences of other countries in the Region. Additionally, the protocol contains some hypothetical examples with situations that could be found in the countries and suggestions on options to collect information in different contexts.

Also, in order to adapt its methodology and indicator assessment process, this protocol is sensitive to those legal/constitutional differences that lead to models with various degrees of federalism and centralism.

Objective of the application protocol:

Describe the objective elements that must be verified in each country in order to meet the positive condition (minimum required) for each iGOPP indicator.

Organization of the application protocol:

The document is organized by the code of each iGOPP indicator, starting with GF, followed by RI, RR, DP, RC and FP. Each indicator is briefly described and recommendations and guidelines for proper application are presented.

Abbreviations used in this document:

CC	Climate Change
CCA	Climate Change Adaptation
DRM	Disaster Risk Management
EAL	Expected Annual Loss
FP	Financial Protection (Index component)
GF	General Framework of Governance for DRM (Index component)
IDB	Inter-American Development Bank
IPCC	Intergovernmental Panel on Climate Change
LEC	Loss Exceedance Curve
MPL	Maximum Potential Loss Panel on Climate Change
PBL	Policy-Based Loan
PRP	Pure Risk Premium
RC	Post-disaster Recovery Planning (Index component)
RI	Risk Identification and Knowledge (Index component)
DP	Disaster Preparedness (Index component)
RR	Disaster Risk Reduction (Index component)

Glossary:

1. **Adaptation (Climatic Change Adaptation)⁺**: In human systems, the process of adjustment to the real or projected climate and its effects, in order to mitigate the damages or take advantage of the beneficial opportunities. In natural systems, the process of adjustment to real climate and its effects; human intervention can facilitate adjustment to the projected climate.

NOTE: In the case of hydrometeorological events “*Climate Change Adaptation*” corresponds to disaster risk management insofar as it is aimed at reducing vulnerability or improving resilience in response to the observed or anticipated changes in the climate and its variability.” (See the chapter on basic guidelines, relationship between disaster risk management and climate change adaptation).

2. **Hazard⁺⁺**: Latent danger represented by the probable manifestation of a physical phenomenon of natural, socio-natural or anthropogenic origin, that is anticipated to generate adverse effects on people, production, infrastructure and assets and services. It is a factor of external physical risk to an element or group of exposed

social elements, which is expressed as the probability that an event will occur with certain intensity, in a specific location and within a defined period of time¹.

3. **Risk Analysis (Evaluation)⁺⁺**: In its simplest form, it is the hypothesis that risk is a combination of the hazard and the vulnerability of the exposed elements, with the aim of determining the possible social, economic and environmental effects and consequences associated with one or several dangerous phenomena in a territory and with reference to specific social and economic groups or units. Changes in one or more of these parameters modify the risk itself, that is to say, the total anticipated losses and consequences in a certain area. The analysis of hazards and vulnerabilities constitute facets of risk analysis and ought to be articulated with this purpose and not comprise separate and independent activities.
4. **Assets of the State's Fiscal Responsibility⁺⁺⁺⁺**: A portfolio of exposed elements that includes public assets and in some cases the assets of the low-income population², that is to say, the assets the government would cover or pay to replace.
5. **Climate Change⁺**: A change in the state of the climate that can be identified (for example, through statistical tests) by changes in the average value of its properties and/or by their variability, and that persists for long periods of time, generally for decades or longer periods. Climate change can be due to natural internal processes, external forces or persistent anthropogenic changes in the composition of the Earth's atmosphere or in land use.
6. **Loss Exceedance Curve (LEC)⁺⁺⁺⁺**: The LEC represents the annual frequency whereupon a determined economic loss will be exceeded. It is the most important and strongest measurement of risk, since it provides basic information for the planning and appropriation of the resources necessary to fulfil particular management objectives. The LEC can be calculated based on the greatest probable event of a year or uniformly for all possible events, based on their

¹ This document only considers hazards of natural origin, including slow-onset events.

² The assets of the low-income population are often implicitly included as assets of the state's fiscal responsibility, however certain countries may exclude these assets or may explicitly include them.

recurrence interval. The latter approach is preferred, given that it allows for considering more than one disaster event per year.

7. **Disaster⁺⁺**: A situation or social process triggered by the manifestation of a phenomenon of natural, socio-natural or anthropic origin that, when combined with conditions of vulnerability in a population and its productive structure and infrastructure, causes an intense, serious and extended disruption of the normal functioning of the affected country, region, area or community, which, in many cases, cannot be addressed or solved independently using the resources available to the directly-affected social unit. These disruptions take on diverse and differentiated forms, and are represented by the loss of life and health of the population; the total or partial destruction, loss or disablement of assets of the community or individuals; and by severe environmental damages; requiring an immediate response by the authorities and the population to help the affected community and restore acceptable thresholds of well-being and life opportunities.
8. **Emergency⁺⁺**: The state directly related to the occurrence of a dangerous physical phenomenon or the imminence of one, which requires an immediate reaction and the assistance of the State institutions, the media and the general community. When an event is imminent, there may be confusion, chaos, uncertainty and disorientation among the population. The phase immediately following the impact is characterized by the intense and severe alteration or interruption of the normal functioning or operating of a community, area or region and the minimum conditions necessary for the survival and functioning of the affected social unit. It constitutes a phase or component of a disaster but is not, per se, a substitute notion of disaster. There may be emergency conditions without having a disaster.
9. **Exposure⁺**: The presence of people; livelihoods; environmental services and resources; infrastructure; or economic, social or cultural assets in areas that could be negatively affected.
10. **Disaster Risk Management⁺**: Processes to design, apply and evaluate strategies, policies and measures aimed at: improving the understanding of disaster risks, fostering risk reduction and financial protection from disaster risks, and

promoting the continuous improvement of preparedness, response and recovery practices, with the explicit objective of increasing human security, well-being, quality of life, resilience and sustainable development.

NOTE: Risk management constitutes a development policy that is indispensable for ensuring territorial sustainability and security and collective rights and interests, and is therefore intrinsically associated to safe development planning and sustainable territorial environmental management in all levels of government.

11. **Emergency Management (Disaster Management)⁺⁺**: The organization and management of resources and responsibilities for handling all aspects of emergencies, particularly preparedness, response and rehabilitation. Emergency management includes plans, structures and agreements that involve the efforts of the government and volunteer and private organizations in a coordinated and comprehensive manner in order to respond to all the needs associated with an emergency. The concept of emergency management is also known as "disaster management."
12. **Governance**: the capacity of societies to guide and organize their public and social institutions so that they can provide the people with more and better opportunities for living the lives they value, including them in the decisions that affect them (UNDP).
13. **Disaster Risk Identification**: The disaster risk management process focused on the knowledge of the origins, causes, scope, frequency and possible evolution, among other aspects, of the potentially dangerous phenomena, as well as of the location, causes, evolution and resistance and recovery capacity of the exposed socioeconomic elements. This process includes the preliminary analysis of consequences and contains both objective and scientific interpretations as well as social and individual perceptions.
14. **Vital Facilities⁺⁺⁺**: The physical structures, technical facilities and main systems that are socially, economically or operationally essential for the functioning of a society or community, both in normal circumstances and during extreme

circumstances due to an emergency. Comment: Vital facilities are elements of the infrastructure that support a society's essential services. They include transportation systems; airports and maritime ports; electric, water supply and communications systems; hospitals and health clinics; fire and police department services; and public administration services.

15. **Critical Infrastructure:** See Vital Facilities.
16. **Financial Protection Instruments⁺⁺⁺:** Financial instruments for the occurrence of disasters; they are classified as ex-ante instruments, such as reserves, contingent credits and ex-post risk transfer instruments, such as budgetary reassignment, tax increases and debt contracting.
17. **Financial Instruments/Financial Products⁺⁺⁺⁺⁺⁺:** Fund transfer instruments between economic agents characterized by their liquidity, risk and profit. It is a way to conserve wealth for those who have it (investors) and a liability for those who generate them. These assets can be transmitted from some economic units to others, and there are even derived financial products.
18. **Corrective Management (Intervention)⁺⁺:** A process aimed at reducing the existing risk levels in a society or subcomponent of society, the product of historical processes of territorial occupation, of heightened production and of the construction of infrastructure and buildings, among other things. It reacts to, and compensates for, pre-existing risk in the society. Examples of corrective management actions or instruments include the construction of dams to protect populations located in flood zones; the structural reinforcement of buildings to equip them with adequate levels of protection against earthquakes or hurricanes; changes in the pattern of crop adaptation to adverse environmental conditions; reforestation; or recovery of basins to diminish processes of erosion, landslides and flooding.

NOTE: The concept of risk mitigation (reduction) is related to corrective management (intervention).

19. **Prospective Management (Intervention)⁺⁺**: A process used to anticipate (forecast) a risk that could occur in association with new processes of development and investment, taking measures to guarantee that new risk conditions do not arise with location, construction, production, circulation and commercialization initiatives, among others. The prospective management should be viewed as an integral component of development planning and of the planning cycle of new projects, whether developed by the government, private sector or civil society. The last objective of this type of management is to avoid new risks, guarantee adequate levels of investment sustainability, and as a result, avoid having to apply expensive corrective management measures in the future.
20. **Disaster Handling**: See Emergency Management or Disaster Management
21. **Medium-Term Expenditure Framework⁺⁺⁺⁺⁺**: It contains the projections of the main sectorial priorities and the maximum levels of expenditure, distributed by sectors and expenditure components from the National General Budget for the period of government and is reviewed annually.
22. **Levels of Government**: It includes central government, autonomous and decentralized entities, state companies, local and regional governments, and the sectors and ministries.
23. **Territorial Levels**: It includes the local, municipal, cantonal, parochial, district, departmental, regional, state or provincial, depending on the administrative political divisions of each country.
24. **Contingent Liability⁺⁺⁺⁺⁺⁺**: Traditional liabilities are characterized because the conditions that determine the value of the contracted obligations are known, unlike contingent liabilities whose value is dependent on the occurrence of future and uncertain events
25. **Parameters and Guidelines**: This refers to the instructions that may or may not be obligatory and that establish standards on the best practices for performing an activity that falls under the responsibility of a specific organization or institution.

26. **Annualized Loss Expectancy (ALE)⁺⁺⁺⁺⁺**: The ALE is calculated as the product of the anticipated losses for a determined event and the rate of occurrence of said event in a period of one year and for all stochastic events considered. In probabilistic terms, the ALE is the mathematical anticipation of annual loss.
27. **Probable Maximum Loss (PML)⁺⁺⁺⁺⁺**: The PML represents a level of loss for an anticipated exceedance. Depending on the capacity of a country, region or entity for risk management, it is possible to choose to intervene in the potential losses until an appropriate determined return period.
28. **Risk Management Plan⁺⁺**: Coherent and organized set of strategies, programs and projects that are developed to guide the risk reduction (mitigation), prevention, forecast and monitoring activities, as well as the recovery in the event of disaster. It offers the global and integrated framework, the details of global policies and the existing hierarchical and coordination levels for the development of specific, sectorial, thematic or territorial plans related to the different aspects of risk and disaster. By guaranteeing adequate conditions of security in the face of the diverse existing risks and by diminishing the potential material losses and social consequences that derived from disasters, the population's quality of life is maintained and sustainability is increased.
29. **Emergency Plan⁺⁺**: Determination of the general functions, responsibilities and procedures for institutional response and alert, resource inventory, coordination of operational activities and simulation for training, with the aim of safeguarding life, protecting assets and returning normalcy to society as soon as possible after a dangerous phenomenon occurs. It involves a regulatory proposal for the organization of assets, people, services and resources available for handling the disaster, based on risk evaluation, the availability of material and human resources, community preparedness, local and international response capacity, etc. It determines the hierarchical and functional structure of the authorities and bodies called to intervene and it establishes the coordination system among the public and private institutions, resources and media needed to fulfill the proposed objective.

30. **Contingency Plan:** These are alternative procedures of immediate response, whose aim is to enable a company's normal operations, even though some of its functions have been damaged by an internal or external accident.
31. **Business Continuity Plan**⁺⁺⁺⁺⁺⁺: Its aim is to analyze the entity's vulnerabilities in order to create and validate logistics plans to prepare the organization to recover and restore its critical functions that have been partially or totally interrupted after a disaster, in such a way that its mission is not endangered and the resilience of the organization is improved. A Business Continuity Plan, unlike a Contingency Plan, is aimed at maintaining the business of the organization, with which it will prioritize the business operations that are necessary in order to continue after an unplanned incident. A Business Continuity Plan includes a Contingency Plan.
32. **Response Preparedness (Preparations):** A disaster risk management process whose objective is to plan, organize and test a society's response procedures and protocols in the event of disaster, guaranteeing adequate and timely assistance to the people affected, as well as the re-establishment of the indispensable basic services, thus normalizing activities in the area affected by the disaster. Preparation is achieved through the monitoring of events and determination of risk scenarios, as well as the planning, organization, training, resources and simulation for alert, evacuation, search, rescue, aid, and humanitarian assistance activities that must be performed in the event of emergency and the subsequent physical, economic and social recovery activities.
33. **Risk Prevention**⁺⁺: Measures and actions taken in advance in order to prevent new risks or impede their development and strengthening. This means working around latent hazards and vulnerabilities. Viewed in this way, risk prevention falls under Prospective Risk Management. Since absolute prevention is rarely possible, prevention has a semi-utopic connotation and should be viewed in the light of what is considered to be acceptable risk, which is socially determined at its levels.

34. **Pure Risk Premium (PRP)⁺⁺⁺⁺**: The PRP corresponds to the value of the ALE divided by the replacement value of the asset. It indicates the cost that must be paid annually to cover the losses anticipated in the future.
35. **Financial Protection⁺⁺⁺**: This is the optimal combination of financial mechanisms or instruments for risk retention and transfer in order to have ex-post access to timely economic resources, which improves the response capacity in the event of disasters (smaller and recurrent events and large infrequent disasters) and protects the fiscal balance of the State.
36. **Recovery⁺⁺**: Process to re-establish acceptable and sustainable life conditions through the rehabilitation, repair or reconstruction of infrastructure, assets and services that were destroyed, interrupted or deteriorated in the affected area, and the reactivation of or boost to the economic and social development of the community under conditions of lower risk than their pre-disaster levels.
37. **Disaster Risk Reduction⁺**: The disaster risk management process focused on minimizing vulnerabilities and risks in a society, to avoid (prevention) or limit (mitigation) the adverse impact of hazards, within the broad context of sustainable development.
38. **Re-establishment**: Stage of recovery that corresponds to the re-establishment of the indispensable vital services that have been interrupted or deteriorated by the disaster. It is a temporary stage or situation in which the population is still being aided, but during which there is a re-establishment of the vital lines, such as energy, water, roads and communications, and other basic services like health and the provision of food and supplies.
39. **Reconstruction**: Stage of recovery that corresponds to the process of restitution and reinforcement of the constructions affected and to the repair of the physical damage to buildings, infrastructure and production centers after a disaster.
40. **Resilience⁺**: The ability of a system and its components to anticipate, absorb, adapt or recover from the effects of a dangerous phenomenon, in a timely and

efficient manner, even safeguarding the conservation, restoration or improvement of its essential basic structures and functions.

41. **Response⁺⁺**: Stage of assistance that corresponds to the execution of the actions planned in the preparedness stage which, in some cases, have already been preceded by registration and mobilization activities, motivated by the declaration of different states of alert. It corresponds to the immediate reaction for timely assistance to the population.
42. **Disaster Risk⁺**: The probability that, during a specific period of time, serious interruptions of the normal functioning of a community or society due to the dangerous physical phenomena will take place that interact with vulnerable social conditions, hence giving rise to widespread adverse human, material and economic or environmental effects requiring an immediate emergency response in order to satisfy the essential human needs, and which may require external support for recovery.
43. **Subsidiarity (Principle of)**: In its broadest definition, it means that a matter must be solved by the (regulatory, political or economic) authority that is closest to the object of the problem.
44. **Vulnerability⁺⁺**: Internal risk factor of an element or group of elements exposed to a hazard. It corresponds to the physical, economic, political or social predisposition or susceptibility of a community to being affected or undergo adverse effects in the event that a dangerous phenomenon of natural, socio-natural or anthropogenic origin occurs. It also represents the conditions that prevent or hinder subsequent autonomous recovery. The differences of vulnerability of the social and material context before a dangerous phenomenon determine the selective character of the severity of their effects. It is a system of conditions and processes resulting from physical, social, economic and environmental factors that increase the susceptibility of a community to the impact of the hazards.
45. **Territorial Management Units**: Local and regional governments in their different forms of administrative political organization.

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General aspects

a. Regarding the concept of regulations.

The explanation or argument justifying the positive response for each indicator should be based on legal standards that were formally approved by a competent body as related to the issue and jurisdiction in question. For this purpose, the regulations in question should (i) be in force during the collection of information and prior to the submission of iGOPP conclusions, and **(ii) should be permanent, i.e., their existence should not be determined by the lifespan of the project or the responsibility of those who issued it. Rather, it should last until, per previously established procedures, it is replaced by new regulations or meets the originally established conditions for it to no longer be valid.**

The verifiers per excellence is the principal law or the law on the issue, and those other related or supplementary laws and, as appropriate, the regulations of the sector (based on their validity and importance for defining the sector mandate or intersectorial aspect), although sector plans, policies and administrative standards may also be accepted, pending strict review of their entry into force, permanence and validity.

With regard to sector plans, those that have been approved to be binding or required for the sector and are in force but whose validity does not exceed a governance period, may be used as verifiers for questions such as *does the transportation sector have a National Emergency Plan or contingency plan or continuity of operations plan or equivalent that was formally approved within the last 5 years (...)* that are included in the DP component.

b. Regarding the indicator compliance date.

Situations that may be found and how to assign compliance dates

With regard to *indicators related to regulations* (hypothetical examples provided):

1. *A country has a legal framework that met the analyzed condition, but this legal framework was modified and the current framework also meets the condition.* For example, a country has a 1990 DRM legal framework and this legal framework fully meets the conditions of the indicator in question, then this date is the one that should be used as compliance date (1990). If this legal framework is subsequently modified and the new legal framework continues to meet the condition, this modification of the legal framework that continues to meet the condition should be noted in the comments box. In this case, both verifiers would have to be uploaded: the 1990 regulations and the current version.
2. *A country has a legal framework that meets the analyzed condition but this legal framework was modified and the new legal framework does not meet the condition.* This case is highly unlikely, but the response should be that it does not comply, although it should be noted in the comments that it did comply within the first legal framework, including the date. No verifier is uploaded.

3. *A country complies with the most recent legal framework, although it has progress with previous legal frameworks.* In this country, the 1990 DRM legal framework *almost meets* the condition, but does not do so fully. It is not until the legal framework of, say, 2010, is met, which replaces 1990, that the condition will be fully met. The compliance date and verifier is 2010, although it is up to the iGOPP implementer whether to mention the progress and near-compliance with 1990 in the comments.
4. *A country complies with the sum of various legal frameworks from various dates.* In this country, the 1990 DRM legal framework partially meets the condition, but not fully. It is not until the legal framework of, say, 2010, is met, which supplements 1990, that the condition will be fully met. The compliance date is 2010, but the verifiers that should be included are those from 1990 and 2010, as it is the sum of both that leads to compliance. The comments should mention the progress and how the frameworks from both dates complement each other and lead to compliance.

In the indicators that combine plan and budget aspects, such as *does the transportation sector (or equivalent) have a National Emergency Plan or contingency plan or continuity or operations plan or equivalent that was formally approved within the last 5 years?*, and *has its guiding or coordinating office received resources for disaster preparation within the last fiscal period?*, and that appear in the DP component, the date when the plan was approved should be listed as the compliance date and not the date when the budget was granted.

In the case of indicators related to *budget availability*, these criteria do not apply and only the most recent date of compliance within the timeframe established by the question should be mentioned.

c. Explanation of the verifiers in the application matrix

In the event that the indicator is found to be compliant:

In the box corresponding to the indicator in the "Explanation of verifiers" column, and given that are the verifiers that give substance to each argumentation, the text should always open with the name of the principal verifier, which should be described using its full name or title (avoid the use of abbreviations, apocopes or other similar item), meaning how it appears in the corresponding official body, as well as its publication date, entry into force, dissemination, etc. Example: *"The General Civil Protection Act, published in the Official Gazette of the Federation on June 12, 2012 (MG-1A-5a), establishes in Article 7 that..."* Any supplementary or related verifiers will be included in the same format, as applicable.

Once the articles (if it is a regulation) or the summary regarding the argument put forth (if a diverse document) in the verifiers are transcribed, a short, concise and cogent explanation of how this information allows for compliance with the hypothesis contained in the indicators. After the main explanation, comments can be included regarding any additional items considered relevant in a separate paragraph (such as

other related laws that do not verify compliance). We recommend not expanding into items that do not help explain condition compliance for the sake of clarity.

In the "verifiers and route" column box, include those verifiers that justify compliance with the condition, but only those, and no other verifiers that could have been discussed for informational purposes. For this, write the full name of the verifiers, the date published and the code assigned to it in the repository. For example:
General Civil Protection Act, June 12, 2012, MG-1A-5a.

It is important to mention the year of each document both in the "verifiers explanation" column and the "verifiers and route" column in order to contrast this date with the date in the compliance year column. Example:

Question	Yes/No	Year	Explanation of Verifiers	Verifiers and Route
RC-1A-3 Are there regulations that establish institutional plans for coordinating post-disaster reconstruction?	1	2010	The General Civil Protection Act, published June 6, 2012 (RC-1A-3a), defines what is a disaster (article 2, section XVI) and a declaration of disaster (articles 7, section IV, and 19, section XI). Then in Chapter XII "On Financial Instruments for Risk Management," it establishes a financial management regime and, for the same, sets the sine qua non requirements to issue a disaster condition declaration in order to access the disaster fund resources. The foregoing is a standard process that permanently repeats. In this chapter, Article 63 establishes that the regulation of procedures is subject to administrative regulations, meaning the General Rules of the FONDEN (RC-1A-3b) and the Specific Operational Guidelines of the FONDEN (RC-1A-3c).	<p>General Civil Protection Act, June 6, 2012 RC-1A-3a.pdf</p> <p>FONDEN General Rules, December 2010 RC-1A-3b.pdf</p> <p>FONDEN Operational Guidelines, January 2011 RC-1A-3c.pdf</p>

In the event it is found that the indicator is not met:

In the corresponding box for the indicator in the "Explanation of verifiers" column, describe the steps, laws analyzed and interviews held that led to the conclusion that the indicator is not met. Any difficulties accessing information that prevented verification of compliance with the indicator can also be mentioned. The text should be concise. Always include dates and codes for the laws or legal instruments analyzed so as to improve clarity.

The "verifiers and route" column box will be left blank, no verifiers will be included.
Example:

Question	Yes/No	Year	Explanation of Verifiers	Verifiers and Route
Are there regulations that establish that studies of the threat of climate or hydrological events should consider the frequency of occurrence associated with the levels of intensity of said events?	0	N/A	The SENAMHI (within the Ministry of the Environment) was created through Legal Decree No. 17532 of 1969. The SENAMHI Organic Law is Law 24031 of 1984. Article 4 lists the responsibilities of this body. It is clear that it is responsible for conducting climate studies in the country, although it is not specified that they have to be threat studies as such (literally in the standard), nor does it explicitly state that studies should consider the frequency of occurrence associated with the levels of intensity of the events.	Not Applicable

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Closed-Ended Question
1. Are there national regulations which establish a responsibility framework on disaster risk management for all Government levels?
General description of indicator
<p>This refers to the legal framework of the system or structure, either national or federal, that provides the attributions and competencies related to Disaster Risk Management (DRM) processes, as well as those necessary to implement its parts or elements, including at different levels of government.</p> <p>These regulations can be found in a single law or in a set of laws. What's important is to recognize or "reward" those countries that have integrated actions related to prospective and corrective risk management into their legislation. A country that only has a regulatory framework for "<i>ex-post</i>" actions or reactive management would not comply with the minimum required condition for this indicator for a positive response.</p> <p>There needs to be a clear understanding of the DRM conceptual framework and an analysis of the political/administrative division or organization of the country. The distinct levels of government are defined in the glossary.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of specific national regulations that regulates DRM. 2. Verify if said regulation concretely establish the concept of DRM in a comprehensive fashion. See "DRM processes" in the glossary to confirm if the concept established in the standard is comprehensive or to identify if the standard refers to processes related to prospective, corrective and reactive management. 3. Verify if said specific regulations define responsibilities for all levels of government (see glossary) with regard to DRM.
Description of the minimum required situation for positive conditions
To respond positively to this question, the two established conditions need to be met: (1) the national regulations should include comprehensive risk management, integrating all risk management processes and (2) should establish responsibilities at all levels of government .
Examples of positive conditions in countries in the Region
<p>Possible verifiers: in this question, like all the other GF1 indicators, the principal verifier will be the actual national risk management law, civil protection law or main regulation that regulates these processes. However, it is important to consider that this involves looking at all the regulations and not exclusively at one law. Therefore, other items such as regulations, administrative standards, protocols, specific decrees, etc., as long as they are binding, may serve as verifiers.</p> <p>Examples:</p> <p>Peru: Law No. 29664 of February 8, 2011, which creates the National Disaster Risk Management System (SINAGERD), establishes in article 2 that DRM is obligatory in terms of application and compliance "<i>...for all public entities and businesses at all levels of government.</i>" Additionally, article 6, item 2 defines the "<i>...disaster risk management processes.</i>"</p> <p>Colombia: Law 1523 of 2012, through which the national DRM policy is adopted and the National Disaster Risk Management System is established and other provisions are issued, and which establishes in Article 2 that "<i>Risk management is the responsibility of all authorities and inhabitants in Colombian territories... In accordance with this responsibility, public, private and community entities shall develop and execute risk management processes, understood as: risk awareness, risk reduction and disaster management, within the framework of their competencies, their area of operation and jurisdiction, as part of the National Disaster Risk Management System.</i>"</p>

Closed-Ended Question
2. Are there Policy tools for the implementation of national regulations on Disaster Risk Management?
General description of indicator
<p>It is possible that the national regulations propose DRM issues in a very general fashion and that the more specific aspects are considered in norms of a lower status, such as regulations, administrative standards, decrees, strategies or plans, etc., depending on the country in question. However, it is possible that the DRM legal framework be reduced in size and not discuss the various tools for implementation and thus create legal voids, leading to inoperability or limited operability with regard to the responsible authorities. It is therefore considered an indicator of quality that it be clearly regulated which political, strategic, technical, operational, budgetary or any other tool that are necessary to comply with the law.</p> <p>Some tools can be: a national DRM policy, a national DRM plan or program, a national emergency plan, a national DRM information system or a national financial protection strategy (or similar item), a national fund or DRM financial tools, among others.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of specific national regulations to regulate DRM. 2. Verify if policy tools are considered for DRM implementation. 3. Confirm if the regulations (Law or tool that determines DRM competencies or responsibilities) establishes tools for their implementation or, if not, it should be looked for in other lower-level regulatory texts.
Description of the minimum required situation for positive conditions
<p>In order for this question's condition to be met, the regulations should explicitly state that application tools should be established or at least list the minimum tools.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: Law 1523 of 2012 (April 24), in Chapter III, entitled Planning Tools, explicitly establishes the mandate to create a series of tools with a clear identification of responsibilities (examples):</p> <ul style="list-style-type: none"> • Disaster risk management plans. • National emergency response strategy. • Departmental, district and municipal plans for risk management and response strategies. <p>Peru: Law No. 29664 of February 8, 2011, which creates the National Disaster Risk Management System (SINAGERD), establishes the "Tools of the National Risk Management System" in Title IV, Article 19 (examples):</p> <ul style="list-style-type: none"> • The National Disaster Risk Management Plan • The financial strategy for disaster risk management <p>The mechanisms for coordination, decision-making, communication and information management.</p>

Code: GF 1A-3

Closed-Ended Question
3. <i>Do the national regulations on DRM establish that the coordination and articulation of the policy tools be made at a hierarchical level equal or higher than ministerial?</i>
General description of indicator
<p>In countries where national regulations expressly establish the creation of an institution with competency in Disaster Risk Management (DRM) and, therefore, the coordination of its national system or structure, it is a best practice that this competency be at a hierarchical level that is greater than or equal to the ministerial level, such that it reports directly to the president or prime minister. In many cases, when this responsibility falls on offices that are below the level of a minister or secretary of state or governance, it can notably reduce the ability for influence and coordination.</p> <p>In terms of coordination efforts, this indicator focuses on coordination at an operational level that influences the national DRM system or structure with regard to program and policy tools, and not at a strategic level, as happens in those countries that create national councils or committees generally composed of secretaries of state or ministers and presided by the president or prime minister. However, this indicator hopes to reward operational coordination.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of specific national regulations to regulate DRM. 2. Identify the articles in which the coordination and management structure is established. 3. Verify that these articles grant the operational coordination office a level that is greater than or equal to the ministerial or secretary of state level.
Description of the minimum required situation for positive conditions
<p>In order to comply with the conditions of this question, the general coordination office for DRM processes that establishes national regulations should correspond to a level that is greater than or equal to the secretary of state or ministerial level, or rather, that it is not hierarchically below a ministry, and has been granted its own legal personality or legal autonomy. For this reason, it must directly answer to the President of the Republic or the Prime Minister.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law No. 29664 of February 8, 2011, which created the National Disaster Risk Management System, SINAGERD, establishes in article 8, items b and f, the one of the objectives of the system is specifically to coordinate DRM processes and policy tools. The condition is supplemented by Supreme Decree No. 048-2011-PCM, which approves the Regulations for Law No. 29664. This Supreme Decree states in article 4, number 4.2, that the Office of the President of the Council of Ministers (PCM), in its capacity as guiding body of SINAGERD, is responsible for facilitating "<i>the processes for coordinating and organizing the organizations making up the System.</i>" The PCM is a hierarchical level above the Ministerial level.</p>

Closed-Ended Question
4. Do the national regulations on DRM coordinate with other related standards for climate change adaptation, integrated water resources management or territorial planning and land use?
General description of indicator
<p>Disaster Risk Management (DRM) mechanisms are related to sector tools and policies or integrated in other systems that are normally part of other legal tools (enabling regulations). Some standards related to DRM could include:</p> <ul style="list-style-type: none"> - Climate Change Adaptation (CCA) - Integrated Water Resources Management (IWRM) - Territorial Planning and Land Use <p>The mention of coordination in said regulations should be included not only in the main standard, but also in its regulations, where a broader explanation of the coordination of DRM processes can be found.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of specific national regulations to regulate DRM. 2. Verify that the regulations expressly establish that DRM should be coordinated with other comprehensive and multisector regulations. 3. Confirm whether the national DRM regulation has more than five years of being approved. It is possible that this integration may not be expressly stated. In this case, look for this connection in various DRM regulations, such as legal regulations, the national policy, strategy or plan, administrative standards, etc. that were previously approved. (Do not investigate in sector or multisector regulations, but rather in the specific national DRM regulations)
Description of the minimum required situation for positive conditions
In order for this response to be considered positive, the national DRM regulations should explicitly establish that it should coordinate with other comprehensive or multisector policies, or should explicitly mention specific policies, such as CCA, CWRM or territorial planning.
Examples of positive conditions in countries in the Region
<p>Mexico: The General Civil Protection Act of June 6, 2012, establishes in article 7, section VII, that the Federal Executive branch has the power to "<i>Dictate the general civil protection guidelines to induce and encourage that the principle of Comprehensive Risk Management and Operational Continuity is a public policy value and a cross-functional task such that through it preventive actions are taken, with special emphasis on those that are directly related to health, education, territorial organization, urban/regional planning, conservation and use of natural resources, governance and safety.</i>"</p> <p>Peru: The Regulations of Law No. 29664, approved via Supreme Decree No. 048-2011-PCM of May 25, 2011, state in Title III, National Disaster Risk Management Policy, article 21, paragraph 21.4 and subparagraph G, that the tools of the National DRM Policy also include "<i>the tools of policy, strategy and planning related to territorial organization, urban development, environmental protection, climate change, education and communication.</i>"</p>

Code: GF 1A-5

Closed-Ended Question
5. Does the National Development Plan (or equivalent tool), contain objectives, targets or indicators in Disaster Risk Management?
General description of indicator
<p>In order to confirm that DRM is not an isolated policy, search for its inclusion should be sought in national priorities, development planning processes and their tools. These tools should have concrete indicators for observing the impact of policy commitments.</p> <p>Possible verifiers include: policies, strategies or a development plan (or similar tool that establishes a country's development commitments and vision). There could be indicators or other national significant scheduling tools that demonstrate that DRM is considered within national development.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of a national development plan, policy or strategy. 2. Verify if the current tool(s) set criteria, goals, commitments and indicators for DRM processes.
Description of the minimum required situation for positive conditions
In order for this response to be considered positive, the national development plan, policy or strategy should contain goals, commitments or indicators on any of the DRM processes.
Examples of positive conditions in countries in the Region
<p>Dominican Republic: Law No. 1-12, which establishes 2030 National Development Strategy of January 26, 2012, describes the Fourth Core Issue in Article 10, which works toward a Society of Environmentally-Sustainable Production and Consumption that Adapts to Climate Change, and describes its vision as "A society with a culture of sustainable production and consumption, that uses equity and efficacy in the management of risks and protection of the environment and natural resources and promotes the proper adaptation to climate change." Establishing the following general objectives with regard to DRM: "General Objective 4.1 Sustainable management of the environment. General Objective 4.2 Effective risk management to minimize human, economic and environmental losses. General Objective 4.3 Adequate adaptation to climate change."</p> <p>Mexico: The 2013-2018 National Development Plan explicitly includes Comprehensive Risk Management in the First National Goal: <i>Mexico at peace</i>, under the title "Civil Protection and Disaster Prevention" and the summary in the chapter on objectives, strategies and plans of action, which includes under Objective 1.6. Safeguarding the population, their goods and their environment in the event of a disaster of natural or human origin, two strategies with their respective plans of action: <u>Strategy 1.6.1. Strategic policy for disaster prevention</u> and <u>1.6.2. Emergency management and effective disaster response</u>. Additionally, under the Goal Prosperous Mexico, Objective 4.1 (Maintaining the macroeconomic stability of the country) includes <u>Strategy 4.1.1. Protect public funds from risks in the macroeconomic environment</u>, which introduces an action plan related to financial protection tools in the event of natural disasters.</p>

Code: GF 1A-6

Closed-Ended Question
6. Does the National Development Plan (or equivalent instrument) contain objectives, targets or indicators in CCA?
General description of indicator
<p>A Climate Change Adaptation (CCA) policy inserted within development processes represents a significant contribution to risk reduction. Therefore, not only is the existence of this policy of interest with regard to impact indicators, but also its inclusion in national processes.</p> <p>Possible verifiers include: national development policies, strategies or plans (or similar instrument that establishes the countries development commitments and vision). Other national main scheduling tools that state that CCA is considered in national development can also be indicators.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of a national development plan, policy or strategy. 2. Verify that the current instrument(s) establish criteria, goals, commitments or indicators on CCA processes.
Description of the minimum required situation for positive conditions
In order for this response to be positive, the national development plan, policy or strategy must contain objectives, goals or indicators on CCA processes.
Examples of positive conditions in countries in the Region
<p>Mexico: The 2013-2018 National Development Plan makes many references to CCA as a policy or strategy and introduces the idea of climate change as a cause or risk factor within the National Goals entitled "Mexico at peace" and "Prosperous Mexico." For example, Strategy 4.4.1. from the "Prosperous Mexico" National Goal includes an action plan to <i>"Create a policy with regard to seas and coasts that promotes economic opportunities, strengthens competitiveness and coordination, and addresses the effects of climate change by protecting environmental goods and services."</i></p> <p>Panama: The 2009-2014 Strategic Government Plan (PNG) explicitly includes Climate Change within the context of the "Environment and Economic Development" section. Thus, the five-year investment plan for this Program includes the following priority activities: <i>"... implementation of climate change adaptation and mitigation measures, training in climate change capabilities and implementation of the Panama climate change action plan."</i> The concrete commitments in the issue include the development of current and future vulnerability studies on watersheds and protected areas, which will benefit around 149,673 people.</p>

Code: GF 1A-7

Closed-Ended Question
7. Are there climate change regulations which contain disaster risk management as a target, aim, purpose or result?
General description of indicator
Coordination between the tools, mechanisms and processes for Disaster Risk Management (DRM) and those for Climate Change Adaptation (CCA) is a key element in terms of consistency, making use of capabilities and comprehensive approach. The CCA and DRM strategies should include each other in a coordinated fashion, bearing in mind common points and avoiding a duplication of efforts and resources.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of regulations that establish a national climate change policy. 2. Identify if the existing regulations contain explicit DRM objectives, goals, ends or purposes.
Description of the minimum required situation for positive conditions
In order for this response to be considered positive, the climate change regulations should explicitly contain DRM objectives, goals, ends or purposes.
Examples of positive conditions in countries in the Region
<p>Guatemala: National Climate Change Policy, issued via Governmental Agreement 329-2009, from December 9, 2009, establishes the following as a General Objective: <i>"The State of Guatemala, through the Central Government, municipalities, organized civil society and the citizenry in general, shall adopt practices in the areas of risk prevention, vulnerability reduction and improvement of adaptation to climate change..."</i> Additionally, in Chapter IV, General and Specific Objectives of the National Climate Change Policy, it establishes the following specific objective: <i>"2. Reduction of Vulnerability and Improvement of Adaptation to Climate Change: a. Increase and reinforce prevention and risk management programs to minimize the loss of human life and infrastructure. b. Reduce the vulnerability of the country's population to the effects produced by the variability of Climate Change, especially with regard to health; agriculture, livestock and food safety; issues of forest resources; water resources; soil and infrastructure."</i></p> <p>Peru: The National Climate Change Strategy, approved via Supreme Decree No. 086-2003-PCM, of October 24, 2003, specifically states in paragraph VI, Strategic Line 2: <i>"Promote policies, measures and projects to develop the ability to adapt to the effects of climate change and reduce vulnerability,"</i> and Strategic Objective 2.1 reads <i>"Strengthen the abilities of institutions and organizations involved in risk management and disaster prevention in order to formulate and execute CCA projects."</i></p>

Code: GF 1A-8

Closed-Ended Question
<p><i>8. Are there regulations that establish a regime of professional career in public administration applicable to the responsible entities in charge of DRM in the country?</i></p>
General description of indicator
<p>The existence of "administrative track" or "professional track" regulations can contribute to improving personnel stability and therefore preserve training investments and experience gained in practice.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of regulations that establish a system for a professional track in public administration, civil service or similar. 2. Confirm that the personnel in the national DRM organization(s) are covered by this system.
Description of the minimum required situation for positive conditions
<p>In order for this response to be considered positive, there should be regulations that establish a system for a professional or civil service track in public administration that applies to the organizations responsible for DRM.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law 30057 from the Civil Service of July 3, 2013, which establishes a sole regimen for a professional track in public administration (applicable to the entities responsible for DRM in the country), is exclusively for those individuals who provide services in the public entities of the State, as well as those individuals who are in charge of its management, the exercise of its powers and the provision of services within the same.</p> <p>Mexico: The General Civil Protection Act, published in June 2012, includes Chapter VIII entitled "On the Professionalization of Civil Protection," which includes articles 46 to 48 that require this professionalization of SINAPROC public servants at the federal, state and municipal level, in order to achieve better and more efficient service and more developed staff. Additionally, the Federal Public Administration Career Professional Service Act, LSPC, approved April 10, 2003, establishes the professional track system for all public federal employees. Almost all the states in the Republic have recreated their own version within their jurisdictions based on this Act.</p>

Code: GF 1B-1

Closed-Ended Question
<p><i>1. Are there regulations for integrated water resources management which establish disaster risk management as a purpose, aim or result?</i></p>
General description of indicator
<p>One of the most relevant physical factors in the development of risk is linked to hydrometeorological and climate phenomena, especially with regard to the water cycle. Therefore, Comprehensive Water Resources Management (CWRM) strategies are one of the main mechanisms to have an impact on risk causes and factors. These strategies should have concrete elements integrated into Disaster Risk Management (DRM) processes.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of CWRM regulations (it is important to remember that few countries have this kind of regulations, since water-related laws have not been updated). 2. Consider that some verifiers for the standard could be CWRM laws or policies that identify DRM as a tool or related priority.
Description of the minimum required situation for positive conditions
<p>In order for this response to be considered positive, there need to be regulations that explicitly establish CWRM and comprehensive water management. In those cases where there are split or divided regulations (by sector, service or user, for example), this indicator cannot be rated as positive, as the comprehensive character of CWRM is missing.</p> <p>If these regulations do exist, it should explicitly include coordination with DRM. This coordination will show if the CWRM objectives are their own or if they recognize DRM criteria by expressing establishing the coordination with this policy. This is the same if it includes the objectives, goals or indicators related to DRM.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law No. 29338 on Water Resources, of March 30, 2009, in Title XI, on Natural Phenomena, specifically in article 119, Programs for Control of Floods, Disasters and Inundations, states that "<i>The National Authority, together with the corresponding Watershed Councils, shall create comprehensive programs for the control of floods, natural or artificial disasters and prevention of flood damage (...) promoting the coordination of necessary structural, institutional and operational actions.</i>"</p> <p>Guatemala: The National Water Resources Policy, approved through Executive Decree 480 from April 2013 (GF 1B-1a), includes within its principles the "Right to Prevention," establishing that comprehensive management of water resources should include a focus on <i>vulnerability reduction</i> through comprehensive risk management. Similarly, it incorporates disaster risk management through the General Objectives of the Policy. Additionally, the Regulations of Law 44 on Watersheds, also approved in 2013, through Executive Decree 479, (GF 1B-1b), states in article 3 that it contributes with items related to disaster risk reduction.</p>

Code: GF 1B-2

Closed-ended question
2. Are there regulations on integrated water resources management which establish climate change adaptation as a purpose, aim or result?
General description of the indicator
Given the similarities in terms of objectives and policy and action impact between Climate Change Adaptation (CCA) and Disaster Risk Management (DRM), the existence of adaptation objectives or results in comprehensive water policies by its very nature includes a contribution to risk management.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Investigate the existence of regulations on Comprehensive Water Resources Management (CWRM). (It's important to consider that few countries have these kind of regulations, as water-related laws have not been updated) 2. Consider that some verifiers for the standard could be CWRM laws or policies that identify CCA as a related tool or priority.
Description of the minimum required situation for positive conditions
<p>In order for this response to be considered positive, there must be regulations that explicitly establish CWRM or comprehensive water management. In those cases where there are split or divided regulations (by sector, service or user, for example), this indicator cannot be rated as positive, as the comprehensive character of CWRM is missing.</p> <p>These regulations should explicitly contain CCA purposes, ends or results.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law No. 29338 on Water Resources, from March 30, 2009, which reads in Title V, Water Protection and article 89, Climate change effect prevention, that "<i>The National Authority, in coordination with the environmental authority, should develop strategies and plans for the prevention of and adaptation to the effects of climate change and its effects...</i>"</p> <p>Costa Rica: The National Water Policy, issued in 2009 by the Ministry of Environment, Energy and Telecommunications, defines strategic guidelines, objectives and primary strategic actions in item 5.5, including a specific mention of "Vulnerability and adaptation to climate change" as a main issue that is further defined in item 5.5.7, Vulnerability and adaptation with regard to climate change, through the following considerations: <i>"... 5.5.7.1. Guarantee alternative mitigation and adaptation actions aimed at sectors dependent on multiple uses of water that allow them to address the vulnerability of the resource and of the water sector to Climate Change... 5.5.7.2. Incorporate the variable of Climate Change and its effects on the hydrological and hydrosocial cycles into water management in order to develop appropriate decision-making with regard to adaptation and mitigation measures... 5.5.7.3. Increase national and regional alliances in both the public and private sectors in order to assess risk and establish mitigation, adaptation and prevention measures with regard to extreme hydrological events..."</i></p> <p>Panama: The National Water Resources Policy, approved via Executive Decree No. 480 of April 2013, incorporates within Specific Objective No. 1 (on Water Resource Management), Action Line No. 4 "<i>...the reduction of vulnerability and the adaptation to climate change.</i>" Additionally, the Regulations of Law 44 on Watersheds, also approved in 2013, through Executive Decree 479, establishes within article 3 that it contributes to issues related to climate change adaptation.</p>

Code: GF 1B-3

Closed-ended question
3. Do the regulations that standardize the carrying out of environmental impact assessment (or equivalent process), integrate disaster risk analysis?
General description of indicator
Environmental impact evaluations have become a common practice in the Region. Both the prior study and the oversight of its compliance offer good opportunities to serve as prospective and corrective risk management tools. Therefore, it is considered best practice for the regulations to establish that elements of disaster risk be analyzed.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations for conducting environmental impact studies in the country. 2. Verify if the regulations include within the aspects to be analyzed in environmental impact studies, the analysis of disaster risk, meaning the probabilistic analysis that the project could suffer economic or human losses as a result of a disaster and, as appropriate, if the project could increase the existing disaster risk.
Description of the minimum required situation for positive conditions
The regulations should have express contact on disaster risk or its components: hazard, exposure or vulnerability. It is not considered valid to mention risk when it refers to the risk of project impact on the environment. Rather it should be explicitly mentioned that as part of the environmental impact assessment (or equivalent process), whether the project can increase the risk of disaster or be affected by a disaster will be analyzed. In the event that the regulations that create the environmental impact assessment figure mentions the term risk, but does not clarify if it is a disaster risk, the officially approved methodologies for the environmental impact assessment should be analyzed to identify if they really incorporate disaster risk analysis.
Examples of positive conditions in countries in the Region
<p>Costa Rica: Executive Decree No. 32967, the Manual of Technical Tools for the Environmental Impact Assessment Process (EIA Manual), of February 20, 2006, states in Paragraph 4 General Principles to be considered: "... 4.5 Another part of the technical foundation for this procedure are the other technical principles and guidelines established in the various current sector laws and that are part of the national legal framework and refer to the administration of sector issues such as... disaster prevention and emergency response and all other related legislation." Additionally, in Section 6, Procedure to carry out the environmental scope report for the proposed development, it considers various elements for the formulation of the diagnosis of the general environmental condition of the territory and reads: "... 6.4.1 This component will be conducted based on the cartography results... and... the Accumulated Effects Assessment... such as: ... b) Existing pressure on the environment, considering the following environmental factors: ... (v) Vulnerability to natural and anthropic risks/hazards..." Finally, in Appendix 3. Technical Protocol, in Item 3 Principles for the application of the protocol, it states "a) Natural risk prevention principle: includes the consideration of risk factors based on prior technical and scientific criteria for the occurrence of an event that has negative consequences on people or the human environment..."</p> <p>Guatemala: The Terms of Reference Guide for Environmental Assessment Studies, created in 2004 by the Department of Environmental and Natural Resource Management in the Ministry of Environment and Natural Resources (MARN), includes risk analysis in the natural hazards section as part of the Environmental Management Plan (EMP), which is required for projects with a medium to high environmental impact. This Guide is required for environmental impact assessments pursuant to Governmental Agreement No. 431-2007, Regulations for Environmental Assessment, Oversight and Monitoring, from September 17, 2007, which is the regulations for environmental assessment, oversight and monitoring, Article 12 of which reads: "The specific terms of reference, content and technical procedures for the development of each of the tools shall be determined by the Ministry of Environment and Natural Resources."</p>

Closed-Ended Question
1. Are there regulations that decentralize the responsibilities in the matter of development planning or territorial planning and land use to territorial management units?
General description of indicator
Decentralization and local management are fundamental pillars for ensuring quality in Disaster Risk Management (DRM) and Climate Change Adaptation (CCA). Decentralization as conceived in this indicator is aimed at those countries that, based on their history and various characteristics, have adopted a state organization system in which most decisions are issued from a central government. Therefore, it should be investigated whether there are regulations that focus this decentralization process (in terms of development planning, territorial organization or other planning and territory management tools) on the interests of territorial management units, even when this process has not been completed.
In the case of those countries with regimens that are not centralized, this situation should be described, thus ruling on the existence of standards that grant jurisdiction to territorial management units in these areas.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify, for countries with centralized systems, the regulatory tools that regulate decentralization. These can include: decentralization laws, municipal laws or codes, as well as planning and territorial organization laws. 2. Verify that said laws or codes establish responsibilities for territorial management units to carry out development planning or territorial organization processes, or other territorial management tools. In countries with decentralized systems, find the legislation that assigns competencies to territorial management units in these same areas.
Description of the minimum required situation for the condition to be positive
In order for this response to be considered positive, the regulations should explicitly establish competencies for territorial management units in the areas of territorial organization, development planning or other territorial management units.
Examples of positive conditions in countries in the Region
<p>Centralized Countries</p> <p>Bolivia: The "Andrés Báñez" Autonomies and Decentralization Framework Law, of July 17, 2010. In Article 8, General Autonomous Body Functions, the functions of territorial management, economic and productive development, urban development and provision of public services are introduced for the Original Rural Indigenous People, Departmental, Municipal and Regional autonomous bodies.</p> <p>Peru: Article 73, Areas of Municipal Competency, paragraph (a), of Law No. 27972, Municipality Organic Law, of May 26, 2003, states that municipalities should "<i>comprehensively plan local development and territorial organization at a provincial level. Provincial municipalities are responsible for promoting and encouraging the planning process for comprehensive development in their provincial area in accordance with the priorities proposed in the district level local development planning processes.</i>"</p> <p>Federal Countries</p> <p>Argentina: The National Constitution, last reform on August 22, 1994, states in Article 1 that the Republic of Argentina adopts a federal government, such that Article 5 states that provincial states enjoy autonomy and have the authority to issue their own constitution and oversee their judicial system, municipal regimen and primary education. With regard to municipal regimens, it states that provinces will issue their own constitutions, thus "<i>ensuring municipal autonomy and regulating their scope and content in institutional, political, administrative, economic and financial order</i>" (Article 123). There is no national level standard that</p>

defines the organization of municipalities or limits the scope of municipal autonomy. The guidelines for municipal regimens are in the provincial constitutions and the standards that regulate specific aspects in provincial organic laws or municipal organic charters. The criteria for the definition and organization of municipalities differ between provinces. There are no national level regulations with regard to territorial organization. There is a draft bill for the National Territorial Planning and Organization Act, created within the framework of the PET by the Federal Council for Territorial Planning and Organization (COFEPLAN), which was approved by the VII COFEPLAN Assembly on November 1, 2012. COFEPLAN is an institutional body for provinces, Buenos Aires and the Nation to come together and participate in the planning, organization and coordination of territorial planning and organization policies in order to achieve a balanced, integrated, sustainable and socially just country.

Mexico: The Political Constitution of the Mexican States, published February 15, 1917 (last reform published DOF 19-07-2013), clearly establishes in Constitutional Article 115, item V, the legal basis and policies of municipalities with regard to development planning and territorial organization, among others. Additionally, the General Human Settlements Act, of July 21, 1993, reclaims this mandate in Article 6 and lists the powers that correspond to the Federation, states and municipalities in articles 7, 8 and 9, respectively.

Code: GF 1C-2

Closed-Ended Question
<i>2. Are there regulations that establish an approach of basin eco-region for environmental management or water resources?</i>
General description of indicator
Asymmetries or inconsistencies between maps of risks in national territory and the map of political/administrative divisions and jurisdictions of different Territorial Management Units can represent a series of difficulties in environmental or water resource management processes. Conversely, the existence of regulations, policies, strategies or management tools at a regional level that provide a watershed or ecosystem focus (among others) can provide aggregate value to DRM in terms of efficacy.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate if there are regulations, such as laws, programs or policies on water or comprehensive water resources management, as well as environmental management. 2. Verify that said regulations establish a watershed or ecosystem focus for environmental and water resource management.
Description of the minimum required situation for the condition to be positive
In order for this response to be considered positive, the regulations must explicitly establish that watersheds or ecoregions are considered the territorial bases for environmental or water resource management.
Examples of positive conditions in countries in the Region
<p>Mexico: 1992 National Waters Act. Article 6: Establishes the responsibility of the Federal Executive Branch to regulate the exploitation or use of water by watershed and aquifer. Article 7 bis: States that the following is of Public Interest I. a watershed together with its aquifers as the basic territorial unit for the comprehensive management of water resources; II. The decentralization and improvement of water resources management by watershed through governmental Watershed Organizations and mixed Watershed Councils in which the three levels of government, water users and societal organizations all participate in decision making and acceptance of commitments.</p> <p>The National Waters Act, published in 1992, defines watersheds in article 3, section XVI as "...a unit of territory, different from other units, normally delimited by a ridge or water divide...the water resources management unit..." Article 6 states that the Federal Executive branch should regulate exploitation and use of water based on watersheds and aquifers.</p> <p>Peru: Law No. 29338 of March 30, 2009 - Water Resources Act. Art. 3. Principles: 10. Principle of participatory comprehensive management by watershed, which states that management should be integrated by watershed with the active participation of the organized population. Art. 24. Nature of Watershed Councils. Law No. 29338 on Water Resources, of March 30, 2009, describes a principle in the Preliminary Title, article III, item 10 that "...management should be integrated by watershed with the active participation of the organized population." Watershed Councils are organizations that are permanent members of the National Authority structure.</p>

Code: GF 1C-3

Closed-Ended Question
3. <i>Are there regulations that empower Territorial Management Units to create networks, agreements, alliances or territorial agreements in DRM?</i>
General description of indicator
Territorial risk representation does not coincide with the map of the jurisdictions of the various Territorial Management Units (TMU). This means that TMUs look for associations with each other in order to gain advantages in the generation of scale economies and other kinds of synergy-creating actions, thus creating more efficient mechanisms for risk management.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of regulations that allow for the formation of agreements, alliances or partnerships between the governments of the various TMUs for DRM purposes. 2. Possible verifiers include territorial organization laws and policies and programs for the improvement of territorial management.
Description of the minimum required situation for the condition to be positive
In order for this response to be considered positive, there should be regulations that provide for the formation of agreements, networks or partnerships between TMUs for DRM purposes.
Examples of positive conditions in countries in the Region
<p>Centralized countries</p> <p>Peru: Law No. 27972, the Organic Municipalities Act, from May 26, 2003, defines in article 73, Areas of Municipal Competency, section (c), the responsibility to "Promote, support and carry out municipal investment and public service projects that objectively present provincial externalities or scale economies; for this purpose, they will sign the pertinent agreements with the corresponding district municipalities."</p> <p>Costa Rica: Law No. 7794 Municipal Code of April 30, 1998, states: "Article 9. Municipalities may enter into agreements with each other for the purpose of facilitating and enabling the achievements of their objectives or administration, in order to be more effective and efficient in their actions. Article 10. Municipalities may combine into federations and co-federations. These relationships will be established in the statutes approved by the parties, which shall regulate the mechanisms for organization, administration and operation of these entities." Law No. 4240, the Urban Planning Act, of November 15, 1968, states: "Article 62. The municipalities of contiguous territories can enter into agreements with each other to create and maintain joint planning services, pursuant to the laws of municipal organization."</p>

Code: GF 1C-4

Closed-Ended Question
<i>4. Are there regulations that empower the formation of structures of territorial management for integrated water resources management or ecosystem management?</i>
General description of indicator
<p>The focus on creating territorial management structures that correspond to watersheds or specific ecosystems is becoming an increasingly desirable objective for Comprehensive Water Resource Management (CWRM). However, in order for this to happen, there needs to be legislation to this effect, which provides these CWRM territorial management structures with a legal framework establishing the jurisdiction, authority, definition of territories and other aspects necessary for operation...</p> <p>The cases may be reduced, but this condition is considered to be a characteristic of quality.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of regulations related to the creation of CWRM territorial management structures. These regulations can be in the areas of water, municipal laws or regional laws. 2. Identify if they establish the creation of these units based on watersheds or ecosystems.
Description of the minimum required situation for the condition to be positive
In order for this response to be considered positive, the regulations must establish the watershed or ecosystem as a management unit with explicit responsibilities that differ from those of the various TMUs.
Examples of positive conditions in countries in the Region
<p>Mexico: The National Waters Act, published in 1992, states in Article 3, section XV, that the Watershed Councils shall be the bodies that coordinate, organize, support, consult and advise between the National Water Commission, including the corresponding Watershed Group, and the offices and federal, state or municipal bodies, and the representatives of the water uses and societal organizations from the corresponding watershed or hydrological region.</p> <p>Costa Rica: Decree No. 37623-PLAN-MINAET-MIVAH, the National Territorial Organization Plan, from October 19, 2012, states the following in Guideline 14: "Water and watershed management. The State shall foment the comprehensive management of watersheds in the various plans for territorial planning in order to decrease the risk from human settlements, minimize the impact in coastal zones and guarantee the preservation, use and responsible exploitation of natural resources, with special focus on water as an indispensable tool for development. Inter-municipal association and association between other State entities shall be incentivized for the joint management of watersheds as a strategy for the protection and preservation of water for the purposes of climate change adaptation."</p> <p>Panama: The Regulations of Law 44 on Watersheds, approved by Executive Decree No. 479 of April 2013, establishes the creation of Watershed and Sub-watershed Committees throughout the territory (except the Canal Watershed, which has a special legal regimen). These Committees have broad public sector and civil society participation.</p>

Code: GF 2-1

Closed-Ended Question
<i>1. Is there an approved document by the Ministry of Economy and Finance (or its agent) that establishes a financial strategy or policy for financial management of disaster risk in the country?</i>
General description of indicator
In all countries, governments and financial capacity are the final authorities for response to the requirements and demands arising from disasters and their consequences. Given this situation, a quality factor for this indicator is the existence of a strategy or plan within a document that summarizes the financial protection elements that promote the most efficient use of available resources while also maximizing the results for Disaster Risk Management (DRM).
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of a formal document that describes, at least, the actions that the country has identified to reduce its fiscal vulnerability should a disaster occur. 2. Research in the treasury, economy or finance authorities, as well as their institutional websites. 3. Consult with the country's guiding DRM organization.
Description of the minimum required situation for the condition to be positive
<p>The document that contains the final protection or management strategy should describe: (i) the most relevant threats and areas of exposure to be covered; (ii) estimates on the financial impact of the most probable disaster scenarios; (iii) the country's core concepts that have been identified to reduce fiscal vulnerability in the event of a disaster and (iv) the actions to be carried out in order to implement each of those core concepts.</p> <p>This document should be published in the official gazette, approved or issued via a decree or ministerial resolution, be published on the institutional website of the competent organization for the issue or any other formality prescribed by corresponding regulations that makes the document a strategy.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: In 2012, the government of Colombia posted a document on the website of the Ministry of Treasury and Public Credit entitled "Financial strategy to decrease the fiscal vulnerability of the state in the event of a natural disaster," which includes, among others, a description of the legal and institutional framework for financial disaster risk management, an evaluation of the fiscal impact of disasters and a description of the tools to be considered in the development of a financial disaster risk management strategy.</p>

Code: GF 2-2

Closed-Ended Question
<i>2. Has the entity responsible for functions of leadership or coordination or articulation of disaster risk management in the country, received funding for these functions in the last fiscal period?</i>
General description of indicator
<p>The availability of resources, whether human, material or financial, is crucial for the organization responsible for DRM to be able to comply with national regulations and the activities assigned for the coordination and organization of DRM. To this end, the availability of resources should be verified for at least the following activities: (i) convening system actors; and (ii) developing disaster risk management policy tools (for example, the Risk Management Plan).</p> <p>For this indicator, it is not enough for the budget to simply consider the provision of resources for the operation of this guiding organization. Instead, it must list the DRM coordination or organization functions in detail.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify the general national or state budget and the budget implementation and expenditure reports. 2. Consult with the organization responsible for DRM guiding, coordination or organization functions. 3. Should activities such as convening DRM system actors or structure and the development of policy tools have been conducted, investigate the source of financing for these activities. Whether there are international cooperation resources for such purposes is not of interest for this indicator.
Description of the minimum required situation for the condition to be positive
<p>Confirmation of the existence of allocated resources through a budget to the guiding organization responsible for DRM coordination or organization functions, such that it can carry out at least the following activities: (i) convening system actors and (ii) developing disaster risk management policy tools.</p>
Examples of positive conditions in countries in the Region
<p>Costa Rica: The National Emergency Prevention and Response Commission funded the 5th National Risk Management Forum (August 2013) with its own resources, in which progress towards the implementation of the National Risk Management Plan was discussed. This demonstrates the allocation of resources for the coordination or organization of disaster risk management in the country.</p> <p>Mexico: In the Federation Expenditures Budget for the 2013 Fiscal Year, published on December 27, 2012, Administrative Branch 04 is dedicated to the Secretary of Governance (SEGOB), within with budget program N001 is found, which corresponds to the "Coordination of the National Civil Protection System" as part of the National Civil Protection Coordination Office (CNPC) in its capacity as delegator of SINAPROC executive coordination, pursuant to article 19 of the General Civil Protection Act (LGPC), and is the institution that organizes and coordinates DRM in Mexico.</p>

Code: GF 2-3

Closed-Ended Question
3. Is there an objective or classified spending budget (or equivalent) in the national budget to allocate resources to disaster risk management "before the event" activities?
General description of indicator
Disaster Risk Management (DRM) requires the performance of <i>ex ante</i> activities such as the identification of risks, the reduction of the same and disaster preparation activities. For this purpose, great importance is given to the provision of budget resources to comply with this objective, for which this indicator recognizes the value of the existence of an expense item, budget category or equivalent mechanism to identify and monitor public DRM spending. The lack of these expense classification criteria means that it cannot be guaranteed that resources have been invested in <i>ex ante</i> DRM activities.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify if there is an expense item, budget category or equivalent mechanism in the national budget. Investigating with the treasury, economy or finance authorities is recommended, especially with those offices in charge of budget items. 2. Confirm that it is structured in such a way as to include expense categories that allow for the allocation and monitoring of resources for <i>ex ante</i> DRM activities.
Description of the minimum required situation for the condition to be positive
<p>Proof of an expense item, budget category or equivalent mechanism in the national budget that includes explicit DRM expense categories.</p> <p>The existence of budget programs through which different entities can request resources for <i>ex ante</i> DRM activities is accepted as a positive condition.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Supreme Decree No. 304-2012-EF, which approves the Sole Organized Text for Law No. 28411, The 2005 General National Budget System, from December 29, 2012, under Title III, Supplementary Regulations for Budget Management, Chapter IV, Results-based Budgeting (RBB), establishes a scheme, number 79.1 of which defines the same as "...a public management strategy that links the allocation of resources to measurable products and results in the favor of the population," as well as number 79.2, which orders that "...the Results-based Budgeting (RBB) be implemented progressively through budget programs." In 2010, the Strategic Budget Program for the Reduction of Vulnerability and Disaster Emergency Response within the Framework of Results-based Budgeting was designed. In Law No. 29951 on the Public Sector Budget for Fiscal Year 2013, from December 4, 2012, the allocation of resources for various <i>ex ante</i> DRM activities can be seen in the Strategic Budget Program PPR 068 entitled Reduction of Vulnerability and Disaster Emergency Response (pages 1628 to 1731).</p> <p>Guatemala: The tool "Special Expense Monitoring" (SEM), which is a computer program in the Comprehensive Accounting System (SICOIN), has, among its many functions, the ability to analytically identify budget allocations related to a government policy or program. The tool (categorizer) is not part of the budget entry (production function), but uses this information to perform relevant groupings of budget allocations and is available for each institution to label their institutional budget structures for DRM. The structures are linked to SEM and load upon implementation in order to be monitored online. The budget category is Objective 040000, Function No. 040200, Decision No. 040201 "Prospective Disaster Risk Management" and the verifiers is "Guide for Disaster Risk Management Reduction, Budget, Public and Expense Monitoring" from June 2011 (GF--2-3a)</p> <p>Panama: Administrative Resolution No. 030 of March 28, 2013, through which the Ministry of Economy and Finance (MEF) modifies the Manual of Budget Classifications and creates the Disaster Risk Management Expense Item. This expense item is designed to be used by those institutions that plan <i>ex-ante</i> DRM investment activities into their budget proposals to the National Budget Office (DIPRENA).</p> <p>Mexico: The 2013 Federation Expenditures Budget (PEF) allows for the tracking of resources allocated for</p>

DRM activities: In APPENDIX 19 of PEF 2013, BRANCH 23 PROGRAMS, SALARY AND ECONOMIC PROVISIONS, a sum of 322.92 million Pesos is allocated to ECONOMIC PROVISIONS section for the Natural Disaster Prevention Fund (FOPREDEN). FOPREDEN is regulated by the AGREEMENT in which the Operational Regulations of this fund are established (ROFOPREDEN), published December 23, 2010, and per Article 4, have the goal of *"...promoting and encouraging preventive activities to reduce risks and decrease or avoid the effects of the destructive impact of natural phenomena, per the principles includes in the previous article, as well as promoting the performance of studies on Comprehensive Risk Management to promote and support applied research and technological development to prevent disasters and mitigate the risks resulting from disruptive natural phenomena and adaptation to the effects of the same..."*.

Code: GF 2-4

Closed-Ended Question
4. <i>Is there an objective or classified spending budget (or equivalent) in the national budget to allocate resources to climate change adaptation activities?</i>
General description of indicator
Climate Change Adaptation (CCA) policies require the allocation of budget requirements in order to comply with their specific requirements and their objectives and strategies, such that it is considered valuable for there to be a budget classification mechanism (expense item, budget category or equivalent system) for allocating and monitoring public expenses to identify CCA activities.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify if there is an expense item or budget category (or equivalent tool) in the national budget. Investigating these issues with the treasury, economy or finance authority is recommended, especially the departments responsible for Budget monitoring and response. 2. Confirm, once said budget tool has been identified, if it is structured in such a way as to include expense categories that allow for the allocation and monitoring of resources destined for CCA activities. 3. Consult the competent CCA or environmental authorities.
Description of the minimum required situation for the condition to be positive
Show the existence of a budget category or expense item (or equivalent tool) in the national budget that includes explicit CCA expense categories.
Examples of positive conditions in countries in the Region
<p>Peru: Supreme Decree No. 068-2008-EF, which approves the Public Sector Functional Classifier, from May 24, 2008, article 1 of which creates the Public Sector Functional Classifier and the guidelines for the Schedule Classifier which "...allows for the coordination of Strategic Programs within said Classifier." Said Supreme Decree was modified by Board Resolution No. 002-2011-EF/50.01 for the Scheduling and Formulation of the Public Sector Budget, from June 7, 2011. In the Appendix, which corresponds to the General Directive for the National Public Investment System, Board Resolution No. 003-2011-EF/68.01, Appendix SNIP 01, which corresponds to the Functional Schedule Classifier, can be found within Function 17 Environment and Subprogram 0121 Climate Change Management can be found within Program 054 Strategic development, conservation and sustainable exploitation of natural resources.</p> <p>Mexico: The 2013 Federation Expenditures Budget (PEF) allows for the identification of resources allocated for CCA activities: Appendix 15, "Resources for the Mitigation of the Effects of Climate Change," affects all aspects of this policy and distributes resources to various federal entities and departments for this purpose. The actions contained in Appendix 15 include "comprehensive water programs." According to the description shown on the electronic portal for the National Water Commission (CONAGUA) on the content of budget programs, Program K.134-Comprehensive Water Programs has as a goal to "...achieve the comprehensive use of water and maximum decrease of risk and vulnerability conditions to which the population, their economic activities and ecosystems are subject to with regard to the occurrence of extreme hydrometeorological events and the possible effects of climate change."</p>

Code: GF 2-5

Closed-Ended Question
5. <i>Is there a fund or equivalent mechanism which finances or co-finances ex ante DRM activities?</i>
General description of indicator
<p>The availability of resources is significant for conducting <i>ex ante</i> DRM activities, whether by central or federal authorities, or if the corresponding standard allows, by institutions at the different levels of government and even those in the social and private sectors. The existence of funds or equivalent mechanisms, as well as their standards or regulations, facilitate processes for financing or co-financing these activities and can provide transparency and legal certainty.</p> <p>It should be noted that, for the purposes of this indicator, expense items within the budget to conduct <i>ex ante</i> DRM activities do not count as funds.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify that there are one or more funds or equivalent mechanisms in place for the financing or co-financing of <i>ex ante</i> DRM activities. 2. Find proof of the same in the legal act or title that ordered its creation, whether the national budget itself, or a standard, regulation or decree issued by a competent authority. 3. Confirm if said funds or equivalent mechanisms have been allocated resources for this purpose during the current fiscal year, whether through a budget or any other method provided for in a standard or decree. 4. Discard those funds for emergency management or to carry out <i>ex-post</i> DRM activities, as these are part of a different indicator. 5. Consult various departments in the treasury, economy or finance authorities, since if a DRM financial strategy has not yet been designed, it is likely that not all departments will be informed of the issue. 6. Inquire in this regard with the DRM guiding organization in the country.
Description of the minimum required situation for the condition to be positive
<p>The validity of a legal title that enables one or several funds or equivalent mechanisms for the financing or co-financing of <i>ex-ante</i> DRM activities and that has also been allocated resources for this purpose during the current fiscal year.</p>
Examples of positive conditions in countries in the Region
<p>Mexico: The Fund for Natural Disaster Prevention (FOPREDEN), regulated by the AGREEMENT by which the Operating Standards for the Natural Disaster Prevention Fund (ROFOPREDEN) are established, from December 23, 2010. ROFOPREDEN provides resources to carry out preventive projects to reduce risks, avoid or decrease the effects of the destructive impact of disruptive national phenomena (article 2). Article 10 reads that states, any federal public instances, academic and federal research institutions and municipalities may request resources. Other programs that could be mentioned are: (i) the Human Settlement Risk Prevention Program, which aims to contribute to strengthening the capacities of municipalities in terms of risk prevention through projects and actions that reduce population vulnerability to natural phenomena, pursuant to the provisions of 2.1 General HSRP Regulations; (ii) HABITAT, item 3.5. Types and amounts of aid (from the Agreement by which the Operating Rules for the HABITAT program are issued for fiscal year 2013, from February 28, 2013) states that the Program includes three modalities, one of which is: "... b) Improvement of the Urban Environment, which supports projects and actions to introduce or improve basic urban and social infrastructure, improve the natural environment, prevent or mitigate risks, etc...."</p> <p>Peru: Law No. 29125, which establishes the implementation and operation of the Public Regional and Local Investment Promotion Fund (FONIPREL), of October 30, 2007, via Board Resolution No. 005-2012-EF/63.01, which approves the Guidelines for the creation of Public Investment Projects to Support Productive Development and Public Investment Projects that include a focus on Disaster Prevention, from July 2012, establishes in item 1.2 the approval of Guidelines for public investment projects that include a focus on disaster prevention, found in Appendix 02 of this Board Resolution (GF-2-5c).</p>

Closed-Ended Question
<p>6. <i>Is there a fund or equivalent mechanism which finances or co-finances climate change adaptation activities?</i></p>
General description of indicator
<p>A Climate Change Adaptation (CCA) policy requires resources to meet its objectives and comply with its legal framework. Therefore, this indicator requires the existence of funds or equivalent mechanisms, as well as their operating standards or regulations, for financing or co-financing CCA activities, whether directed only at central or federal authorities, or if the corresponding regulations allow, at institutions at different levels of government or even at those of the social and private sectors.</p> <p>For the purposes of this indicator, expense items within the budget for conducting CCA activities are not considered to be funds.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify that there are one or more funds or equivalent mechanisms that are in place for the financing or co-financing of CCA activities. 2. Find proof of the above in the legal act or document that ordered its creation, whether it be the national budget itself, or the standard, regulation or decree issued by the competent authority. 3. Confirm if said funds or equivalent mechanisms have been allocated resources for this purpose during the current fiscal year, whether through a budget or other means provided for in a standard or decree. 4. Consult with the various offices of the treasury, economy or finance authorities. 5. Inquire with the competent authority for CCA or environment issues.
Description of the minimum required situation for the condition to be positive
<p>The validity of a legal title that creates one or more funds or equivalent mechanisms for the financing or co-financing of CCA activities that have also been allocated resources for this purpose during the current fiscal year.</p> <p>NOTE: Funds that were specifically created for hydrometeorological events and funds that are not designed to be valid for periods greater than those required for recovery from a specific disaster should not be considered to meet this condition.</p>
Examples of positive conditions in countries in the Region
<p>Chile: The Fund to Finance Research Centers in Priority Areas (FONDAP) from the National Scientific and Technological Research Commission (CONICYT), for the year 2013, includes the following in its priority areas: "6. Water Resources: The future development of the country requires a growing quantity and quality of water resources, especially for agriculture and mining. Given this growing demand, and possible decrease of supply due to climate change, it is key to conduct scientific and technological research to develop and adopt innovative solutions to improve comprehensive water research management..."</p> <p>Mexico: The General Climate Change Act (LGCC) of June 6, 2012, orders the creation of the Climate Change Fund on Chapter VII, article 80 of which states that this Fund shall have the goal of collecting and distributing public, private, national and international financial resources to support the implementation of actions to address climate change. Pursuant to article 82, the resources of the Fund will be used for, among other things: "I. Actions for climate change adaptation that respond primarily to social groups located in the most vulnerable areas of the country; II. Projects that simultaneously contribute to climate change mitigation and adaptation..." Per Parliamentary Gazette No. 3679-I, of Thursday, January 3, 2013, the Secretary of the Treasury and Public Credit reported that on November 30, 2012, a public trust entitled "The Climate Change Fund" was created pursuant to transitory article nine of the General Climate Change Act. However, the condition is negative, as the PEF does not contain evidence of the allocation of resources to this Fund. It should be mentioned that the PEF does allocate resources for the mitigation of the effects of climate change.</p>

Closed-Ended Question
7. Is there a fund or equivalent mechanism at the national level that enables contracting for disaster risk transfer instruments for asset portfolio of actual fiscal responsibility of the state?
General description of indicator
Any financial management strategy for disaster risk in a country acquires value based on this indicator if there are regulations that allow for the creation of a fund or mechanism to purchase disaster risk transfer tools for a portfolio of goods under the fiscal responsibility of the State, meaning those that, through the payment of a premium, allow for the transfer of specific probable losses due to future disasters to specialized markets.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate if the legal framework of funds created for the financing or co-financing of DRM activities considered the purchasing of risk transfer tools for goods under the fiscal responsibility of the State. 2. Consult with the treasury, economy or finance authorities in the departments responsible for state purchasing regarding the existence of any regulations that pertain to funds that meet this condition.
Description of the minimum required situation for the condition to be positive
The existence of regulations that establish one or more funds or equivalent mechanisms that are in place for the purchase of disaster risk transfer tools for portfolios of goods under the fiscal responsibility of the State.
Examples of positive conditions in countries in the Region
<p>Panama: The Panama Savings Fund (FAP) has the ability to purchase risk transfer tools. Pursuant to Law No. 38 from June 2012, and FAP Executive Decree 10108 from September 2012, in articles 6 and 7, respectively, the FAP has the ability to purchase catastrophe insurance. It should be noted that the initial resources allocated to the FAP to those recorded in the Financial Development Fund balance in March 2012 (around US\$ 1.2 billion).</p> <p>Colombia: Law 1523 of 2012, by which the national disaster risk management policy is adopted and the National Disaster Risk Management System is established and other provisions are issued, states in Article 51, Sub-accounts to support risk management funding, the creation of financial protection sub-accounts for the National Disaster Risk Management Fund. <i>"The resources of this sub-account shall be used to support the funding for financial protection. Through this sub-account, the Ministry of Treasury and Public Credit shall manage, acquire or sign those tools or contracts with domestic or foreign entities that allow for financial protection with regard to disaster risk."</i></p> <p>Mexico: The fund for the purchasing of tools for the transfer of disaster risk is the Natural Disasters Fund (FONDEN), as stated in article 4, section V of the FONDEN General Regulations (RGFONDEN), which states that the goal of this Fund is to <i>"...Provide resources for the completion of projects and establishment of tools for the administration and transfer of risk related to the prevention of and response to the effects caused by disruptive natural phenomena; for the financial protection of the Natural Disasters Fund Trust assets, as well as for the necessary services related to said purchases, per the specific Operational Guidelines that regulate each of the procedures mentioned in these Natural Disasters Fund General Regulations..."</i></p>

Closed-Ended Question
8. Is at least one of the three national development funds (or equivalent) with the largest allocation of resources used to finance or co-finance <i>ex ante</i> DRM activities?
General description of indicator
<p>National development funds, also known as social investment accounts (or equivalent tools) are mainly focused on providing resources for investment at different scales and comprehensively contribute to a country's development vision. These funds can be royalties, investment funds, social action or cohesion, etc.</p> <p>This indicator evaluates whether these development funds include or consider funding for <i>ex ante</i> DRM activities, even when not included in this policy. Thus, it is recognition of how risk reduction contributes to local, regional and national development.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Select the three most important national development funds or social investment accounts (or equivalent tools) in the country, based on the amount of resources they manage. 2. Within this set, identify the fund or funds whose regulations or statutes allow them to finance or co-finance <i>ex ante</i> DRM activities.
Description of the minimum required situation for the condition to be positive
<p>At least one of the three most important national funds or social investment accounts (or equivalent tools) in the country, based on the resources available for financing, are legally enabled to finance or co-finance <i>ex ante</i> DRM activities.</p> <p>In the event that the condition for this indicator is not met, the verifier explanation section should still include a list of the three main funds that were consulted, as appropriate.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: Law 1606 of December 2012, which set the budget for the National Royalties System for the period of January 1, 2013 to December 31, 2014 includes resources, among others, for: (i) Support the comprehensive management of risks and strengthening of organizations for disaster prevention and response in the Department of Caquetá and (ii) risk management (for the South Central Region OCAD).</p> <p>Mexico: The Metropolitan Fund, which received an allocation of \$8,616,058,106.00 in PEF 2013. The goal of the Metropolitan Fund, per the AGREEMENT through which the Operating Guidelines for the Metropolitan Fund were issued, dated April 11, 2011, is defined in section III, item b, as "...viability and decrease of vulnerability or risks of natural or environmental phenomena, or those caused by demographic and economic changes..."</p>

Code: GF 2-9

Closed-Ended Question
9. Is there an incentive budget for territorial management units that are responsible for implementing <i>ex ante</i> DRM activities?
General description of indicator
It is important for Territorial Management Units (TMU) to promote and develop DRM actions, as disasters occur within their jurisdictions. Thus, it is considered best practice to create budget incentives so that TMUs implement actions or activities. It should be understood that "Incentive" does not mean the obligation to create an item in the national budget, but rather that there is a mechanism that provides budget advantages for TMUs to conduct these <i>ex ante</i> DRM activities.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify at least one case of TMU-oriented incentives or stimuli in the national budget that provide them with specific advantages or benefits to conduct <i>ex ante</i> DRM activities. 2. Consult the authorities, either treasury, economy or finance, or, if appropriate, planning, focusing specifically on the budget and investment areas. Additionally, if necessary, consult the guiding DRM organization. 3. Verify that these <i>ex ante</i> activities are explicitly provided for within the determining factors established within the national budget in order to access these incentives.
Description of the minimum required situation for the condition to be positive
Offer at least one example of TMU incentives or stimuli within the national budget and whose requirements to access the advantages or benefits include the performance of <i>ex ante</i> DRM activities.
Examples of positive conditions in countries in the Region
<p>Peru: Incentive plan for the improvement of municipal management, municipal modernization program, which was created via Law No. 29332, modified via Urgent Decree No. 119-2009 and incorporated into the Public Sector Budget Laws in successive years. Said plan includes disaster risk prevention within its objections.</p> <p>Mexico: The ROFOPREDEN from December 23, 2010, provide resources to conduct preventive projects focused on reducing risks, avoiding or decreasing the effects of the destructive impact of disruptive natural phenomena (article 2). The beneficiaries (stated in article 10) may be states or, as appropriate, the municipalities or delegations of the Federal District (based on the priorities in its Atlas of Risks and pursuant to state regulations issued to that effect). For this purpose, the preventive projects that are authorized shall be financed (article 21) pursuant to a variable co-participation defined based on two criteria and a methodology defined in Appendix 5, which demonstrates that those projects that are focused more on risk awareness and identification are incentivized, as well as those that focus on more marginal populations.</p>

Closed-Ended Question
10. Is there an incentive budget for the different sectors (ministries) responsible for implementing <i>ex ante</i> DRM activities?
General description of indicator
It is important that different sectors develop, schedule and execute <i>ex-ante</i> DRM actions. This is based on the fact that the participating ministries or secretariats are responsible for the administration of a specific number of state fiscal responsibility goods that could be affected by disasters. Therefore, it is considered best practice to create budget incentives so that different sectors implement these actions. It should be understood that "Incentive" does not mean the obligation to create an item in the national budget, but rather that there is a mechanism that represents budget advantages for sectors to conduct these <i>ex ante</i> DRM activities.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify at least one case in the national budget of incentives or stimuli aimed at one or several sectors to give ministries or secretariats with specific advantages or benefits to conduct <i>ex ante</i> DRM activities. 2. Consult the authorities, either treasury, economy or finance, or, if appropriate, planning, focusing specifically on the budget and investment areas. Additionally, if necessary, consult the guiding DRM organization. 3. Verify that these <i>ex ante</i> activities are explicitly provided for within the determining factors established within the national budget in order to access these incentives.
Description of the minimum required situation for the condition to be positive
Offer at least one example of sector incentives or stimuli within the national budget and whose requirements to access the advantages or benefits include the performance of <i>ex ante</i> DRM activities.
Examples of positive conditions in countries in the Region
Mexico: The ROFOPREDEN from December 23, 2010, provide resources to conduct preventive projects focused on reducing risks, avoiding or decreasing the effects of the destructive impact of disruptive natural phenomena (article 2). The beneficiaries (described in article 10) can include, among others, dependencies and generally any other federal public instance whose powers or competency is compatible with the objectives of FOPREDEN (based on the priorities in its Atlas of Risks and pursuant to the state regulation issued to that effect). For this purpose, the preventive projects that are authorized shall be financed (article 21) pursuant to a variable co-participation defined based on two criteria and a methodology defined in Appendix 5, which demonstrates that those projects that are focused more on risk awareness and identification are incentivized, as well as those that focus on more marginal populations.

Closed-Ended Question
1. Is it stated within the national regulations on Disaster Risk Management that disaster risk management must be subjected to control by the respective authorized organizations?
General description of indicator
<p>The public functions of oversight, auditing, inspection, accounting, etc., executed by national oversight, auditing or accounting organizations or any equivalent institution, are focused on overseeing the legality of the management of national or federal public administration, the effective and transparent use of public resources and compliance with budgets, plans and programs.</p> <p>Regardless of the fact that the legal framework for the public oversight function implies its exercise throughout the entirety of national or federal public administration, this indicator recognizes as best practice that the national DRM regulations be those that specifically indicate those legal, expense and finance, operational or goal or objective compliance aspects, etc. that should expressly be overseen by oversight organizations.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of specific national regulations to regulate DRM. 2. Verify if said national DRM regulations state that all or some of its regulations shall be subject to the oversight by oversight organizations. 3. Investigate if, within the legal framework of DRM, any standards or decrees have been issued after the publication of national regulations in which national oversight bodies were assigned new tasks in this regard.
Description of the minimum required situation for the condition to be positive
In order to comply with the conditions of this question, the national DRM regulations must explicitly establish that compliance with its regulations shall be subject to oversight by national oversight organizations.
Examples of positive conditions in countries in the Region
<p>Centralized countries</p> <p>Costa Rica: Law 8488 of November 22, 2005. Article 28. Inspection. This article establishes the responsibility of the General Comptroller of the Republic and internal auditing offices of public institutions to monitor the application of regulations to manage causes of risk, as well as the explicit consideration of measures of prevention.</p> <p>Peru: Law No. 29664 of February 8, 2011, which creates the National Disaster Risk Management System (SINAGERD) (article 4, item VIII) establishes the involvement of oversight entities in DRM.</p> <p>Federal country</p> <p>Mexico: The General Civil Protection Act, published in June 2012, states in Article 5 that the civil protection authorities (listed in article 27 of this Act) should act based on principles, including those indicated in section VI: "Legality, oversight, efficacy, rationality, equity, transparency and accountability in the administration of public resources." Additionally the same Act states: Article 63, Fifth Paragraph <i>"The federal offices and entities shall facilitate that the Public Function may directly or, as appropriate, through the internal oversight bodies of the federal offices and entities, conduct, at any time, per their area of competency, the inspection, inspection and oversight of said resources, including the budgetary/scheduling review and the physical inspection of the works and actions supported by federal resources, as well as receive, address and follow-up on concerns and complaints submitted regarding their management."</i></p>

Code: GF 3-2

Closed-Ended Question
<i>2. Are there regulations regarding transparency of how DRM is publicly managed?</i>
General description of indicator
<p>The exercise of power by the public administration at all levels of government cannot be envisioned in actuality if it is not coupled with the political will to make the information generated in the course of their duties public. For this purpose, transparency regulations are issued that stipulate the framework within which this premise must be met.</p> <p>The policy of transparency contains an element in favor of compliance with the objectives of DRM, as, in general, it allows the population to have broader understanding of what risk management involves and how authorities intervene, especially for populations that are certain levels of exposure and vulnerability, as it can provide them with knowledge of possible prevention and self-protection measures.</p> <p>Additionally, the standards of transparency and accountability are a fundamental opportunity to reduce risk factors related to corruption and the improper application of existing regulations and procedures.</p>
Steps to follow to obtain the required information
<p>1. Investigate the existence of transparency regulations with regard to public management.</p>
Description of the minimum required situation for the condition to be positive
<p>In order for this response to be positive, there must be regulations in force that establish the principles of transparency in public management for the country. There does not have to be express mention of DRM.</p>
Examples of positive conditions in countries in the Region
<p>Guatemala: The Access to Public Information Act issued via (Decree No. 57-2008) on September 23, 2008 is applicable to DRM. Also, the Regulations of Law No. 109-96, the National Coordinator for the Reduction of National or Provoked Disasters Act (CONRED), adopted through Governmental Agreement No. 49-2012, of March 14, 2012 establishes the Public Information Unit in Article 55. Said Unit is "responsible for receiving and managing public information requested by interested individuals or legal entities and that is found in the archives of the Executive Secretary of CONRED..." in compliance with Legislative Decree No. 57-2008, "Access to Public Information Act."</p> <p>Mexico: The Federal Transparency and Access to Public Government Information Act, LFTAIPG, from June 11, 2002, states in Article 1 that this Law is a public order and has the goal of guaranteeing access for everyone to information in the possession of the Powers of the Union, the autonomous constitutional bodies or those with legal autonomy and any other federal entity. The scope of Article 1 includes the public information managed by the authorities involved in DRM, with the exceptions described by the same Act. Article 5 defines information as: "That which is contained in the documents that the required subjects create, obtain, acquire, transform or store under any name."</p>

Code: GF 3-3

Closed-Ended Question
<p>3. <i>Has the national controlling entity concluded at least one compliance assessment on the existing regulations in disaster risk management within the last 5 years?</i></p>
General description of indicator
<p>The existence of an outside monitoring mechanism beyond the organizations responsible for DRM coordination can generate increased transparency in the identification and application of oversight and adjustment mechanisms. It is hoped that the national entities responsible for this kind of general state supervision and auditing processes integrate the implementation of DRM regulation analysis in their processes.</p> <p>This analysis does not include evaluations of issues that are not explicitly related to DRM regulations, such as assessments of contractual procedures in the event of disasters.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the structure of the National Oversight System. It isn't structured as a system in all countries. In these cases, identify the existence of a Comptroller of the Republic, National Accounts Court or similar office. 2. Investigate the completion of at least one verification or assessment of compliance with DRM regulations in the last 5 years in the country. 3. Possible verifiers include comptroller reports on disaster management following a catastrophic situation. These reports should address issues related to processes of risk estimation, prevention and reduction, and not just response processes. 4. Directly contact the organization in charge of the assessment process as it can be difficult to find this kind of assessments online.
Description of the minimum required situation for the condition to be positive
<p>In order for this response to be considered positive, there should be at least one assessment report on compliance with existing DRM regulations in the last 5 years.</p>
Examples of positive conditions in countries in the Region
<p>Costa Rica: Report No. DFOE-PGAA-IF-17-2010, of July 15, 2010, from the Evaluative and Operational Inspection Division of the General Comptroller of the Republic, regarding the Limitations Presented by the Management of the National Commission for Risk Prevention and Emergency Response (CNE) for Emergency Response Coordination, Supervision and Oversight in the Phases of Rehabilitation and Reconstruction, as well as Report No. DFOE-PGAA-IF-15-2009 of September 3, 2009 from the same Inspection Division on the Management of the National Commission for Risk Prevention and Emergency Response with Regard to Prevention are both tools that show compliance with the indicator.</p> <p>Colombia: In July 2012, the General Comptroller of the Republic published a Report on the status of natural resources and the environment. 2011-2012 in which it conducted an assessment of performance of both national and territorial entities with regard to DRM during the period in question. Additionally, various departmental comptrollers have issued "warning functions" in 2013. As a verifier, the case of the GC of Putumayo to the Governor and municipal governments with regard to compliance with Law 1523 of 2012 as related to compliance with DRM regulations is submitted.</p>

Code: GF 3-4

Closed-Ended Question
<i>4. Has the responsible national coordinating organization along with any other territorial sector conducted an assessment on disaster risk management within the last 3 years?</i>
General description of indicator
The DRM assessments carried out by national entities correspond, for example, to the monitoring template application exercises for the Hyogo Framework for Action or assessments on the DRM National Implementation Plan.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the completion of at least one DRM assessment in the last 3 years in the country by the national DRM coordinating entity. 2. The assessment can be on any of the DRM processes, except preparation and response (which will be examined in the PP4). <p>There is at least one important source that is shared between almost all countries: The report on the global UNISDR platform on compliance with the Hyogo Framework for Action. NOTE: this self-assessment is taken by the same institutions that score it, meaning that it is not an outside assessment.</p>
Description of the minimum required situation for positive conditions
In order for this response to be considered positive, there must be at least one assessment report by the DRM coordinating entity in the last 3 years.
Examples of positive conditions in countries in the Region
<p>Hyogo Monitor: Country self-assessment on HFA compliance:</p> <p>Argentina: HFA implementation progress report (2011-2013). http://www.preventionweb.net/english/policies/v.php?id=28905&cid=7</p> <p>Bolivia: HFA implementation progress report (2011-2013) http://www.preventionweb.net/english/policies/v.php?id=32828&cid=21</p> <p>Mexico: The Natural Disaster Prevention Fund, FOPREDEN, funded the "Assessment of the National Civil Protection System" in 2013, presented by the General Civil Protection Office, authorized by the terms of articles 44 and 45 of the ROFOPREDEN and funded in the amount of €372,043.00 (Three hundred seventy-two thousand, forty-three Euros and 00/100), published in order to comply with article 22 section X of ROFOPREDEN. This assessment was conducted by the Organization for Economic Co-operation and Development (OECD), based on its methodology Reviews of Risk Management Policies and the document The Emerging Risks in the 21st Century.</p>

Code: GF 3-5

Closed-Ended Question
5. <i>Is there at least a mechanism of civil society participation applicable to disaster risk management?</i>
General description of indicator
The fact that the regulations include criteria for social participation gives the regulatory framework a level of quality. Verify if at least one mechanism for participation has been activated pursuant to the law.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate if the existing regulations include the creation of participation and consultation mechanisms. 2. Verify if those mechanisms exist in law and are integrated and include community, civil society and private sector levels. 3. Investigate if the processes for encouraging participation, such as round tables, national discussions, or consultations, that are not created in an express fashion, have been validated by DRM entities as consultation mechanisms (the HFA report elaboration processes can be a source of information).
Description of the minimum required situation for positive conditions
In order for this response to be considered positive, there must be at least one mechanism for participation and integrated consultation that includes community organizations, civil society and the private sector in DRM and that meets or establishes the periodic exchange of opinions at least once a year.
Examples of positive conditions in countries in the Region
<p>Guatemala: The National Roundtable for Dialogue on Management for Disaster Risk Reduction was established in March 24, 2009 by the Government of Guatemala as a space to bring together and coordinate the public and private sectors for an indefinite period of time, the purpose of which is to elevate the consensus on management for disaster risk reduction to the President of the Republic and the National Council on Urban and Rural Development. The first draft of the Operational Protocol from September 2009 defines its scope and objectives. In June 2012, the National Roundtable for Dialogue published the Extraordinary Session Report to follow-up on the implementation strategy for the National DRR Policy.</p> <p>Mexico: The Planning Act, of January 5, 1983, states in Article 1 how planning processes should be carried out in Mexico, establishing "...IV. <i>The foundations for promoting and guaranteeing democratic participation of the various social groups, as well as indigenous populations and communities, through their representatives and authorities, within the Plan and the programs mentioned in this Act...</i>" These foundations represent the guarantee for the participation of the society in general in these processes. Within the DRM environment, this is executed by the Department of Governance through the National Civil Protection Commission with the National Civil Protection Program, the creation of which is based on consultations, as stated in the chapter entitled Public Consultation to Create the Program.</p>

Closed-Ended Question
<p>1. Are there regulations to designate a responsible national party to provide technical assistance and guidelines at territorial and sectorial levels for the disaster risk analysis?</p>
General description of indicator
<p>This indicator gives great importance to the existence of regulations that creates a technical office with the competency, budget and structure such that its main functions include conducting comprehensive studies on disaster risk (with its danger, vulnerability and exposure components), as well as establishing lines, criteria, standards, parameters, etc. that serve to quantify and qualify the values and scales for the analysis of disaster risk, and that, within this context, provide aid and education to all national sectors, levels of government and, as appropriate, the social and private sectors.</p> <p>This office should not be confused with specialized scientific or technical organizations that are responsible for conducting specialized field studies on natural phenomena and threats (such as geology or hydrology departments or institutes).</p> <p>Like other risk management processes, it is possible that the country may have a national entity in charge of "territorial studies," for instance. In those cases, it should be verified if the regulations of said entity include risk analysis.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of regulations that have created an office for comprehensively studying (analyzing) risk. 2. Discard those cases with other organizations that conduct scientific or technical studies on dangerous processes, meaning those on just threats or dangers. 3. Review the regulations on territorial studies or the regulations associated with Territorial Organization (TO) (it could be that within the framework of TO, a research or territorial analysis institute is created that is in charge of basic studies. In these cases, analyze if the regulations for said entity explicit consider disaster risk analysis one of its functions).
Description of the minimum required situation for positive conditions
<p>Regulations that designate a national actor responsible for promoting disaster risk analysis in the country as a process that evaluates damage in advance and that aids territorial or sector groups within these activities.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Chapter III of Law No. 29664 (SINAGERD) creates the National Center for Estimation, Prevention and Risk Reduction (CENEPRED), article 12, item "d" of which states that CENEPRED should <i>"advise in the development of actions and procedures that allow for the identification of natural or man-made dangers, analyze vulnerabilities and establish risk levels that allow for decision-making with regard to Disaster Risk Management."</i> Additionally, item "f" makes it responsible for <i>"...creating the guidelines for the development of the technical tools that public entities can use for the planning, organization, execution and monitoring of disaster risk estimation, prevention and risk Reduction."</i></p> <p>Mexico: The General Civil Protection Act of June 6, 2012 states that the National Disaster Prevention Center (CENAPRED) is, per Article 23, <i>"...the scientific/technical institution within the National Civil Protection Coordination Office in charge of creating, managing and promoting public policies in the areas of disaster prevention and risk reduction through research, monitoring, training and dissemination. Its attributions include technical support for the National System, as well as mainstreaming of the National Atlas of risks."</i> Additionally, the Internal Regulations of the Secretary of Governance (RI-SEGOB) of April 2, 2013, state in Article 109 that <i>"The National Disaster Prevention Center has the following attributions: ... II. Integrate the National Atlas of risks and promote the instrumentation of a Subsystem of information on risks, dangers and vulnerability, as well as supervise, and when appropriate, advise States on the mainstreaming of their atlases of risks..."</i></p>

Code: RI-1A-2

Closed-Ended Question
2. <i>Are there regulations to designate a responsible national party to define methodologies for preparation studies on climate change effects?</i>
General description of indicator
In the case of Climate Change (CC), a fundamental item is the existence of regulations at the disposal of a technical body/office with the competence to establish methodologies to carry out studies and research on its effects. Normally, this is done by institutions in the national environmental or hydrometeorological sectors, but other times it is not a responsibility expressed in regulations. Therefore, this indicator recognizes those countries with current regulations that determine competency to create such methodologies.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Review, in the case of those countries with an entity formally charged with following risk analysis processes (indicator RI 1A-1), if these regulations also provide for studies on the possible effects of CC. Note that, like indicator RI 1A-1, the item of interest is verifying the "possible effects." These are not physical studies on climate, but rather on its potential effects. 2. Analyze the national communications on climate change. These normally include a description of the national legal and institutional framework with regard to CC. 3. Analyze the country's CC regulations.
Description of the minimum required situation for positive conditions
The existence of regulations that expressly appoint an institutional office responsible for setting methodologies for the conduct of studies on the effects of CC. The condition is also positive when the regulations appoint a responsible party in the country for conducting studies on the "possible" effects of CC. (Note, it should expressly be "effects," which are not climate studies <i>per se</i>).
Examples of positive conditions in countries in the Region
<p>Argentina: Decree No. 2213 of the National Executive Branch on the United Nations Framework Convention on Climate Change establishes the Department of Environment and Sustainable Development as the Authority for the Application of Law No. 24.295 of November 5, 2002. The condition was met in 2007 through Resolution No. 58/2007 from the Head of the Cabinet of Ministers, of March 9, 2007, which approves the oversight at levels below the first operational level by the Department of the Environment and Sustainable Development and which establishes the Climate Change Office (CCO), Appendix II of which states that the responsibilities of the CCO include "3. <i>Create and propose to the National Director of Sustainable Development Management, for his/her approval, the policy guidelines with regard to climate change, the identification of priority sector areas for implementing mitigation activities, the determination of national goals for the possible reduction of emissions by sector, and the setting of strategies and guidelines for mitigation activities by sector pursuant to national sustainable development policies.</i>" Also, "4. <i>Coordinate the creation of National Communications that are part of the commitments resulting from the United Nations Framework Convention on Climate Change.</i>" Through these National Communications, the CCO establishes the various components and methodologies for the conduct of studies on the effects of climate change. As reported on page http://www.ambiente.gov.ar, work is currently being done on the Third National Communication, with the last recent being the 2nd National Communication from the Republic of Argentina to the United Nations Framework Convention on Climate Change from October 2007, in which constant mention is made of the use of methodologies. Examples can be found in the table of contents, such as Chapter 3, Republic of Argentina greenhouse gas inventory, 3.1 Greenhouse gas emissions and absorption inventory (INVGEI) that are not controlled by the Montreal Protocol, 3.1 Introduction, 3.1.1 Methodology.</p> <p>Mexico: The National Climate Change Strategy, of June 3, 2013, states the following on page 8: "...<i>The National Ecology and Climate Change Institute (INECC) is the research institute that creates the General Climate Change Act to coordinate and conduct scientific and technological research studies and projects with academic research institutions, public and private, foreign and domestic, with regard to climate change. It is the institution in charge of conduction prospective sectorial analysis and collaborating in the creation of climate change-related strategies, plans, programs, tools and actions, including the estimation of the future costs associated with this phenomenon and the benefits derived from the actions for addressing the same...</i>"</p>

Closed-Ended Question
3. Are there regulations ordering the creation and maintenance of Information Systems for Disaster Risk Management?
General description of indicator
<p>With regard to public policies related to DRM, a good measure is regulations ordering the creation of Information Systems as a tool that allows for the collection, storage, organization, systematization, maintenance and access to useful information to support risk management work.</p> <p>These systems should be decentralized, offer free and open access and, to the extent possible, contain local scale information. Additionally, they should be part of the metadata standardization initiatives within the spatial data infrastructure.</p> <p>The system can be a "subsystem" of other related systems, such as a National Environmental Information System that has a "disaster risk" module or other similar component.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Analyze DRM regulations on territorial studies, information systems or environmental process documentation (such as "environmental observatory" type standards). 2. Confirm if these regulations provide for the creation and maintenance of information systems for the administration of useful information for DRM tasks that serve to determine probable effect scenarios, meaning that they integrate information on the occurrence of natural events and vulnerability and exposure conditions. 3. Confirm that these information systems are decentralized and offer open and free access. 4. Discard those information systems created through the monitoring of natural physical processes and those that record historical disaster data.
Description of the minimum required situation for positive conditions
<p>It should not be confused with systems for monitoring natural physical processes (weather or volcano observation networks, for example), nor with information systems that record damages or emergencies or historical disasters. In order for it to be considered an information system on risk issues, it must serve to determine scenarios for possible future effects, meaning that it should integrate aspects from the probable occurrence of physical events and exposure and vulnerability conditions (even just as indications) for the socioeconomic elements within the territory.</p> <p>What should be investigated is not if there is a DRM information system in the country, but rather the existence of regulations that require the existence of these systems (for example: a country could have a DRM web application or information system but if this is not legally created, by regulations, then the condition is not met. The country could also have regulations that order the creation of the system, but might not have designed or implemented said system. <u>In this case, the condition is met</u>, since it does not ask for the System as such, but rather the regulations that create the same. Obviously, in the explanation of the verification of the indicator, it should be explained that the regulations have not yet been complied with).</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law No. 29664 of February 8, 2011, which creates SINAGERD, integrates the National Information System for Disaster Risk Management (SNIGRD) as one of the "tools of the National Disaster Risk Management System of Peru" in Article 19, section "d." Additionally, in Article 10, item "i," it states that the responsibilities of the Office of the President of the Council of Ministers (PCM) include organizing, managing and keeping up to date the National Information System in question.</p> <p>Mexico: Article 19, section XXI of the General Civil Protection Act of June 6, 2012 states "<i>Promote the instrumentation of a Subsystem of Information on risks, Dangers and Vulnerabilities that allow for a population informed in a timely fashion; XXII. Supervise, through CENAPRED, the creation and updating of the national atlas of risks, as well as those corresponding to states, municipalities and delegations... The Atlas contains information at the national, state, Federal District, municipal and delegation level. It consists of databases, geographic information systems and tools for the analysis and simulation of scenarios, as well as the estimation of losses due to disasters. Due to the dynamic nature of the risk, it should be a tool that is constantly updated...</i>"</p>

Closed-Ended Question
4. Are there regulations that establish the creation, systematization or updating of databases on the effects of disasters?
General description of indicator
A best practice in risk management public policies is having databases on the effects of disasters that have occurred. These databases supplement risk studies with empirical evidence. The catalogs on the effects of disasters should include data on the effects of disasters and not a record of emergencies or incidents.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Analyze regulations on risk management, preparedness processes, disaster response or management (e.g. Civil Defense or Protection regulations) and those that support DRM information systems and for environmental analysis or diagnosis. 2. Confirm the existence of provisions to create historical databases on the effects and consequences of disasters. 3. Confirm that instructions are also in place for these databases to be systematized or updated continuously, such that it is not the result of a single effort, but a constant process.
Description of the minimum required situation for positive conditions
Provisions for the creation of a database on the effects of disasters, whether within national DRM regulations or, as appropriate, regulations on disaster preparedness. These regulations may be included within the framework of DRM Information Systems (as a module or component). Regardless, the minimum condition is the existence of the regulations and not the implementation of said database.
Examples of positive conditions in countries in the Region
<p>Colombia: Article 45 of Law 1523 of 2012 states that it is the responsibility of the National Disaster Risk Management Unit "...to implement a national information system for disaster risk management." Additionally, in item 6, it states that said system shall, among others, allow for "Responding to needs for information on statistics on effects and the support provided by the National Disaster Risk Management System in emergency situations." NOTE: the creation, systematization and updating of databases on the effects of disasters is an implicit obligation of the Information System pursuant to Article 45 of Law 1523, item 6.</p> <p>Venezuela: In a wide number of countries, the <i>DesInventar</i> database is used, which plays this role directly or indirectly and has served as a standard in the Region. However, in those countries, it has not been established that said database should be used continuously, a practice that is desired. In Venezuela, Law 448 of January 9, 2009 on Comprehensive Socio-natural and Technological risk Management, article 12, item 6, establishes the relevance of creating information systems [...] to guarantee the availability of historical information. Other than <i>DesInventar</i>, which is implemented in the National Civil Protection and Disaster Administration Office, the Ministry of Popular Power in Science and Technology, through FUNVISIS, has implemented a broader database of national studies and disasters that meet these characteristics.</p> <p>Mexico: The General Civil Protection Act of June 6, 2012 establishes the following in Article 34: "<i>The National Committee (on Emergencies) shall have the following powers: I. Analyze the emergency or disaster situation affecting the country in order to evaluate the scope of the impact and formulate the necessary recommendations to protect the population, their goods and their environment...</i>" and this is done through a multisector information system known as SVRES, access to which is restricted and contains an EDAN report and a report on the situation for each sector. Additionally, the Operational Regulations for the National Disasters Fund (RO-FONDEN) from December 2010, with regard to reconstruction actions, provide for the creation of a Damage Assessment Committee (Article 11), which shall solely provide for the assessment and quantification of sector damages and whose diagnoses should be captured by the public servants appointed for said purpose in each subcommittee on the website established for said purposes by SEGOB..." (Article 12). The established system is known as "FONDEN online" and can be accessed by authorized public servants.</p>

Code: RI 1B-1

Closed-Ended Question
<i>1. Are there regulations which establish that studies on the threat by geological events should consider the frequency of occurrence of such event and their associated levels and intensities?</i>
General description of indicator
<p>This indicator is an investigation of the existence of regulations that create a probabilistic focus in threat studies associated with geological events.</p> <p>The probabilistic analysis of risk is represented by a rate curve or annual probability of exceedance of intensity parameters for phenomena (the inverse of which is the period of return) for each point of the analyzed territory. This means that, spatially, each point of the territory should have a frequency of occurrence (represented by a function of distribution of probability) for a parameter that characterizes intensity.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Analyze regulations on risk management; insurance for the regulatory body; financial protection in the event of disasters and building safety in the event of natural disasters. 2. Confirm that any of the regulations examined establish the probabilistic analysis of risk associated with geological events. 3. Discard those cases that conduct mere threat studies without considering the frequency of occurrence associated with the intensity levels of the events.
Description of the minimum required situation for positive conditions
The item to evaluate is the inclusion of regulations with a probabilistic focus. The condition is met if the regulations expressly establish that the frequency of occurrence associated with the intensity levels of the events, or a probabilistic focus, should be considered.
Examples of positive conditions in countries in the Region
<p>Mexico: The National Disaster Prevent Center (CENAPRED) established a "Basic Guide for the Creation of State and Municipal Atlases of Dangers and risks: Basic Concepts on Dangers, Risks and Their Geographic Representation" (CENAPRED. 1st Edition, November 2006). This Guide, based on the 2012 legal reforms, has become the most immediate referential guide to follow for the creation of Atlases of risks at a local or sector level that are supervised by CENAPRED. The Guide states that studies related to geological studies should consider frequency of occurrence associated with the intensity levels of events (section 1.4.2). The main source of funding for the creation of these Atlases is FOPREDEN, and its data sheet to request funding for these kinds of studies contains a special section (Section V: additional requirements for an Atlas of Dangers and risks) that requests "a commitment letter to adhere to the Terms of Reference and Guides for Minimum Content, as well as the Methodologies created by CENAPRED for the creation of State and Municipal Atlases of Dangers and risks."</p>

Code: RI 1B-2

Closed-Ended Question
<i>2. Are there regulations which establish that threat by climate or hydrological events should consider the frequency and occurrence of such event along with the associated levels and intensities?</i>
General description of indicator
<p>This indicator is about investigating the existence of regulations that establish a probabilistic focus in studies of threats associated to climate and hydrological events.</p> <p>The probabilistic analysis of risk is represented by a rate curve or annual probability of exceedance of intensity parameters for phenomena (the inverse of which is the period of return) for each point of the analyzed territory. This means that, spatially, each point of the territory should have a frequency of occurrence (represented by a function of distribution of probability) for a parameter that characterizes intensity.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Analyze the regulations on risk management, insurance for the regulatory body, financial protection in the event of disasters and territorial organization. 2. Confirm that any of the regulations under consideration establish the probabilistic analysis of risk associated with hydrological and climate events. 3. Discard those cases that conduct mere threat studies without considering the frequency of occurrence associated with the intensity levels of the events.
Description of the minimum required situation for positive conditions
The item to evaluate is the inclusion of regulations with a probabilistic focus. The condition is met if the regulations expressly establish that the frequency of occurrence associated with the intensity levels of the events, or a probabilistic focus, should be considered.
Examples of positive conditions in countries in the Region
<p>Mexico: The National Disaster Prevent Center (CENAPRED) established a "Basic Guide for the Creation of State and Municipal Atlases of Dangers and risks: Basic Concepts on Dangers, Risks and Their Geographic Representation" (CENAPRED. 1st Edition, November 2006). This Guide, based on the 2012 legal reforms, has become the most immediate referential guide to follow for the creation of Atlases of risks at a local or sector level that are supervised by CENAPRED. The Guide states that studies related to hydrometeorological threats should consider the frequency of the occurrence as associated with the intensity levels of the events (section 1.4.4). The main source of funding for the creation of these Atlases is FOPREDEN, and its data sheet to request funding for these kinds of studies contains a special section (Section V: additional requirements for an Atlas of Dangers and risks) that requests "a commitment letter to adhere to the Terms of Reference and Guides for Minimum Content, as well as the Methodologies created by CENAPRED for the creation of State and Municipal Atlases of Dangers and risks."</p>

Closed-Ended Question
3. Do the national Disaster Risk Management regulations stipulate that each sector is responsible to carry out disaster risk analysis in the scope of its sectorial powers?
General description of indicator
Considering that DRM is a public policy that should affect all aspects of national or federal public administration, with the understanding that its objectives and vision are shared by all sectors, it is desirable for DRM regulations to require that each sector should, within the scope of its competencies and jurisdictions, conduct studies to determine its exposure, vulnerability and risk, since as sectors analyze their level of risk versus natural phenomena, they can begin the subsequent risk reduction processes.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Confirm the validity of specific national DRM regulations. 2. Review if these national DRM regulations expressly stipulate that the different public administration sectors shall be empowered to carry out actions to identify disaster risk in each of their areas. This risk analysis assumes a study of vulnerability, threat and exposure. 3. Discard those actions related to other phases of DRM, such as disaster preparedness or recovery tasks.
Description of the minimum required situation for positive conditions
At the least, the regulations should make mention of disaster risk management (meaning measuring threats and vulnerability of elements exposed to the same). This should not be confused with regulations that state that the sectors are responsible for carrying out disaster preparedness actions. Nor should it be assumed that the sectors conduct risk analysis as part of the prior actions for DRM or emergency plans, meaning, the goal is to evaluate the existence of regulations that expressly make sectors responsible for conducting their own disaster risk estimations.
Examples of positive conditions in countries in the Region
<p>Peru: Law No. 29664, which creates SINAGERD, issued February 8, 2011, Title II, Article 5, on the National Disaster Risk Management Policy, states in item 5.2 that "<i>Public entities, at all levels of government, are responsible for implementing the guidelines of the National Disaster Risk Management Policy within its planning processes.</i>" Additionally, item 5.3, line the aforementioned guidelines of the National Policy states that "<i>...DRM should be an intrinsic part of the planning processes of all public entities...</i>" and that "<i>...they should reduce the risk of their own activity and should avoid the creation of new risks.</i>" In Title III, Chapter VII, Subchapter I, Public entities, item 16.1 of the same states that "<i>Ministers are the maximum authorities responsible for the implementation of Disaster Risk Management processes within their corresponding areas of competency.</i>" Finally, the same Law states in article 6, item 6.1, line a, that Prospective Management, a component of the National DRM Policy, is defined as "<i>...the set of actions that are planned and carried out in order to avoid and prevent the creation of future risk...</i>" Additionally, item 6.2, line a defines "risk estimation" as "<i>...actions and procedures that are carried out in order to create knowledge of dangers or threats...</i>"</p> <p>Colombia: Article 2 of Law 1523 of 2012 states that: "risk management is the responsibility of all the authorities and inhabitants of Colombian territory. In accordance with this responsibility, public, private and community organizations shall develop and carry out risk management processes, namely: risk knowledge, risk reduction and disaster management, within the framework of their competencies, scope of action and jurisdiction, as components of the National Disaster Risk Management System."</p>

Closed-Ended Question
<p>4. Do the National Disaster Risk Management regulations mandate that public service providers are responsible to carry out disaster risk analysis within the scope of their operations?</p>
General description of indicator
<p>To the extent that companies providing public services are responsible for knowing the risk of their operations in the event of natural phenomena (and are also responsible for reducing the same), the State in general will have a smaller fiscal burden with regard to disaster risk. Therefore, it is considered best practice to have regulations that expressly establish these responsibilities, even if the businesses are governed by private law, as whenever the exposed infrastructure is public in nature (and chartered), an interruption of service represents a significant social cost.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Confirm the validity of a specific national DRM regulation. 2. Review if these national DRM regulations expressly stipulate that companies providing public services are responsible for identifying risk within the scope of their operations. This risk analysis assumes a study of vulnerability, threat and exposure. 3. Discard those actions related to other phases of DRM, such as disaster preparedness or recovery tasks.
Description of the minimum required situation for positive conditions
<p>The national DRM regulations (or equivalent) should have an express statement on the responsibility of the companies providing public services (or however these companies are called in this country) to analyze risk within the scope of their operations. It must be shown that the regulations indicate responsibilities for being aware of risk, meaning that the condition is not met if the regulations do not specify public service organizations or if it only refers to a specific DRM process other than risk analysis. The condition is considered met when the regulations allocate risk management responsibilities in general, and that the same regulations state that risk analysis or awareness are part of DRM as such.</p> <p>Additionally, the condition is also met if the DRM regulations establish the responsibility of public entities in general, as long as the companies that provide public services are considered public entities in the country under analysis.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: Law 1523 of 2012, through which the national DRM policy is adopted and the National Disaster Risk Management System is established and other provisions are issued, and which establishes in Article 2 that <i>"risk management is the responsibility of all authorities and inhabitants of Colombian territory in accordance with this responsibility, public, private and community organizations shall develop and carry out risk management processes, namely: risk knowledge, risk reduction and disaster management, within the framework of their competencies, scope of action and jurisdiction, as components of the National Disaster Risk Management System."</i> Specifically, Article 42 of said law states that "All public or private entities in charge of providing public services, that carry out large civil works or develop industrial or other kinds of activities that could represent disaster risk for society, as well as those specifically determined by the National Disaster Risk Management Unit, should conduct a specific risk analysis to consider the possible effects of natural events on exposed infrastructure and those arising from damages to the same in their area of influence, as well as those derived from their operation. Based on this analysis, they will design and implement mandatory risk reduction measures and emergency and contingency plans."</p> <p>Costa Rica: Law No. 8488, the National Emergency and risk Prevention Act, of October 27, 2005, Chapter IV, Article 25, states that <i>"It is the responsibility of the Costa Rican state to prevent disasters: therefore, all institutions are required to consider the concepts of risk and disaster in their programs and include those ordinary management measures that are appropriate and timely to prevent them occurring, thus promoting a culture of prevention."</i> Additionally, Article 26 states that <i>"...Public Institutions should</i></p>

coordinate their prevention programs and activities with the Commission, considering them a public policy process that should operate in a permanent and sustained fashion with a systemic approach and as part of the National Risk Management Plan..." It should be noted that the Law itself defines risk in Article 4 as the "Probability that economic, social or environmental losses, damages or consequences occur at a specific site and in a defined period. It is obtained by linking the threat with the vulnerability of the exposed elements." And if risk analysis is not explicitly defined, it can be inferred.

Mexico: The provision of public Water and Electricity services in Mexico are in the hands of the State, while this is not the case for telecommunications or transportation services. However, the General Civil Protection Act of June 2012 establishes this responsibility for service provision companies, whether public or private, in the implementation of their internal operational continuity operations, which include risk analysis for their maintenance operations (Articles 2, 39 and 40) Additionally, this responsibility is reinforced by a multisector policy contained in Article 4 that states: *"Public civil protection policies shall adhere to the National Development Plan and the National Civil Protection Program, and have the following priorities for that purpose: I. The identification and analysis of risks as a foundation for the implementation of prevention and mitigation measures..."* These tasks are predefined in the SINAPROC Organization and Operating Manual, issued by the Secretary of Governance in the exercise of its powers as Executive System Coordinator, published in the Official Gazette of the Federation (DOF) on October 23, 2006, which establishes the concrete responsibilities in risk identification by type of dangerous phenomena for, among others, the National Water Commission (CONAGUA), the Federal Electricity Commission (CFE) and Petróleos Mexicanos (PEMEX). For example, please see page 24 *"...Prevention Subprogram... Geological Phenomena... PEMEX... Identify the petroleum facilities located in geological risk zones, determining their level of risk and degree of vulnerability and establish specific prevention actions and measures that will provide greater security for the same...CFE: Identify the geological risk zones for the country. Perform site selection studies to site the facilities and develop soil mechanics studies... Identify the facilities for generation, transmission, transformation, distribution, control, construction and administration processes located in geological risk zones and their degree of vulnerability, diagnosing possible effects in the event of disaster."*

Code: RI 1B-5

Closed-Ended Question
5. <i>Do the science, technology and innovation regulations (or equivalent) include the promotion of knowledge on disaster risk in the country?</i>
General description of indicator
<p>It is considered a best practice for national regulations for science, technology and innovation (or equivalent system) to expressly establish the promotion of research or development of disaster risk awareness in the country.</p> <p>Regulations in this regard could facilitate the work of research institutes, universities or the student community in order to foment the financing of theses or research projects in this area.</p> <p>These regulations would also allow for the indirect verification of the relative importance that the country assigns to disaster research and risk awareness.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Locate the national regulations for science, technology and innovation issues (or equivalent in the country). 2. Review these regulations and verify if there is express mention of disaster risk awareness, either as a topic itself or as a result, goal or objective of the research promoted in other related topics.
Description of the minimum required situation for positive conditions
<p>The regulations on science, technology and innovation (or equivalent in the country) should contain at least one express mention of disaster risk awareness, either as a topic itself or as a result, goal or objective of the research promoted in other related topics, such as environmental management, territorial organization or development, among others.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law 28303 of 2004 "Framework Science, Technology and Technological Innovation Act": This regulation establishes the <i>role of the State</i> in science, technology and technological innovation activities (Article 5), item "d" as: the <i>"prevention of natural disasters through scientific and technological tools for the rational, efficient and sustainable use of natural resources."</i></p> <p>Argentina: Joint Resolution No. 841/12 from the Ministries of Science, Technology and Productive Innovation and of the Interior and Transport, from October 18, 2012, creates the risk Management Work Commission, composed of specialists in the area of the MINCYT Secretariat of Technological Coordination. Its main objective is to organize and coordinate the intervention of the National Science, Technology and Innovation System, in order to create <i>"...adequate coordination between System agents in order to contribute to the prevention of emergencies caused by natural disasters..."</i> The preamble of the Resolution states that the initiative shall work towards the creation of a National Databank of Extreme Events and Disasters and encourage the training of human resources in this area.</p>

Closed-Ended Question
6. Do the science, technology and innovation regulations (or equivalent) include the promotion of knowledge on climate change in the country?
General description of indicator
<p>It is considered a best practice for national regulations for science, technology and innovation (or equivalent system) to expressly establish the promotion of research or development of climate change knowledge in the country.</p> <p>Regulations in this regard could facilitate the work of research institutes, universities or the student community in order to foment the financing of theses or research projects in this area. These regulations also allow for the indirect verification of the relative importance that the country gives to climate research and knowledge in the country.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Locate the national regulations for science, technology and innovation issues (or equivalent in the country). 2. Review these regulations and verify if there is express mention of the promotion of climate change knowledge, whether as a topic itself or as a result, goal or objective of the research that is promoted in other related areas.
Description of the minimum required situation for positive conditions
The regulations on science, technology and innovation (or equivalent in the country) should contain at least one express mention of the promotion of climate change knowledge, either as a topic itself or as a result, goal or objective of the research promoted in other related topics, such as environmental management, territorial organization or development, among others.
Examples of positive conditions in countries in the Region
<p>Dominican Republic: Regarding the structuring of the second component, the 2008-2018 Strategic Science, Technology and Innovation Plan (SEESCyT), with regard to "Research, Development and Innovation Programs," considers the inclusion of three main areas (basic sciences, research and development, and technology and innovation), 19 programs and 68 subprograms. The "Basic Sciences" programs are the following: physics, mathematics, chemistry, biology and ecology, <u>climate change</u> and desertification, geology and earth sciences, territorial organization and socioeconomic studies. NOTE: the formulation of the 2008-2018 Strategic Science, Technology and Innovation Plan is mandated by Law 139-01 on the formulation of scientific and technological policies. The "National Technological Innovation and Development System" (SENIDT), created via Decree 190-07, also meets the need for coordination.</p> <p>Chile: The Fund to Finance Research Centers in Priority Areas (FONDAP) from the Chilean National Scientific and Technological Research Commission (CONICYT), in its "Baselines for the Fifth National Convention of Research Centers in Priority Areas - FONDAP for 2013," includes the following among its priority areas: "6. Water Resources: The future development of the country requires a growing quantity and quality of water resources, especially for agriculture and mining. Given this growing demand, and possible decrease of supply due to climate change, it is key to conduct scientific and technological research to develop and adopt innovative solutions..."</p>

Closed-Ended Question
7. Are there regulations to continue development and maintenance of observation and monitoring networks of at least two natural hazards in the country?
General description of indicator
In order to develop a risk identification process (analysis and representation), there needs to be information on natural processes over a series of prolonged time periods. This is achieved through the installation and continuous maintenance of observation and monitoring networks. Thus, this indicator evaluates if the regulations explicitly provide for the continuous development and maintenance of monitoring networks for at least 2 dangerous phenomena.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify which are the main networks of observation and monitoring of dangerous phenomena in the country. 2. Analyze the regulatory framework for each network. 3. Analyze if, for at least two observation and monitoring networks (for two different natural phenomena), there are regulations for their continuous development and maintenance.
Description of the minimum required situation for positive conditions
In most countries, there generally is a hydrometeorological monitoring network (usually a hydrometeorological service or university institute), and for the purposes of this indicator, said network should be supported by regulations that provide for their continuous development and maintenance. The existence of at least one other monitoring network for another natural phenomenon should be confirmed, such as: (i) a seismological network (including accelerographs and seismographs) or (ii) a volcanic monitoring network.
Examples of positive conditions in countries in the Region
<p>Peru: Law No. 24031, the Organic National Meteorology and Hydrology Service Act (SENAMHI), of December 14, 1984, establishes the functions of this entity in Article 4, line a of which includes: <i>"Organize, operate, control and maintain the National Network of Meteorological, Hydrological and Agro-meteorological Stations in accordance with the technical standards of the World Meteorological Organization (WMO)..."</i> The Peruvian Geophysical Institute (IGP) Act, issued via Legislative Decree No. 136 of June 12, 1981, describes in Article 5, line h, that the part of the functions of that institute include <i>"Carrying out the observation, collection and permanent recording of the parameters of geophysical phenomena and maintain updated information to allow for greater knowledge of the physical environment."</i></p> <p>Argentina: Law No. 19,616 of May 15, 1972, creates the National Seismic Prevention Institute (INPRES), the mission of which is to develop the National Seismic Prevention Policy. INPRES is in charge of installing and maintaining the national networks of seismological and accelerograph stations. Additionally, Decree 1432 of October 10, 2007 creates the National Meteorological Service (SMN). Article 3, paragraph (b) of this decree states that the functions and competencies of the SMN include: <i>"Planning, maintaining and operating the conventional and unconventional observation networks in national territory and adjacent oceans."</i> Finally, Decree No. 148 of 2001 creates the National Water Institute (INA), which issues reports on the hydrological situation of the Paraná, Paraguay, Uruguay and Bermejo rivers, hydrological forecasts on the Paraná river and reports or alerts on the possible hydrological scenarios in the Plata basin.</p>

Closed-Ended Question
8. Do the environmental sector regulations define the responsibility to carry out disaster risk analysis or adverse effects of climate change in the scope of its powers?
General description of indicator
<p>This indicator aims to determine the level of environmental sector involvement in disaster risk awareness, as well as of risks associated with possible adverse effects arising from changes in weather patterns. For this purpose, it should be investigated whether the regulations for the sector provide for these competencies.</p> <p>Given the nature of the environmental sector, this indicator includes both disaster risk analysis and the identification and analysis of adverse climate change effects.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations for the environmental sector of the country (laws, decrees, etc.) 2. Within these regulations, analyze the items that have to do with risk analysis, include climate change regulations. 3. Within these regulations, analyze if the responsibility to improve disaster risk awareness is actually defined, including risks arising from changes in weather patterns.
Description of the minimum required situation for positive conditions
<p>There must be evidence of current regulations in the environmental sector that expressly indicates competency to conduct studies or analyses of risk within the scope of sectorial competencies. For examples, for issues such as forest fires, analyze if the environmental sector regulations order the conduct of studies on probable losses associated with this risk. Other cases that can be verified to achieve a positive condition are related to aspects of climate change, such as if environmental regulations establish responsibilities in the face of the identification of possible future impacts.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Supreme Decree No. 086-2003-PCM, of October 27, 2003, contains eleven action items in number VI Strategic Guidelines. Under number 1.3, the first of them includes the following as a strategic objective: <i>"Encourage research on risks associated with climate change..."</i> Additionally, compliance with the indicator is supplemented by the Climate Change Adaptation and Mitigation Action Plan, approved by Ministerial Resolution No. 238-2010-MINAM, of December 2, 2010, the Introduction section of which states that the objectives of this Plan include <i>"Strengthening climate monitoring systems and research: scientific research and technological development activities by regional governments and national research institutions, emphasizing the characterization of priority watersheds and analysis of economic sector vulnerability."</i> Additionally, in Chapter III, Thematic Action Plan, number 3.1, on the Strategic Plan Objectives, it states that Specific Objective IV is <i>"To strengthen the monitoring and prediction system for phenomena of natural origin (meteorological, hydrological and/or oceanographic)."</i> Similarly, it establishes priorities, such as: analysis of the impact of climate change on water resources, environmental services, biodiversity, etc.</p> <p>Colombia: Law 99 of 1993, through which the Ministry of the Environment is created, the Public Sector in charge of the management and conservation of the environment and renewable natural resources is reorganized, the National Environmental System (SINA) is organized and other provisions are issued, establishes the functions of the Ministry of the Environment in Article 5, including the following emphasized in number 35: <i>"Carry out the evaluation, monitoring and tracking of ecological risk factors and those that could have an effect on the occurrence of natural disasters, and coordinate with the other authorities in the actions to help prevent emergencies or impede the spread of their effects."</i> Additionally, Article 31, item 23 establishes the following as the responsibility of the Autonomous Regional Corporations: <i>"To carry out disaster analysis, follow-up, prevention and monitoring activities, in coordination with the other competent authorities, and to aid them in environmental aspects in emergency and disaster prevention and assistance; to further develop, together with the municipal or district administrations, adaptation programs for urban areas in high-risk areas, such as programs on erosion control, riverbed management and reforestation."</i></p>

Closed-Ended Question
9. Do the agriculture sector regulations define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?
General description of indicator
The indicator aims to establish if the agricultural sector regulations provide for competencies for the purpose of risk identification actions conducted by the sector itself. The conceptual basis for this indicator can be found in the understanding that risk management processes should be the responsibility of each ministry or sector within the scope of their competencies. It should not be confused with the indicator that looks for this same recognition in express DRM regulations, meaning that the same case is analyzed here, but <u>through sector regulations</u> .
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify sector regulations related to risk management and climate change. 2. Analyze if said regulations establish specific competencies for the agricultural sector to conduct analysis of disaster risk and adverse climate change effects that could affect its infrastructure or operation.
Description of the minimum required situation for positive conditions
<p>It is common for agricultural sector regulations to establish competencies with regard to response preparedness. However, this should not be confused with the creation of a sector emergency plan with its own risk analysis activities, which involve a study of not only the threat, but also exposure and vulnerability.</p> <p>As a minimum, the condition is met when it is verified that regulations in the agricultural sector, in force as of the moment iGOPP is applied, effectively establish specific competencies to carry out disaster risk or CC adverse effect analysis or awareness activities.</p>
Examples of positive conditions in countries in the Region
<p>Peru: the agricultural sector has a strategic tool: the "2012-2021 Climate Change Adaptation and Risk Management Plan for the agrarian sector" approved via MR No. 0265 - 2012-AG. This Plan contains Strategic Axis No. 1 on Research, Technology and Information for DRM and CCA, which contains four policy guidelines, including: <i>Promote and Develop technological scientific research on current and future climate risks and vulnerability</i>. The agricultural sector has a strategic tool known as the 2012-2021 National Climate Change Adaptation and Risk Management Plan for the Agrarian Sector (PLANGRACC-A), approved by Ministerial Resolution No. 0265-2012-AG, issued August 6, 2012. This Plan contains Strategic Axis No. 1 on Research, Technology and Information for DRM and CCA, specific objective 1.2. Agro-Hydrometeorological Information (...), Strategic Action 1.2.1, "Generate agro-hydrometeorological information at a regional level for the analysis of climate risks," which, in the policy guidelines for the same Strategic Axis 1, states <i>"Promote and develop scientific technological research on current and future climate vulnerability and risks in order to strengthen Climate Change adaptation strategies, the productive technology transfer program (livestock and crop varieties adapted to Climate Change) and risk reduction."</i></p> <p>Mexico: The Rural Sustainable Development Act of December 7, 2001, states in Article 131 that <i>"The Federal Government shall formulate and maintain an up-to-date Letter of Risk regarding watersheds in order to establish disaster prevention programs, including soil, water and flood management conservation projects..."</i> Additionally, Article 183 states that <i>"in order to comply with the requirements for food safety and sovereignty, the Federal Government shall encourage action items in productive zones along the following lines: ...II. The identification of food-related risk factors in order to create diagnoses that allow for the creation of field or commercial actions that guarantee supply."</i></p>

Closed-Ended Question
10. Do the health sector regulations define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?
General description of indicator
The indicator aims to establish if the health sector regulations provide for competencies for the purpose of risk identification actions conducted by the sector itself. The conceptual basis for this indicator can be found in the understanding that risk management processes should be the responsibility of each ministry or sector within the scope of their competencies. It should not be confused with the indicator that looks for this same recognition in express DRM regulations, meaning that the same case is analyzed here, but <u>through sector regulations</u> .
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify health sector regulations related to DRM and CC. 2. Analyze if said regulations establish specific competencies for the health sector to conduct analysis of disaster risk and adverse CC effects that could affect its infrastructure or operation. 3. Discard those cases of epidemiological or public health risks. Also discard those activities linked to response preparedness.
Description of the minimum required situation for positive conditions
<p>It is common for health sector regulations to establish competencies with regard to response preparedness. However, this should not be confused with the creation of a sector emergency plan with its own risk analysis activities, which involve a study of not only the threat, but also exposure and vulnerability.</p> <p>As a minimum, the condition is met when it is verified that regulations in the health sector, in force as of the moment iGOPP is applied, effectively establish specific competencies to carry out disaster risk or CC adverse effect analysis or awareness activities.</p> <p>This condition can be verified in several ways: one of them is through the existence of specific regulations on risk studies on hospital infrastructure that expressly state that the studies should evaluate disaster risk and that doing so is mandatory for the sector.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The responsibility for conducting disaster risk analysis in the sector is defined through the National Safe Hospitals During Disasters Policy, approved via Supreme Decree No. 009-2010-SA, of April 23, 2010. Number 4 of said document includes its purposes, objectives and strategies, and defines Specific Objective 3 as "<i>Improve the safety levels of existing health institutions during disasters.</i>" Additionally, activity 1 of this objective is the "<i>Evaluation of the safety conditions of health institutions,</i>" through the application of a safety index.</p> <p>Costa Rica: Directive No. DM-EC-1237-2010, of June 11, 2010, published in the Gazette No. 141, of July 21, 2010, the Validation of the Guiding Framework for the Specific Institutional Risk Assessment System for the Ministry of Health, which states in item 6 "<i>That it is necessary to integrate the efforts of all organizational units of the Ministry of Health in order to implement and execute the Specific Institutional Risk Assessment System, which will allow them to manage the relevant risks that could affect the achievement of institutional objectives.</i>" Additionally, the Guiding Framework for the Specific Institutional Risk Assessment System for the Ministry of Health states the following in section 2.3 "<i>Specific Objectives: 1- Conduct a risk assessment that will allow the institution to reach acceptable levels of risk through the establishment of actions or measures that minimize consequences in the event a risk should materialize.</i>" Additionally, through the general regulations of the Comptroller's Office, SEVRI includes service continuity criteria under a total risk approach that includes disasters.</p>

Closed-Ended Question
11. Do the housing sector regulations define the responsibility to carry out disaster risk analysis in the scope of its powers?
General description of indicator
The indicator aims to establish if the housing sector regulations provide for competencies for the purpose of risk identification actions conducted by the sector itself. The conceptual basis for this indicator can be found in the understanding that risk management processes should be the responsibility of each ministry or sector within the scope of their competencies. It should not be confused with the indicator that looks for this same recognition in express DRM regulations, meaning that the same case is analyzed here, but <u>through sector regulations</u> .
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify if there are current regulations in the country for the housing sector. 2. Analyze if said regulations establish specific competencies for the sector to conduct disaster risk analysis.
Description of the minimum required situation for positive conditions
<p>It is common for housing sector regulations to establish competencies with regard to response preparedness. However, this should not be confused with the creation of a sector emergency plan with its own risk analysis activities, which involve a study of not only the threat, but also exposure and vulnerability.</p> <p>As a minimum, the condition is met when it is verified that regulations in the housing sector, in force as of the moment the iGOPP is applied, effectively establish specific competencies to carry out disaster risk or CC adverse effect analysis or awareness activities.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The Regulations that set the responsibility to conduct disaster risk analysis in the housing sector are found in the Regulations for Territorial and Urban Development Preparation, approved via Supreme Decree No. 004-2011-VIVIENDA, of June 16, 2011, in which Chapter X, on risk prevention and reduction in urban development, Article 27, Incorporation of risk analysis in the creation of the UDP (Urban Development Plan) states: <i>The UDP, MDP and/or UOS creation processes should incorporate risk analysis in a supplemental fashion to the current Civil Defense regulations in order to reduce risks and should include the following processes: 27.1 Identification, evaluation and localization of dangers... 27.2 Analysis of Vulnerability...27.3 Analysis of Risk...</i>, among other articles related to risk analysis.</p> <p>Costa Rica: The 2012-2030 National Housing and Human Settlement Policy from the Ministry of Housing and Human Settlements, states the following as part of the main challenges of the sector: <i>"In the Environmental field: Housing affected by floods, landslides and earthquakes every year. Limitations in the application of effective policies to mitigate the effects of climate change, which represents a worsening of the situation for populations located in areas of high risk and vulnerability. Some local governments grant construction permits for sites that have natural or man-made risks. Often, the risk variable is not incorporated into territorial planning tools, so it is not considered when granting permits..."</i> Therefore, the Environmental Axis, the constitutional right to a healthy and ecologically balanced environment, should resonate within the development of sustainable housing. This greater goal is found in the Policy when it proposes that Costa Rican society should develop human settlements in areas that do not pose risks or threats, that increase their environmental sustainability and that contribute to climate change strategies. The sub-issues considered in this Environmental Axis are the following: a) Risk prevention, b) Housing affected by natural disasters, c) Climate change, d) Residential water management.</p>

Closed-Ended Question
12. Do the education sector regulations define the responsibility to carry out disaster risk analysis in the scope of its powers?
General description of indicator
The indicator aims to establish if the education sector regulations provide for competencies for the purpose of risk identification actions conducted by the sector itself. The conceptual basis for this indicator can be found in the understanding that risk management processes should be the responsibility of each ministry or sector within the scope of their competencies. It should not be confused with the indicator that looks for this same recognition in express DRM regulations, meaning that the same case is analyzed here, but <u>through sector regulations</u> .
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify education sector regulations related to DRM and CC. 2. Analyze if said regulations establish specific competencies for the education sector to conduct risk analysis. 3. Discard those activities related to response preparedness or otherwise unrelated to risk analysis.
Description of the minimum required situation for positive conditions
<p>It is common for education sector regulations to establish competencies with regard to response preparedness. However, this should not be confused with the creation of a sector emergency plan with its own risk analysis activities, which involve a study of not only the threat, but also exposure and vulnerability.</p> <p>As a minimum, the condition is met when it is verified that regulations in the education sector, in force as of the moment iGOPP is applied, effectively establish specific competencies to carry out disaster risk or CC adverse effect analysis or awareness activities.</p> <p>The same principle applies here as in the health sector, meaning that there can be more than one way for the condition to be found positive: (i) if regulations are in place that expressly state that the degree of vulnerability (or risk) for the sector in general will be analyzed, or (ii) they establish the express responsibility to analyze the degree of risk for schools or educational institutions.</p> <p>NOTE: this should not be confused with the indicator on risk reduction in curricular areas. This indicator is discussing risk awareness at educational institutions.</p>
Examples of positive conditions in countries in the Region
<p>Mexico: The General Physical Educational Infrastructure Act, of February 1, 2008, states in Article that <i>"The goal of the act is to regulate the physical education infrastructure serving the national educational system, establishing the general guidelines for: I. The construction, fitting out, maintenance, restoration, strengthening, reconstruction and modification of properties and facilities destined for service in the national education system... IV. The creation of mechanisms to prevent and respond to contingencies arising from natural disasters within national physical educational infrastructure..."</i> Finally, Article 11 states that <i>"In the planning of programs and projects for the construction, fitting out, maintenance, restoration, strengthening, reconstruction and modification of NPEI...the application of sustainable systems and technologies shall be ensured, and the climate conditions and probability of contingencies caused by natural, technological or human disasters shall be taken into account, working to satisfy the individual and social needs of the population."</i></p> <p>Costa Rica: Executive Decree No. 36451-MEP of the Administrative Organization for the Central Offices of the Ministry of Public Education, of February 7, 2001, contains: <i>"Article 41. Functions of the Department of Internal Oversight and Risk Management... c) Plan, coordinate and execute the Specific Institutional Risk Assessment System (SEVRI). d) Develop, implement and update a database related to disaster risk and social risk in the various offices of the Ministry of Public Education. e) Rank the educational centers that face increased disaster and risk conditions..."</i></p>

Closed-Ended Question
13. Do the tourism industry regulations define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?
General description of indicator
The indicator aims to establish if the tourism sector regulations provide for competencies for the purpose of risk identification actions conducted by the sector itself. The conceptual basis for this indicator can be found in the understanding that risk management processes should be the responsibility of each ministry or sector within the scope of their competencies. It should not be confused with the indicator that looks for this same recognition in express DRM regulations, meaning that the same case is analyzed here, but <u>through sector regulations</u> .
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify tourism sector regulations related to DRM and CC. 2. Analyze if these regulations establish specific competencies for the tourism sector to conduct risk analysis for at least one kind of risk due to natural phenomena (seismicity, tsunamis, hydrometeorological events, etc.). 3. Discard those activities related to response preparedness or otherwise unrelated to risk analysis.
Description of the minimum required situation for positive conditions
<p>It is common for tourism sector regulations to establish competencies with regard to response preparedness. However, this should not be confused with the creation of a sector emergency plan with its own risk analysis activities, which involve a study of not only the threat, but also exposure and vulnerability.</p> <p>As a minimum, the condition is met when it is verified that regulations in the tourism sector, in force as of the moment iGOPP is applied, effectively establish specific competencies to carry out disaster risk or CC adverse effect analysis or awareness activities.</p>
Examples of positive conditions in countries in the Region
<p>Mexico: The General Tourism Act of June 17, 2009 states in Chapter VII, On Tourism-related Territorial Organization, Article 23, that the formulation of tourism-related territorial organization should include the following criteria: "<i>I. The nature and characteristics of the existing tourism resources in natural territory, as well as the <u>disaster risks</u>; II. The purpose of each zone or region, based on its tourism resources, population distribution and predominant economic activities... and V. The tourism impact of new urban developments, human settlements, infrastructure projects and other activities.</i>" Additionally, Article 28 states: "<i>The local tourism-related organization programs shall be issued by State and Federal District Authorities with the participation of the Municipalities and shall have the goal of: I. Determining the area to be organized, describing its tourism resources, including an analysis of the risk of the same...</i>"</p> <p>Argentina: Law No. 25,997 on National Tourism, of January 7, 2005, describes the duties of the Department of Tourism in Article 7, including "<i>a) Setting national tourism policies in order to plan, schedule, promote, train, preserve, protect, generate investment and encourage development within the framework of a strategic federal plan to be presented within twelve (12) months following the implementation of this law.</i>" Decree 1297/2006 from the Department of Tourism, which approves the regulations for National Tourism Act No. 25,997, of September 27, 2006, states in Article 4 on this strategic federal plan that "<i>the creation and maintenance of this Strategic Federal Plan...receiving systematic participation criteria from the sector agents for the triannual periodic evaluation and updating of the strategic framework for said plan.</i>" Resolution 316/2012 from the Ministry of Tourism, which approves the 2020 Strategic Federal Sustainable Tourism Plan, of December 14, 2012, states in Article 1 that "<i>The update of the 2020 Strategic Federal Sustainable Tourism Plan (PFETS 2020) is submitted per the terms of articles 7 section a) of National Tourism Act No. 25,997 and 4 of the Regulations for said law, approved via Decree No. 1,297 of September 27, 2006,</i>" and presents this plan</p>

in Article 2 as Appendix I. The Strategic Federal Sustainable Tourism Plan, 2012-2020 update, Appendix I of Resolution 316/2012, defines 23 Federal Programs with their indicators and means of verification. Federal Program 16, Improved Competitiveness, number 16.2, Development of New Agents, one of its main actions is defined as *"Carry out actions to prevent and mitigate the possible direct, indirect and accumulative environmental impacts of the Program, as well as studies of load capacity, integration of the climate change variable through analysis of visitor ecological footprints, establishing and monitoring sustainability indicators, environmental assessments, strengthening of plans for management and use of Protected Areas, territorial planning and urban sustainability."*

Closed-Ended Question
14. Do the transport sector regulations (or equivalent) define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?
General description of indicator
The indicator aims to establish if the transportation sector regulations provide for competencies for the purpose of risk identification actions conducted by the sector itself. The conceptual basis for this indicator can be found in the understanding that risk management processes should be the responsibility of each ministry or sector within the scope of their competencies. It should not be confused with the indicator that looks for this same recognition in express DRM regulations, meaning that the same case is analyzed here, but <u>through sector regulations</u> .
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify transportation sector regulations related to DRM and CC. 2. In the event the transportation sector is linked to other subsectors, such as the energy, telecommunications or other sectors, special care should be taken to ensure that these DRM and CC related regulations are actually within the realm of transportation as a federal or national government public policy. 3. Analyze if said regulations establish specific competencies for the transportation sector to conduct analysis of disaster risk and adverse climate change effects that could affect its infrastructure or operation. The foregoing should consider at least one kind of risk due to natural phenomena (landslides, seismicity, tsunamis, hydrometeorological events, etc.). 4. Discard those activities related to response preparedness or otherwise unrelated to risk analysis.
Description of the minimum required situation for positive conditions
<p>It is common for transportation sector regulations to establish competencies with regard to response preparedness. However, this should not be confused with the creation of a sector emergency plan with its own risk analysis activities, which involve a study of not only the threat, but also exposure and vulnerability.</p> <p>As a minimum, the condition is met when it is verified that regulations in the transportation sector, in force as of the moment iGOPP is applied, effectively establish specific competencies to carry out disaster risk or CC adverse effect analysis or awareness activities.</p> <p>Verify if there are any regulations that set the conduct of specific risk studies (analysis) on the transportation infrastructure of the country, including the determination of critical points in routes and the quantification of costs from past events and future projections (scenarios).</p> <p>It is common for risk studies to be conducted after an event that caused damages. However, for this indicator, the goal is for transportation sector regulations to have established competency to conduct risk studies. This can be completed by specific regulations and not necessarily by general regulations.</p>
Examples of positive conditions in countries in the Region
<p>Dominican Republic: Departmental Order No. 76/01 of the Ministry of Public Works and Communications, which creates the Department of Environmental and Risk Management, of August 21, 2001, states in Article 1 that <i>"The Department of Environmental and Risk Management is created within the SEOPC and will operate under the Office of the Secretary of State and shall have the following purposes and functions: ... c) Manage the contracting of the creation of environmental impact and risk studies for the projects implemented by SEOPC..."</i></p> <p>Argentina: Resolution No. 1604/2007 from the National Viability Office (DNV), which approves the 2007 Roadway Environmental Management and Evaluation Manual (MEGA II), of October 2, 2007, which, under the scope of the Department of Public Works and the Ministry of Federal Planning, Public Investment and Services, orders the mandatory use of MEGA II in Article 2, within the jurisdiction of the DNV, <i>"...for the planning, design, construction, maintenance and operation of the National Road Network and all other projects funded through the DNV."</i> Chapter 3 of MEGA II/2007, entitled the</p>

Environmental Management Plan (PMA), describes it as "*...the operational tool for considering the implementation of environmental, risk management, contingency and environmental information system practices to develop operational units or projects to comply with... pursuant to the authorizing Resolutions and/or Decrees issued by the competent Environmental Authorities.*" The PMA envisions 4 stages for a roadway project cycle: design, construction, maintenance and operation and each has its own PMA and different objectives (see Table 15). The Manual sets the requirement to carry out an environmental diagnosis (evaluation) that includes risk analysis for both the construction on the environment and the environment on the construction.

Closed-Ended Question
15. Do the water and sanitation sector regulations (or equivalent) define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?
General description of indicator
The indicator aims to establish if the water and sanitation sector regulations provide for competencies for the purpose of risk identification actions conducted by the sector itself. The conceptual basis for this indicator can be found in the understanding that risk management processes should be the responsibility of each ministry or sector within the scope of their competencies. It should not be confused with the indicator that looks for this same recognition in express DRM regulations, meaning that the same case is analyzed here, but <u>through sector regulations</u> .
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify water and sanitation sector regulations related to DRM and CC. 2. Analyze if said regulations establish specific competencies for the water and sanitation sector to conduct disaster risk analysis. 3. Discard those activities related to response preparedness or otherwise unrelated to risk analysis.
Description of the minimum required situation for positive conditions
<p>The water and sanitation sector is vitally important for the development of any country. Identify any regulations that state that studies should be carried out on the level of exposure and vulnerability of the sector to potentially-dangerous natural events (earthquakes, volcanoes, landslides, hydrometeorological phenomena, etc.).</p> <p>These regulations can involve companies providing public water and sanitation services, even if these services are licensed. These regulations could be found within basic regulations to control licensing contracts, and what should be clear is if the responsibility to identify risks is defined, regardless of who the agent (public or private) is who should do so. It can be a regulation within others that control the sector.</p> <p>It is common for water and sanitation sector regulations to establish competencies with regard to response preparedness. However, this should not be confused with the creation of a sector emergency plan with its own risk analysis activities, which involve a study of not only the threat, but also exposure and vulnerability.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: Resolution No. 1096 of 2000 from the Ministry of Economic Development, through which the Technical Regulations for the Safe Drinking Water and Basic Sanitation (RAS) sector state in Article 36 that "...for highly complex municipal projects, the characteristics need to be established in general for the main... in order to identify the active geological faults located in the area surrounding the project and degree of seismicity that it could experience;" and in Article 103 that "Among the items that should be kept in mind for the development of new water potabilization projects is the location of the plant, specifically "2) Prior geotechnical research to establish the geological conditions of the site with regard to risks of mass displacement, avoiding geological faults and keeping in mind the risk of seismicity in the Region." Article 197 determines the analysis of vulnerability of drinking water and basic sanitation systems, which will serve as a foundation for creating contingency plans: "In order to estimate the vulnerability of a system or component, following these steps: 1. Identification and evaluation of threats. 2. Identification of system components. 3. Estimation of potential damages. 4. Categorization of severity of estimated potential damages." Lastly, Article 201 discusses the contingency plan and states that it "should be based on the potential risk scenarios of the system, which should be obtained from the vulnerability analysis carried out based on the threats that could seriously affect it during its useful life. The contingency plan should include general emergency action procedures and specific procedures for each risk scenario identified."</p>

Mexico: The National Waters Act, of December 1, 1992, assigns this responsibility to the National Water Commission, which is the decentralized administrative body for SEMARNAT that has the goal of exercising the powers granted to it with regard to water and becoming the Highest Organization in the Federation in a technical, regulatory and consultation capacity with regard to comprehensive management of water resources, including the administration, regulation, oversight and protection of the public water domain. Article 9, section XLIII of the same grants the power to "...*Carry out the declarations to classify high risk zones for floods and create the related atlases of risks...*"

Closed-Ended Question
<p>16. Do the telecommunications industry regulations (or equivalent) define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?</p>
General description of indicator
<p>The indicator aims to establish if the telecommunications sector regulations provide for competencies for the purpose of risk identification actions conducted by the sector itself. The conceptual basis for this indicator can be found in the understanding that risk management processes should be the responsibility of each ministry or sector within the scope of their competencies. It should not be confused with the indicator that looks for this same recognition in express DRM regulations, meaning that the same case is analyzed here, but <u>through sector regulations</u>.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify telecommunications sector regulations related to DRM and CC. 2. In the event the telecommunications sector is linked to other subsectors, such as the energy, transportation or other sectors, special care should be taken to ensure that these DRM and CC related regulations are actually within the realm of transportation as a federal or national government public policy. 3. Analyze if said regulations establish specific competencies for the telecommunications sector to conduct analysis of disaster risk and adverse climate change effects that could affect its infrastructure or operation. The foregoing should consider at least one kind of risk due to natural phenomena (landslides, seismicity, tsunamis, hydrometeorological events, etc.). 4. Discard those activities related to response preparedness or otherwise unrelated to risk analysis.
Description of the minimum required situation for positive conditions
<p>It is common for telecommunications sector regulations to establish competencies with regard to response preparedness. However, this should not be confused with the creation of a sector emergency plan with its own risk analysis activities, which involve a study of not only the threat, but also exposure and vulnerability.</p> <p>As a minimum, the condition is met when it is verified that regulations in the telecommunications sector, in force as of the moment the iGOPP is applied, effectively establish specific competencies to carry out disaster risk or CC adverse effect analysis or awareness activities.</p> <p>It is common for risk studies to be conducted after an event that caused damages. However, for this indicator, the goal is for telecommunications sector regulations to have established competency to conduct risk studies. This can be completed by specific regulations and not necessarily by general regulations.</p>
Examples of positive conditions in countries in the Region
<p>No example could be found in the region, for which reason it is suggested that investigations be made into the regulations that define the responsibilities for identifying risks in this sector. These regulations could be found within basic regulations to control licensing contracts, and what should be clear is if the responsibility to identify risks is defined, regardless of who the agent (public or private) is who should do so. It can be a regulation within others that control the sector.</p>

Closed-Ended Question
<p><i>17. Do the energy sector regulations (or equivalent), define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?</i></p>
General description of indicator
<p>The indicator aims to establish if the energy sector regulations provide for competencies for the purpose of risk identification actions conducted by the sector itself. The conceptual basis for this indicator can be found in the understanding that risk management processes should be the responsibility of each ministry or sector within the scope of their competencies. It should not be confused with the indicator that looks for this same recognition in express DRM regulations, meaning that the same case is analyzed here, but <u>through sector regulations</u>.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify energy sector regulations related to DRM and CC. 2. In the event the energy sector is linked to other subsectors, such as the transportation, telecommunications or other sectors, special care should be taken to ensure that these DRM and CC related regulations are actually within the realm of transportation as a federal or national government public policy. 3. Analyze if said regulations establish specific competencies for the energy sector to conduct analysis of disaster risk and adverse climate change effects that could affect its infrastructure or operation. The foregoing should consider at least one kind of risk due to natural phenomena (landslides, seismicity, tsunamis, hydrometeorological events, etc.). 4. Discard those activities related to response preparedness or otherwise unrelated to risk analysis.
Description of the minimum required situation for positive conditions
<p>It is common for energy sector regulations to establish competencies with regard to response preparedness. However, this should not be confused with the creation of a sector emergency plan with its own risk analysis activities, which involve a study of not only the threat, but also exposure and vulnerability.</p> <p>As a minimum, the condition is met when it is verified that regulations in the energy sector, in force as of the moment the iGOPP is applied, effectively establish specific competencies to carry out disaster risk or CC adverse effect analysis or awareness activities.</p> <p>When investigating compliance with this indicator, it is important to remember that the energy sector includes not only service operators (in many cases, these are private), but also the generation, transmission and sale of energy (including the various sources that could exist in each country).</p>
Examples of positive conditions in countries in the Region
<p>Mexico: The Institutional Manual of Administrative Procedures for Disaster Response, from 2009, references the responsibility of the National Electrification Commission (CFE) to carry risk analysis on its infrastructure. This responsibility is made explicit through the annual request from the CFE Director of Operations to the sub-offices for distribution, generation and transmission to carry out the risk analysis that is part of the institution's quality assurance policy.</p>

Closed-Ended Question
18. Is there at least one rule that defines which buildings are essential, indispensable or critical infrastructure for the country?
General description of indicator
The purpose of this indicator is to recognize the inclusion of a regulation that identifies critical buildings and infrastructure that are considered essential or indispensable due to their vital and strategic importance in the event of emergency or disaster and that, whether because of the services they provide to society or the utility they represent in disaster management tasks, should be designed, constructed and maintained using more demanding parameters than other buildings, such that their safety and operation is ensured at any time or circumstance, as a best practice for countries.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations on the design and construction of buildings and infrastructure. 2. Analyze if said regulations have identified which buildings or infrastructures are considered critical, indispensable or essential, and therefore, subject to more demanding construction parameters versus regular buildings.
Description of the minimum required situation for positive conditions
<p>Normally, the essential or core buildings are hospitals, fire stations, police stations, army installations and schools. Critical infrastructure tends to be electrical or hydrocarbon production centers, oil pipelines, petroleum refineries, ports (air, maritime or river), etc.</p> <p>The regulations that establish the construction processes (design and localization) should be analyzed to see if they mention "special" treatment for these buildings.</p> <p>NOTE: in some countries, it is more common for these infrastructure to be defined in the code for earthquake-resistant buildings, but it could also be defined in construction regulations related to other phenomena, such as meteorological issues (such as winds).</p>
Examples of positive conditions in countries in the Region
<p>Guatemala: Disaster Reduction Regulation No. 1-NRD-1, issued by the Executive Secretary of the National Commission (CONRED) in 2010, on the "Structural requirements for critical, essential and important projects," explicitly defines the following: a) Critical project: <i>"Those that are essential for the socioeconomic development of large sectors of the population. The failure or collapse of the same would directly or indirectly endanger a large number of individuals..."</i> b) Essential projects: <i>These should remain in operation during and after a disaster or adverse event. Private or state projects belong to this category..."</i> c) Important project: <i>"Those that contain or could affect a large number of people, where the occupants have restricted movement, where a large number of people or entities are provided important services (but not essential after a disaster), projects that have recognized cultural value and expensive equipment. This category includes, among others..."</i></p> <p>Colombia: Law 400 of 1997, through which regulations are adopted regarding Earthquake-Resistant Buildings, define indispensable buildings in Title I, Article 4, number 16 as <i>"...those buildings that provide community support and should operate during and after an earthquake, whose operation could not be rapidly transferred to an alternate location, such as level 2 and 3 complexity hospitals and vital lines control and operating centers."</i> Article 54 states that the condition of indispensable buildings located in high or intermediate seismic threat zones will be updated, for which reason <i>"...their seismic vulnerability should be assessed pursuant to the procedures that shall be included in Title A of regulations within a period of no more than three (3) years from the entry into force of this law."</i> The last update of Law 400 of 1997 was created through Decree No. 926 of 2010, through which the NSR-10 technical and scientific requirements for earthquake-resistant buildings are established, introducing the updated Colombian NSR-10 Earthquake-Resistant Building Regulations in an Appendix to this Decree. This last update emphasized the concept of indispensable buildings, including schools and other buildings</p>

in this special category.

Panama: The Structural Design Regulations for the Republic of Panama, approved via resolution no. JTIA-639, of September 29, 2004, number 1.10, Table 1.1 entitled Classification of Buildings and Other Structures for Wind and Seismic Loads, identifies Category III buildings and other structures as those that represent a significant threat to human life in the event of failure and Category IV buildings and other structures as those designated as "essential facilities."

Code: RI 1C-1

Closed-Ended Question
<i>1. Do the National Disaster Risk Management regulations establish that territorial management units are responsible for disaster risk assessment in their respective territories?</i>
General description of indicator
<p>This indicator refers to a quality criteria in national DRM regulations that recognizes the importance of risk management being carried out not only by the national, central or federal government, but also that Territorial Management Units (TMU) have the competency within their jurisdictions to carry out specific local risk management functions in accordance with their resources and possibilities.</p> <p>In this sense, the regulations should also assign competencies so that the TMUs can take charge of the risk analysis process within the scope of their jurisdictions (whether region, state, province, department, municipality, canton, etc.).</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Confirm the existence of specific national DRM regulations. 2. Analyze if said national regulations expressly assign competencies to the TMUs with regard to DRM processes. 3. Identify if the DRM processes assigned to the TMUs specifically include the identification, estimation or analysis of risk. 4. Discard the assignment of functions within national DRM regulations regarding disaster preparedness, response or rehabilitation, and that are unrelated to risk analysis.
Description of the minimum required situation for positive conditions
<p>There should be national DRM regulations that specifically establish TMU competencies on risk analysis, identification or estimation process or activities.</p> <p>Since the decentralized regimen varies notably between countries in the region, a DRM law could not assign responsibilities to autonomous governments when these are governed by regulations at a higher level than national Law (such as states governed by a Federal Constitution and that have full autonomy to set their own functions and competencies). In these situations (federal states), what should be analyzed is if the federal or national DRM regulations in existence recognize risk awareness as a component of DRM, and if these regulations state that DRM is a development strategy and therefore related or tied to development agents at the various levels of government (i.e., the same spirit of the regulations but without the assignment of "responsibilities" as it would be inadmissible).</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law No. 29664 that creates SINAGERD, of February 8, 2011, establishes in Title III, Chapter V, Article 14, Point 14.1 that regional and local governments, as members of SINAGERD, formulate, approve standards and plans, evaluate, direct, organize, supervise, regulate and execute DRM processes within the scope of their competencies as part of the framework of the National Disaster Risk Management Policy and the guidelines of the guiding body, in accordance with that which is established in the same law and its regulations. Also, this law establishes seven Disaster Risk Management processes, the first of which is the "Estimation of disaster risk," within which disaster risk assessment is conducted.</p> <p>Mexico: The General Civil Protection Act (LGPC) of June 6, 2012, states in Article 19, section XXVIII: <i>"Promote the governments of and municipalities or delegations, as appropriate, create and keep up-to-date their respective civil protection programs that are part of their development plans...;"</i> Article 37 states that <i>"...in the creation of civil protection programs for states, municipalities and delegations, the general guidelines established by the National Program should be considered, as well as the stages discussed in Comprehensive Risk Management, pursuant to local planning regulations."</i> In accordance with the LGPC definition of stages for Comprehensive Risk Management (CRM), the Programs should include the identification of disaster risk. Additionally, the Third Transitory Article of the General Climate Change Act of June 6, 2012 states: <i>"... The offices and entities of the centralized and state-owned federal public administration, States and Municipalities should implement the necessary acts for Mitigation and Adaptation, pursuant to their powers and competencies in order to meet the following desired goals and required deadlines: I. Adaptation: a) With regard to civil protection, the Federation, States and Municipalities should establish a Program such that before the end of 2013, the national, state and local atlases of risks are created and published regarding the human settlements that are most vulnerable to climate change..."</i>.</p>

Code: RI 1C-2

Closed-Ended Question
2. Are there regulations that establish work scales or resolution levels that should be used to zone threats or risks in the territory that appoint a national agent responsible for setting the scale or resolution at which the risk analysis should be conducted for different levels of government?
General description of indicator
<p>In order for the results of risk analysis to be viable and useful for the next phase, meaning risk reduction activities, this risk analysis should be carried out at an appropriate local scale such that it facilitates decision-making on issues such as territorial organization or public investment, which are core processes for risk reduction.</p> <p>In this case, the importance given to the issue of work scales is being evaluated. Although, for the purposes of this indicator, in principle, the scale benchmark value is not desired, but rather the indication in the regulations for providing the maps of threats or risks at an appropriate value. Or, in the absence of a determination of these work scales or resolution levels, investigate if regulations contain a provision that appoints an institutional agent that has the ability, within its competencies, to establish said scales for the different levels of government.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify if the territorial organization (or equivalent process) regulations cover the issue of scales or the resolution at which baseline information should be created for disaster risk analysis. 2. Analyze if national DRM regulations establish the scale or resolution levels for the analysis of disaster risk or equivalent process for the country. 3. Analyze if the DRM regulations or any of the regulations governing hydrometeorological or geophysical institutions, for spatial data infrastructure, or territorial or environmental studies appoint a national agent as the party responsible for setting said work scales or levels of resolution for the different levels of government.
Description of the minimum required situation for positive conditions
<p>As a minimum, the regulations should establish the work scales or resolution levels that should be used when creating plans for territorial planning, maps for comprehensive management of watersheds or environmental planning processes or territorial equivalents.</p> <p>This will allow the maps and studies created by national institutes or services to be of practical use for regional and local governments that have to create plans for territorial planning, plans for comprehensive management of watersheds or similar items, as well as plans or programs for risk prevention or reduction.</p> <p>Alternatively, there should at least be regulations that appoint a national agent as the party responsible for establishing said work scales or resolution levels.</p>
Examples of positive conditions in countries in the Region
<p>Mexico: The Internal Regulations of the Department of Governance (RI-SEGOB), published in the DOF on April 2, 2013, states in Article 109 that "... <i>The National Disaster Prevention Center has the following attributions: ... II. Integrate the National Atlas of Risks and promote the instrumentation of a Subsystem of information on risks, dangers and vulnerability, as well as supervise, and when appropriate, advise States on the mainstreaming of their atlases of risks...</i>" CENAPRED establishes the methodological guidelines for creating the State and Municipal Atlases of Risk through the Basic Guide for the Creation of State and Municipal Atlases of Dangers and Risks: Basic Concepts on Dangers, Risks and Their Geographic Representation. The Guide includes a section on geographical representations and the scales to use (section 2.4.8.) where it states that: "...two main scales are proposed for the creation of an atlas of risk: for urban areas (cities and metropolitan areas), 1:5,000 or greater, and for state level representation, a scale under 1:20,000. The parameters to be considered when setting the scale include the territorial size of the state, the existence of thematic information and the systems with which the same will be integrated."</p>

Code: RI 1C-3

Closed-Ended Question
3. Are there regulations that establish the obligation to zone threatened cities?
General description of indicator
<p>The zoning of threats (or dangers) in cities is key for the subsequent risk reduction processes.</p> <p>This indicator is to detect if the country has considered the issue of urban risk, such as for cities with a population of over 100,000 inhabitants (or an <i>ad hoc</i> number based on each country) where it is known that there could be a very concentrated amount of risk.</p> <p>The zoning of threats in cities can be considered to be "microzoning" when a potentially-dangerous natural process already has a regional or national zoning system, such as in the case of seismicity.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the current DRM regulations on natural threats (or dangers) in the country. 2. Identify existing regulations on territorial planning, territorial preparation, urban development or equivalent. 3. Identify the existing regulations on building design or urban development. 4. Analyze if the identified regulations have established the requirement of zoning areas vulnerable to threats (or dangers) in cities.
Description of the minimum required situation for positive conditions
<p>It should be confirmed that there are current regulations that establish seismic microzoning for cities with specific characteristics (such as population), or equivalent regulations for another kind of threat that is relevant for the country in question (such as landslides or floods).</p> <p>At least one standard needs to be found in order for the indicator to be considered to have been met.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: Law 338 of 1997, "Through which Law 9 of 1989 and Law 3 of 1991 are modified and other provisions are issued, " establishes the procedures for the creation of Plans for Territorial Planning at a municipal level. In accordance with Article 8 of this Law, urban actions include, "5. Determine the non-urbanizable zones that present risk for the placement of human settlements due to natural threats or, that for some other reason, present unhealthy conditions for housing." Similarly, Article 12, which is part of the contents of the general component of the organization plan, states in item 2.3 "The determination and placement on maps of zones that present high risk for the placement of human settlements due to natural threats or risks or due to unhealthy conditions." Also, Earthquake-Resistant Standard NSR-10, approved via Decree 926 of 2010, establishes the conditions that require the implementation of seismic zoning and the requirements for the same.</p> <p>Mexico: The General Civil Protection Act, published June 6, 2012, states in Article 83 that: "<i>The Federal Government, with the participation of the states and the Government of the Federal District, shall promote the creation of the foundations for the identification and registry in the National, State and Municipal Atlases of Risks, the zones of the country with risks for the population and public and private resources to allow the competent authorities to regulate to building of settlements.</i>" Additionally, in Article 84, it states that: "<i>The construction, building and completion of infrastructure and human settlement projects in a specific area without carrying out risk analysis and, as appropriate, establishing measures for the reduction of the same without authorization from the corresponding authority shall be considered a felony, bearing in mind the applicable regulations and the municipal, state and national Atlases.</i>"</p>

Code: RI 2-1

Closed-Ended Question
<i>1. Is the subject of disaster risk integrated into educational curricular programs at least at the basic (primary) or secondary levels?</i>
General description of indicator
<p>This indicator aims to detect the integration of the topic of risks into curricular education programs at the basic (primary school) or secondary (high school) levels, or equivalent for each country.</p> <p>In some countries, the design of curricular programs at the basic (primary) or secondary (or equivalent) levels is set by the national, central or federal authorities, depending on the political/administrative model. However, in other cases (such as decentralized territorial levels), there is a lack of general guidelines put forth by the national, central or federal education sector. Regardless, this indicator aims to verify if the curricular education programs for TMUs at the basic or secondary levels incorporate the topic of DRM. If even one territory does not include this integration, then the indicator is not considered to have been met.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Search for information on the institutional website for the education sector, or interview officers from the corresponding areas. 2. Analyze sector regulations and verify if the basic or secondary level curricular program incorporates DRM (it could be a sub-component of educational or social science education). 3. Should curricular competency have been transferred to the TMUs, confirm if the curricular programs have incorporated DRM. If even one TMU has not incorporated the topic into their curricular programs, the indicator is considered to not have been met.
Description of the minimum required situation for positive conditions
<p>Verify the formal integration of DRM issues into primary or secondary curricular programs, either at a national level or at the level of <u>all</u> TMUs (if this competency has been transferred from the national to the territorial level). If even one TMU has not incorporated the topic into their curricular programs, the indicator is considered to not have been met.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Board Resolution No. 078-2007/ED, of February 13, 2007, approves Directive No. 015-2007-ME, entitled the Directive of Actions for Disaster Risk Management in the Educational System, which recognizes the inclusion of DRM in curricular programs within the different levels and modes of education, and indicates the work methodology, including the terms and responsible parties for implementation and operationalization of the institutionalization of disaster risk management in the Educational System.</p> <p>Guatemala: The content of the National Basic Curriculum (CNB), published by the Ministry of Education in 2004 as part of the Educational Reform, under the reform of "Comprehensive Sustainable Development," Curriculum 7 "Social and environmental security", includes the components: i) Natural and social risks; ii) Disaster prevention, and iii) Vulnerability and lack of safety.</p> <p>Mexico: The General Civil Protection Coordination Office (currently the National Civil Protection Coordination Office) worked with the Department of Public Education (SEP) in 2010 to reform the educational plan, resulting in the incorporation of the initial concepts of comprehensive risk management, civil protection and risk identification into the curricula for the first and sixth years of primary education. In the 2012 school year, by Presidential order, this plan implemented these concepts into the topics of geography, Spanish, exploration of nature, and civics and ethics for all basic education, and is available in the SEP Catalog.</p>

Code: RI 2-2

Closed-Ended Question
<i>2. Is the subject of climate change integrated into educational curricular programs at least at the primary or secondary levels?</i>
General description of indicator
<p>This indicator places great importance on Climate Change (CC) awareness processes and its adverse effects on the population in general. Therefore, it aims to detect integration of climate change issues in basic or secondary level curricular education programs, or the equivalents levels in each country.</p> <p>In some countries, the design of curricular programs at the basic (primary) or secondary (or equivalent) levels is set by the national, central or federal authorities, depending on the political/administrative model. However, in other cases (such as decentralized territorial levels), there is a lack of general guidelines put forth by the national, central or federal education sector. Regardless, this indicator aims to verify if the curricular education programs for TMUs at the basic or secondary levels incorporate the topic of CC. If even one territory does not include this integration, then the indicator is not considered to have been met.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Search for information on the institutional website for the education sector, or interview officers from the corresponding areas. 2. Analyze sector regulations and verify if the basic or secondary level curricular program incorporates CC (it could be a sub-component of educational or social science education). 3. Should curricular competency have been transferred to the TMUs, confirm if the curricular programs have incorporated CC. If even one TMU has not incorporated the topic into their curricular programs, the indicator is considered to not have been met.
Description of the minimum required situation for positive conditions
<p>Verify the formal integration of CC issues into primary or secondary curricular programs, either at a national level or at the level of <u>all</u> TMUs (if this competency has been transferred from the national to the territorial level). If even one TMU has not incorporated the topic into their curricular programs, the indicator is considered to not have been met.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Ministerial Resolution No. 440-2008-ED, of December 15, 2008, which approves the National Curricular Design for Regular Basic Education, which contains the comprehensive topic of "Education in risk management and environmental awareness." Education in climate change topics is integrated (currently present in environmental education).</p> <p>Mexico: The review plan for the educational curricula at the basic educational level that began in 2010 consisted of a comprehensive approach that incorporated the concepts of Comprehensive Risk Management (CRM) and CC, such as Identification of risks in my community, effects of climate change, caring for the environment, disasters and civil protection.</p>

Code: RI 2-3

Closed-Ended Question
3. <i>In the last fiscal period, were funds assigned to the Ministry of Environment to perform disaster risk analysis which could be verified through instruments of budget classification?</i>
General description of indicator
Disaster risk analysis is the first link in the chain of actions that make up DRM. The availability of resources is a deciding factor in the ability to finance disaster risk analysis activities. This indicator underscores the importance of the existence of an expense item, budget category or equivalent budget classification tool that allows for the verification of the actual allocation of resources for disaster risk analysis in the environmental sector.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify if there is an expense item or budget category for the environmental sector that allows for the objective identification of whether resources were allocated for disaster risk analysis in the last fiscal period. 2. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or environmental sector budget. 3. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget. 4. If appropriate, consult with the environmental sector authority (or equivalent), specifically with those areas responsible for the budget. 5. Review the website of the environmental authority (or equivalent) regarding ongoing projects.
Description of the minimum required situation for positive conditions
Proof of the allocation of resources during the last fiscal period to the Ministry of Environment (or equivalent entity) to carry out disaster risk analysis as seen through an expense item, budget category or other equivalent budget classification tool.
Examples of positive conditions in countries in the Region
<p>Peru: In Appendix 8 of Law No. 29,951 on the Public Sector Budget for Fiscal Year 2013, of November 30, 2012, resources were allocated to the Ministry of the Environment to identify disaster risk scenarios, among others, as contained on pages 1629-1630, and within Budget Program 068 Reduction of Vulnerability and Disaster Emergency Response. Additionally, resources were allocated to two public entities responsible for identifying, studying and monitoring dangers: IGP, for the purposes of creating information, studies and maps, and SENAMHI, for the purposes of creating information and studies on meteorology and weather.</p> <p>Costa Rica: The 2013 Budget Proposal for the Ministry of Environment and Energy contained evidence of resources allocated for Program 888: Applied Hydrometeorological Program of the Ministry of Environment and Energy, Directorate General, in which product P.01, Meteorological Information Services is defined, the objectives of which are: <i>"Prepare the population and air traffic for the risk of impacts arising from extreme hydrometeorological events and from the adverse effects of climate change through the timely issuance of warnings on the development of weather outlook over time and progress throughout the country, in order to guarantee safer and more productive harvests for farmers, as well as the same for productive activities in other sectors (land, sea and air transportation, national and international tourism)."</i></p>

Code: RI 2-4

Closed-Ended Question
<i>4. In the last fiscal period, were funds assigned to the Ministry of Agriculture to perform disaster risk analysis which could be verified through instruments of budget classification?</i>
General description of indicator
Disaster risk analysis is the first link in the chain of actions that make up DRM. The availability of resources is a deciding factor in the ability to finance disaster risk analysis activities. This indicator underscores the importance of the existence of an expense item, budget category or equivalent budget classification tool that allows for the verification of the actual allocation of resources for disaster risk analysis in the agricultural sector.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify if there is an expense item or budget category for the agricultural sector that allows for the objective identification of whether resources were allocated for disaster risk analysis in the last fiscal period. 2. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or agricultural sector budget. 3. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget. 4. If appropriate, consult with the agricultural sector authority (or equivalent), specifically with those areas responsible for the budget. 5. Review the website of the agricultural sector authority (or equivalent) regarding ongoing projects.
Description of the minimum required situation for positive conditions
Proof of the allocation of resources during the last fiscal period to the agricultural sector (or equivalent entity) to carry out disaster risk analysis as seen through an expense item, budget category or other equivalent budget classification tool.
Examples of positive conditions in countries in the Region
<p>Mexico: The Federation Expenditures Budget for Fiscal Year 2013, Branch 8, Agriculture, Livestock, Rural Development, Fishing and Food Supply, header S232, provides resources to fund the budget program entitled "Risk Management and Prevention Program." It should be noted that SAGARPA has a "SIAP" administered by a decentralized body that has its own budget (\$125.7 million pesos PEF Page 52) for the administration and development of the agricultural and fishing information center, the purpose of which is to create intelligence for decision making in national agricultural and fishing production with regard to risks, including those from disasters and climate change.</p> <p>Guatemala: The General State Income and Expenditures Budget for Fiscal Year 2013, authorized for October 22, 2012, contains the allocation of resources under entry: 11130012 03 00 000 001 000 (GEOGRAPHICAL PLANNING AND RISK MANAGEMENT SERVICES) in the amount of Q. 3,156,680.35.</p>

Code: RI 2-5

Closed-Ended Question
5. <i>In the last fiscal period, were funds assigned to the Ministry of Health to perform disaster risk analysis which could be verified through instruments of budget classification?</i>
General description of indicator
Disaster risk analysis is the first link in the chain of actions that make up DRM. The availability of resources is a deciding factor in the ability to finance disaster risk analysis activities. This indicator underscores the importance of the existence of an expense item, budget category or equivalent budget classification tool that allows for the verification of the actual allocation of resources for disaster risk analysis in the health sector.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify if there is an expense item or budget category for the health sector that allows for the objective identification of whether resources were allocated for disaster risk analysis in the last fiscal period. 2. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or health sector budget. 3. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget. 4. If appropriate, consult with the health sector authority (or equivalent), specifically with those areas responsible for the budget. 5. Review the website of the health sector authority (or equivalent) regarding ongoing projects. 6. Discard the quality of risk studies for the purposes of rating indicator compliance.
Description of the minimum required situation for positive conditions
Proof of the allocation of resources during the last fiscal period to the health sector (or equivalent entity) to carry out disaster risk analysis as seen through an expense item, budget category or other equivalent budget classification tool.
Examples of positive conditions in countries in the Region
<p>Peru: In Appendix 8 of Law No. 29,951 on the Public Sector Budget for Fiscal Year 2013, of November 30, 2012, resources were allocated to carry out disaster risk analysis through activities contained within Budget Program 068 Reduction of Vulnerability and Disaster Emergency Response. Specifically, through item 3000439 for the development of technical documents and coordination of DRM in health, including the design and updating of DRM plans in health, and the development of DRM projects focused on health, and through item 5003299 for the analysis of the vulnerability of health institutions.</p> <p>Dominican Republic: Law No. 311-12, on the General Budget of the State, published on December 19, 2012, includes budget items for disaster risk analysis activity: Training evaluators on the disaster-safe hospital strategy (application of a safety index, meaning the evaluation of risk to infrastructure (pages 218 and 388)).</p> <p>Peru: In Appendix 8 of Law No. 29,951 on the Public Sector Budget for Fiscal Year 2013, of November 30, 2012, resources were allocated to carry out disaster risk analysis through activities contained within Budget Program 068 Reduction of Vulnerability and Disaster Emergency Response. Specifically, through item 3000439 for the development of technical documents and coordination of DRM in health, including the design and updating of DRM plans in health, and the development of DRM projects focused on health, and through item 5003299 for the analysis of the vulnerability of health institutions.</p>

Code: RI 2-6**Closed-Ended Question**

6. In the last fiscal period, were funds assigned to the Ministry of Housing to perform disaster risk analysis which could be verified through instruments of budget classification?

General description of indicator

Disaster risk analysis is the first link in the chain of actions that make up DRM. The availability of resources is a deciding factor in the ability to finance disaster risk analysis activities. This indicator underscores the importance of the existence of an expense item, budget category or equivalent budget classification tool that allows for the verification of the actual allocation of resources for disaster risk analysis in the housing sector.

Steps to follow to obtain the required information

1. Verify if there is an expense item or budget category for the housing sector that allows for the objective identification of whether resources were allocated for disaster risk analysis in the last fiscal period.
2. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or housing sector budget.
3. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget.
4. If appropriate, consult with the housing sector authority (or equivalent), specifically with those areas responsible for the budget.
5. Review the website of the housing sector authority (or equivalent) regarding ongoing projects.

Description of the minimum required situation for positive conditions

Proof of the allocation of resources during the last fiscal period to the housing sector (or equivalent entity) to carry out disaster risk analysis as seen through an expense item, budget category or other equivalent budget classification tool.

Examples of positive conditions in countries in the Region

Peru: Appendix 5 of Law No. 29,951 on the Budget for the Public Sector for Fiscal Year 2013, of November 30, 2012, shows that the Ministry of Housing, Construction and Sanitation allocated resources for the creation and updating of territorial studies for the analysis of urban-level risk, found on document 037, Ministry of Housing, Construction and Sanitation, page 349. The budget includes entry 3000442, such that local governments incorporate DRM in Territorial Preparation, which includes three lines of support for municipalities: (a) strengthening of capacities for DRM incorporation; (b) creation and updating of territorial studies for the analysis of urban level risk and (c) training of officers for the creation of technical/regulatory tools for territorial management. This is described within the Vulnerability Reduction and Disaster Emergency Response Program, on page 1633.

Chile: Pursuant to the consultation carried out on Law No. 20,641 on the 2013 Public Sector Budgets, of December 22, 2012, page 620 states: "M\$ 412,499 from these resources shall be destined to the contracting of risk and urban planning studies related to the Reconstruction Plan, and shall be used to finance the expenses related to tendering, contracting, disseminating and publishing these studies. The MINVU (Ministry of Housing and Urban Planning) shall provide quarterly reports to the Office of Budgets and the Special Mixed Budget Commission on the progress and completion of said studies."

Closed-Ended Question
7. In the last fiscal period, were funds assigned to the Ministry of Education to perform disaster risk analysis which could be verified through instruments of budget classification?
General description of indicator
Disaster risk analysis is the first link in the chain of actions that make up DRM. The availability of resources is a deciding factor in the ability to finance disaster risk analysis activities. This indicator underscores the importance of the existence of an expense item, budget category or equivalent budget classification tool that allows for the verification of the actual allocation of resources for disaster risk analysis in the education sector.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify if there is an expense item or budget category for the education sector that allows for the objective identification of whether resources were allocated for disaster risk analysis in the last fiscal period. 2. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or education sector budget. 3. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget. 4. If appropriate, consult with the education sector authority (or equivalent), specifically with those areas responsible for the budget. 5. Review the website of the education sector authority (or equivalent) regarding ongoing projects.
Description of the minimum required situation for positive conditions
Proof of the allocation of resources during the last fiscal period to the education sector (or equivalent entity) to carry out disaster risk analysis as seen through an expense item, budget category or other equivalent budget classification tool.
Examples of positive conditions in countries in the Region
<p>Chile: Pursuant to the consultation of Law No. 20,641 on the 2013 Public Sector Budget, of December 22, 2012, page 278 states that "<i>the Ministry of Education, under item 05... b) Risk prevention and improvement of work environments.</i>" Similarly, page 313 reads as follows: "<i>These resources shall be destined for activities of national interest that are determined in one or more meetings between the Ministry of Education and the University of Chile, which should be held within the first quarter of the year as a requirement for the allocation of the resources, and approved via a decree from said Ministry... At least \$281.932 million shall be provided for the seismic risk measurement program activities...</i>"</p> <p>Mexico: Article 16 of the General Physical Educational Infrastructure Act, of March 14, 2013, describes the National Physical Educational Infrastructure Institute (INIFED) and its goal of: "...operating as a regulatory, consulting and quality certification body for the country's educational physical infrastructure and construction pursuant to this Act, its regulations and other applicable provisions, and acting as an advisory body with regard to the prevention and response to damages arising from natural, technological or human disasters in the educational sector." At: http://www.transparenciapresupuestaria.gob.mx/Portal/transform.nodo?id=4.0&transformacion=s&excel=n&zip=n&paramts=0=L509331 it is proved that INIFED allocated resources for disaster risk identification: through the "E047 program on design, construction, certification and evaluation of infrastructure" activities are carried out for "...technical evaluation as well as physical and/or document verification of critical and/or at risk physical educational infrastructure and projects."</p>

Code: RI 2-8**Closed-Ended Question**

8. In the last fiscal period, were funds assigned to the Ministry of Tourism to perform disaster risk analysis which could be verified through instruments of budget classification?

General description of indicator

Disaster risk analysis is the first link in the chain of actions that make up DRM. The availability of resources is a deciding factor in the ability to finance disaster risk analysis activities. This indicator underscores the importance of the existence of an expense item, budget category or equivalent budget classification tool that allows for the verification of the actual allocation of resources for disaster risk analysis in the tourism sector.

Steps to follow to obtain the required information

1. Verify if there is an expense item or budget category for the tourism sector that allows for the objective identification of whether resources were allocated for disaster risk analysis in the last fiscal period.
2. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or tourism sector budget.
3. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget.
4. If appropriate, consult with the tourism sector authority (or equivalent), specifically with those areas responsible for the budget.
5. Review the website of the tourism sector authority (or equivalent) regarding ongoing projects.

Description of the minimum required situation for positive conditions

Proof of the allocation of resources during the last fiscal period to the tourism sector (or equivalent entity) to carry out disaster risk analysis as seen through an expense item, budget category or other equivalent budget classification tool.

Examples of positive conditions in countries in the Region

Due to the lack of examples in the Region, the following is proposed as a hypothetical situation: A country in the Region that allocated resources to the Ministry of Tourism (or equivalent entity) during the last fiscal period through a budget heading of the Ministry of Tourism to carry out an analysis of the vulnerability of the hotel infrastructure in the most affluent tourism region of the country.

Mexico: The Sector Fund for Research, Development and Technological Innovation in Tourism (SECTUR-CONACYT) is a public trust created to provide solutions for the main issues affecting the tourism sector by encouraging and promoting research in the academic sector and applied research for tourism that helps generate strategic knowledge and information and improve the competitiveness of Mexican tourism. There is currently a project in development entitled "A study of vulnerability and climate change and climate variability adaptation programs at ten strategic tourism destinations, as well as of a proposed early warning system for extreme hydrometeorological events," developed by the Academia Nacional de Investigación y Desarrollo, A.C. ([http://fondosectorial.sectur.gob.mx](http://fondosectorial.sectur.gob.mx;); <http://ictur.sectur.gob.mx/index.php/publicaciones/estudios-e-investigaciones/estudios-del-fondo-sectorial-conacyt-sectur>)

Code: RI 2-9

Closed-Ended Question
9. <i>In the last fiscal period, were funds assigned to the Ministry of Transport to perform disaster risk analysis which could be verified through instruments of budget classification?</i>
General description of indicator
Disaster risk analysis is the first link in the chain of actions that make up DRM. The availability of resources is a deciding factor in the ability to finance disaster risk analysis activities. This indicator underscores the importance of the existence of an expense item, budget category or equivalent budget classification tool that allows for the verification of the actual allocation of resources for disaster risk analysis in the transportation sector.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify if there is an expense item or budget category for the transportation sector that allows for the objective identification of whether resources were allocated for disaster risk analysis in the last fiscal period. 2. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or transportation sector budget. 3. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget. 4. If appropriate, consult with the transportation sector authority (or equivalent), specifically with those areas responsible for the budget. 5. Review the website of the transportation sector authority (or equivalent) regarding ongoing projects.
Description of the minimum required situation for positive conditions
Proof of the allocation of resources during the last fiscal period to the transportation sector (or equivalent entity) to carry out disaster risk analysis as seen through an expense item, budget category or other equivalent budget classification tool.
Examples of positive conditions in countries in the Region
Colombia: In the Appendix of Decree No. 2715 of December 27, 2012, through which the Nation's General Budget for fiscal year 2013 is distributed, budget heading 450 600 1 allocates resources for pre-investment studies for the " <i>implementation of a comprehensive risk management system for the Colombian road, river, train and port transportation networks- prior DNP item.</i> " In this same regard, the 2012 Colombia disaster risk management analysis document, Aid for the creation of public policies, from the World Bank in Colombia, which carried out a comprehensive assessment of Colombian risk management policies at the request of the National Department of Planning (DNP), table 2.7. Commitments and responsibilities matrix for disaster risk management by regulatory and planning area, states the following on the line entitled Risk awareness: " <i>INVIAS progress in the comprehensive risk management system for Colombia transportation networks.</i> "

Code: RI 2-10**Closed-Ended Question**

10. In the last fiscal period, were funds assigned to the national entity responsible for water and sanitation to perform disaster risk analysis which could be verified through instruments of budget classification?

General description of indicator

Disaster risk analysis is the first link in the chain of actions that make up DRM. The availability of resources is a deciding factor in the ability to finance disaster risk analysis activities. This indicator underscores the importance of the existence of an expense item, budget category or equivalent budget classification tool that allows for the verification of the actual allocation of resources for disaster risk analysis to the national entity responsible for water and sanitation.

Steps to follow to obtain the required information

1. Verify if there is an expense item or budget category for the national entity responsible for water and sanitation that allows for the objective identification of whether resources were allocated for disaster risk analysis in the last fiscal period.
2. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or the budget for the national entity responsible for water and sanitation.
3. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget.
4. If appropriate, consult with the national entity responsible for water and sanitation (or equivalent), specifically with those areas responsible for the budget.
5. Review the website of the national entity responsible for water and sanitation (or equivalent entity) regarding ongoing projects.

Description of the minimum required situation for positive conditions

Proof of the allocation of resources during the last fiscal period to the national entity responsible for water and sanitation (or equivalent entity) to carry out disaster risk analysis as seen through an expense item, budget category or other equivalent budget classification tool.

Examples of positive conditions in countries in the Region

Peru: Appendix 8 of Law No. 29951 on the Public Sector Budget for 2013 approved on November 30, 2012, Budget programs, allocates a budget for the Creation and Update of the analysis of vulnerability of entities providing sanitation services. (See page 1633)

Code: IR 2-11**Closed-Ended Question**

11. In the last fiscal period, were funds assigned to the national entity responsible for telecommunications to perform disaster risk analysis which could be verified through instruments of budget classification?

General description of indicator

Disaster risk analysis is the first link in the chain of actions that make up DRM. The availability of resources is a deciding factor in the ability to finance disaster risk analysis activities. This indicator underscores the importance of the existence of an expense item, budget category or equivalent budget classification tool that allows for the verification of the actual allocation of resources for disaster risk analysis to the national entity responsible for telecommunications.

Steps to follow to obtain the required information

1. Verify if there is an expense item or budget category for the national entity responsible for telecommunications that allows for the objective identification of whether resources were allocated for disaster risk analysis in the last fiscal period.
2. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or the budget for the national entity responsible for telecommunications.
3. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget.
4. If appropriate, consult with the national entity responsible for telecommunications (or equivalent), specifically with those areas responsible for the budget.
5. Review the website of the national entity responsible for telecommunications (or equivalent entity) regarding ongoing projects.

Description of the minimum required situation for positive conditions

Proof of the allocation of resources during the last fiscal period to the national entity responsible for telecommunications (or equivalent entity) to carry out disaster risk analysis as seen through an expense item, budget category or other equivalent budget classification tool.

Examples of positive conditions in countries in the Region

Due to the difficulty of finding a good example in the Region, a hypothetical situation is proposed as a reference: a country in the Region that allocated resources during the last fiscal year to the national entity responsible for telecommunications (or equivalent) through a budget heading in order to carry out vulnerability analysis for sector infrastructure, such as to determine the level of expected loss in the event of an earthquake.

Code: IR 2-12

Closed-Ended Question
<i>12. In the last fiscal period, were funds assigned to the national entity responsible for energy to carry out disaster risk analysis which could be verified through instruments of budget classification?</i>
General description of indicator
Disaster risk analysis is the first link in the chain of actions that make up DRM. The availability of resources is a deciding factor in the ability to finance disaster risk analysis activities. This indicator underscores the importance of the existence of an expense item, budget category or equivalent budget classification tool that allows for the verification of the actual allocation of resources for disaster risk analysis to the national entity responsible for energy.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Verify if there is an expense item or budget category for the national entity responsible for energy that allows for the objective identification of whether resources were allocated for disaster risk analysis in the last fiscal period. 2. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or the budget for the national entity responsible for energy. 3. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget. 4. If appropriate, consult with the national entity responsible for energy (or equivalent), specifically with those areas responsible for the budget. 5. Review the website of the national entity responsible for energy (or equivalent entity) regarding ongoing projects. 6. Discard the quality of risk studies for the purposes of rating indicator compliance.
Description of the minimum required situation for positive conditions
Proof of the allocation of resources during the last fiscal period to the national entity responsible for energy (or equivalent entity) to carry out disaster risk analysis as seen through an expense item, budget category or other equivalent budget classification tool.
Examples of positive conditions in countries in the Region
Jamaica: The budget for the Ministry of Science, Technology, Energy and Mines include resources to conduct risk analysis: Heading 5600A - Ministry of Science, Technology, Energy and Mines; Budget 2 - Capital A; Function 15 - Mining Program 578 - Geological and Geotechnical Regulatory Services. Said heading includes Project 2309- Geological and Geotechnical Evaluations, the purpose of which is <i>"...to carry out a national mapping of earthquake and landslide threats in the volatile areas of the island, and to consult on the national disaster management plan, as well as other national development plans related to the construction of highways and other engineering projects."</i>

Closed-Ended Question
13. Has the country's largest water or sanitation supplier performed at least one disaster risk analysis on its infrastructure within the last 5 years?
General description of indicator
<p>The sector that includes companies that provide public services has a shared fundamental objective of providing continuous service of the same quality and to the same number of users. Even in the event of the occurrence of a disaster that partially or totally affects its operation, the re-establishment of these services for the benefit of society is considered to be a key factor for recovery within DRM process.</p> <p>In this context, disaster risk analysis for companies providing public services is key for identifying the vulnerabilities of each of the public services. The information obtained after conducting risk assessment is raw material for the creation of specific <i>ex ante</i> risk reduction measures for the purposes of avoiding any damages to infrastructure and the interruption of said services during an emergency or disaster. Therefore, for this indicator, it is considered relevant if a company that provides public water and sanitation services to the greatest number of users in the country has allocated resources for disaster risk analysis at least once during the last 5 years. This company is usually located in the capital city.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the company responsible for providing public water and sanitation services with the largest number of users in the country. 2. Determine if said company is of public or private nature. 3. Review the information published by this company on the web regarding its investment chapter. 4. As appropriate, consult directly with the company regarding if it has conducted any disaster risk analysis in the last 5 years. We recommend searching for company management reports. 5. Aid, as appropriate, the entity supervising the company or the sector authority in charge of the contract adjudication process for the corresponding concession. 6. Should there be a concession, locate the available information on the contract on the website and investigate if it includes the requirements regarding disaster risk.
Description of the minimum required situation for positive conditions
<p>Objective evidence that the company responsible for providing public water and sanitation services with the largest number of users in the country has performed at least one disaster risk analysis study for its infrastructure within the last 5 years.</p> <p>Regardless, the corresponding section of the application should mention the name of the company in which said verification was carried out.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The Lima Drinking Water and Sewer Service (SEDAPAL) has a study entitled "Peru DRM in Water and Sanitation companies," published in November 2012, which was carried out within the framework of the World Bank Water and Sanitation Program and was funded by ACDI Canada in November 2012. The book on Policy Guidelines contains Appendix 1, which contains the Risk Analysis for the sector. SEDAPAL participated in the generation of required information to conduct the study and accepted the document.</p> <p>Mexico: The National Water Commission (CONAGUA), the office responsible for managing water resources in the country, has carried out several risk analyses for its infrastructure. One example is the studies for the western issuer in Mexico City, work for which began in 2009. The studies include risk analysis for Río de la Compañía (which creates relevant floods in the Federal District metropolitan area) and risk studies for Río Lerma, among others related to dams, rivers and flood scenarios that have been integrated into the "Manual for flood control."</p> <p>Dominican Republic: The Aqueduct Mitigation Plan for the northeast region of the Dominican Republic was created in 2009 by INAPA, the main provider of water and sanitation services, and includes a study of the vulnerability of the drinking water systems infrastructure in the northeast (including treatment plants, pump stations, aqueducts, sewers and canals) that are vulnerable to damage due to hydrometeorological and seismic phenomena. The study was carried out within the framework of the Mitigation and Prevention Plan (PPD), with the support of the UNDP, ECHO and CNE.</p>

Closed-Ended Question
14. Has the country's largest energy (generation, transmission and distribution) company performed at least one disaster risk analysis on its infrastructure within the last 5 years?
General description of indicator
<p>The sector that includes companies that provide public services has a shared fundamental objective of providing continuous service of the same quality and to the same number of users. Even in the event of the occurrence of a disaster that partially or totally affects its operation, the re-establishment of these services for the benefit of society is considered to be a key factor for recovery within the DRM process.</p> <p>In this context, disaster risk analysis for companies providing public services is key for identifying the vulnerabilities of each of the public services. The information obtained after conducting risk assessment is raw material for the creation of specific <i>ex ante</i> risk reduction measures for the purposes of avoiding any damages to infrastructure and the interruption of said services during an emergency or disaster. Therefore, for this indicator, it is considered relevant if a company that generates, transmits and distributes energy and has the greatest sales in the country has allocated resources for disaster risk analysis at least once during the last 5 years.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the energy generation, transmission and distribution company with the greatest sales in the country. 2. Determine if said company is of public or private nature. 3. Review the information published by this company on the web regarding its investment chapter. 4. As appropriate, consult directly with the company regarding if it has conducted any disaster risk analysis in the last 5 years. We recommend searching for company management reports. 5. Aid, as appropriate, the entity supervising the company or the sector authority in charge of the contract adjudication process for the corresponding concession. 6. Should there be a concession, locate the available information on the contract on the website and investigate if it includes the requirements regarding disaster risk.
Description of the minimum required situation for positive conditions
<p>Objective evidence that the energy generation, transmission and distribution company with the greatest sales in the country has performed at least one disaster risk analysis study for its area within the last 5 years.</p> <p>Regardless, the corresponding section of the application should mention the name of the company in which said verification was carried out.</p>
Examples of positive conditions in countries in the Region
<p>Mexico: In Mexico, the company providing electricity services (generation, transmission and distribution) is the State-Owned Federal Electricity Commission (CFE). The CFE conducts annual risk analysis for all its processes and provides them to the Risk Management Unit so that it can be considered in the comprehensive insurance of the CFE. The verifiers being provided include official letters and evidence related to the delivery of the risk analysis conducted on generation infrastructure, along with official letters sent in 2013 on the updating of the studies on transmission and distribution infrastructure. These analyses are based on the global risk assessment methodology (EGNR), which includes the calculation of the maximum probable loss for all facilities.</p>

Closed-Ended Question
<p>15. Has the country's largest telecommunication company performed at least one disaster risk analysis on its infrastructure within the last 5 years?</p>
General description of indicator
<p>The sector that includes companies that provide public services has a shared fundamental objective of providing continuous service of the same quality and to the same number of users. Even in the event of the occurrence of a disaster that partially or totally affects its operation, the re-establishment of these services for the benefit of society is considered to be a key factor for recovery within the DRM process.</p> <p>In this context, disaster risk analysis for companies providing public services is key for identifying the vulnerabilities of each of the public services. The information obtained after these companies conduct risk assessment is raw material for the creation of specific <i>ex ante</i> risk reduction measures for the purposes of avoiding any damages to infrastructure and the interruption of said services during an emergency or disaster. Therefore, for this indicator, it is considered relevant if the telecommunications company with the largest number of users in the country has allocated resources for disaster risk analysis at least once during the last 5 years.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the telecommunications company with the largest number of users in the country. 2. Determine if said company is of public or private nature. 3. Review the information published by this company on the web regarding its investment chapter. 4. As appropriate, consult directly with the company regarding if it has conducted any disaster risk analysis in the last 5 years. We recommend searching for company management reports. 5. Aid, as appropriate, the entity supervising the company or the sector authority in charge of the contract adjudication process for the corresponding concession. 6. Should there be a concession, locate the available information on the contract on the website and investigate if it includes the requirements regarding disaster risk.
Description of the minimum required situation for positive conditions
<p>Objective evidence that the telecommunications company with the largest number of users in the country has performed at least one disaster risk analysis study for its area within the last 5 years.</p> <p>Regardless, the corresponding section of the application should mention the name of the company in which said verification was carried out.</p>
Examples of positive conditions in countries in the Region
<p>Costa Rica: The Coordinating Department or Center for Emergency Operations, Subdepartment of the General Management for the Costa Rican Electricity Institute (ICE), the electricity and telecommunications provider, stated that it carries out infrastructure risk analysis. The processes to obtain the necessary documents to support the verification of the indicator were carried out, but it was not possible to obtain them. The main argument for not being able to access the information is its confidential nature after the regulatory reforms for opening the telecommunications sector (ICE operates in energy and telecommunications). However, the scientific publication "Costa Rica in the third millennium: challenges and proposals for the reduction of vulnerability," indicates that the ICE has implemented a program entitled Business Continuity in the Telecommunications Sector, based on the methodology of British standard BS 25999, which incentivizes business continuity, which is defined as that "<i>strategic and tactical capacity of an organization to plan and respond to incidents and interruptions in order to continue with business operations at a predefined acceptable level</i>" (page) 101). It also adds that within this context, the ICE Telecommunications sector has conducted telecommunications system risk analysis in 2010, among other things (p. 104).</p>

Code: IR 3-1

Closed-Ended Question
<i>1. Are there regulations that mandate the availability of information on risk analysis which also define the mechanisms or tools for their exchange?</i>
General description of indicator
<p>This indicator recognizes the value of regulations that establish the obligation of authorities that have useful information for DRM to, in a non-burdensome way, provide access to said information for other authorities and the general public, in accordance with the mechanisms and restrictions of the same. This is contrary to the trend in many countries where there is no regulatory framework to enable access to the information produced by public entities, specifically with regard to risk analysis.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations that could contain this condition: regulations on the infrastructure for spatial data, DRM regulations and regulations on access and use of public information (such as <i>habeas data</i>). 2. Analyze if said regulatory text provides for access to information produced by entities for the purposes of disaster risk identification processes. 3. Analyze and determine if these regulations establish mechanisms and tools for exchange. <p>NOTE: There can be several kinds of mechanisms or tools for exchange: (i) computer information system or platform, (ii) establishment of an inter-ministerial or multisector work group, (iii) definition of publication protocols with reference to metadata or standards that allow of interoperability, etc.</p>
Description of the minimum required situation for positive conditions
<p>The validity of regulations (it could even be specific DRM regulations) that establish that DRM information is of "national interest" or "collective interest" and therefore should be free to access and use. They could also be regulations that create tools or mechanisms to enable the exchange of information (interoperability).</p>
Examples of positive conditions in countries in the Region
<p>Peru: There are two regulations that establish the obligation to provide information in general: (i) Law No. 27806 of 2002, the Transparency and Access to Information Act; and (ii) Law No. 27444 of 2001, the General Administrative Procedure Act. Currently, the Spatial Data Infrastructure Project (IDEP) is working on designing mechanisms for exchange across web services. The SINAGERD Act, Article 16.6, mandates that <i>"the public entities that create technical and scientific information on dangers and threats, vulnerability and risk are required to integrate their data into the National Information System for Disaster Risk Management. The information generated is free for public entities to access."</i> The mechanism defined by the Act is the Information System for DRM. The condition was met in 2011 with the SINAGERD Act (since previous regulations "foster" exchange, but did not explicitly mention risk analysis).</p> <p>Panama: Executive Decree No. 177, of April 30, 2008, which regulates Law 7 (SINAPROC Act), establishes in Article 14 that: <i>"Public and private organizations with the mission of scientifically or technologically studying seismological, hydrological, volcanic, environmental and meteorological phenomena, must provide the System with all required information or information that is important for the prevention, mitigation and management of emergency or disaster situations."</i> There is also a Technical and Scientific Exchange and Cooperation Agreement between the National Environmental Authority (ANAM) and the Empresa de Transmisión Eléctrica, S.A., signed by the parties and endorsed in October 1, 2010, in which FIRST they <i>"undertake to conduct joint actions that allow for the promotion of research and information exchange for the conservation of water resources and the application of the results of said research to define regulations and procedures for the comprehensive management of water resources and watersheds."</i></p>

Code: IR 3-2**Closed-Ended Question**

2. Are there regulations that mandate the availability of information on climate change studies which also define the mechanisms or tools for their exchange?

General description of indicator

This indicator recognizes the value of regulations that establish the obligation of authorities that have useful information for CC studies to, in a non-burdensome way, provide access to said information for other authorities and the general public, in accordance with the mechanisms and restrictions of the same. This is contrary to the trend in many countries where there is no regulatory framework to enable access to the information produced by public entities.

Steps to follow to obtain the required information

1. Identify the regulations that could contain this condition: regulations on the infrastructure for spatial data, CC regulations and regulations on access and use of public information (such as habeas data).
2. Analyze if said regulations allow for access to the information produced by the entities for the purposes of determining probable future scenarios of the effects of climate change.
3. Analyze and determine if these regulations establish mechanisms and tools for exchange.

NOTE: there can be several kinds of mechanisms or tools for exchange: (i) computer information system or platform, (ii) establishment of an inter-ministerial or multisector work group, (iii) definition of publication protocols with reference to metadata or standards that allow of interoperability, etc.

Description of the minimum required situation for positive conditions

It may be that the regulations that permit and facilitate the exchange of information for disaster risk analysis may also be applicable to climate change studies. It could also be that the regulations were created due to concern for access to and use of climate data and the regulations only apply to hydrometeorological information. In this second case, this indicator would also be positive (although by limiting it to hydrometeorological information, it would not comply indicator IR 3-1).

Examples of positive conditions in countries in the Region

Argentina: Law 24,295, which approves the United Nations Framework Convention on Climate Change (published in the Official Bulletin of January 11, 1994), article 6 on Public Education, Training and Awareness, defines the responsibility to carry out the established commitments, which in this case include *"Public access to information on climate change and its effects."*

Mexico: The General Climate Change Act of June 2012, Article 7, section XIII states *"Integrate and update the Climate Change Information System, as well as make it available to the public pursuant to the terms of this Act and other applicable legal provisions."* Article 25 continues and reads *"The offices of the centralized and state-owned federal, state and municipal public administrations that carry out climate change mitigation and adaptation programs should provide information required of them by the Evaluation Coordination Office in order to comply with their responsibilities, in accordance with the applicable provisions with regard to transparency and access to information."* Articles 26, 106 and 107 supplement the positive evaluation of the indicator with some specifics on transparency, access to information and means to make it available on electronic portals.

Code: IR 3-3**Closed-Ended Question**

3. *Has the national entity responsible to generate information on geological phenomena, performed at least one quality assessment of their research, monitoring and dissemination process in the last 3 years?*

General description of indicator

The generation of information on geological phenomena is critical. The information obtained from the competent national level entity is raw material for geological risk management. Therefore, it is relevant for this indicator that the department or national geological institute (or equivalent entity) has conducted at least one internal quality assessment of its research, monitoring and information dissemination processes in the last 3 years.

Steps to follow to obtain the required information

1. Identify the national geological service or equivalent entity in the country.
2. Analyze if the entity conducts periodic internal evaluations on the quality of its processes.
3. Identify if the last evaluation was conducted during the last 3 years.
4. Identify if the quality evaluation analyzed the following 3 processes: investigation, monitoring and information dissemination.
5. Establish the final evaluation report as a verifier for the completed condition.

NOTE: The ISO standards for quality control do not guarantee that the suitability, scientific rigor and technical updating will be *state of the art* for the area. These kinds of standards only establish that certain administrative steps or requirements are met in the processes. However, having quality control certification, meaning that at least the requirements of an ISO standard or national equivalent are being followed, is usually a good indicator that there is an attempt to carry out these processes in accordance with the state of knowledge.

Description of the minimum required situation for positive conditions

Not to be confused with the "management reports" that exclusively address the budget report and the goals achieved by the entity within a specific period of time. It actually has to do with verifying if the entity is concerned for "quality" in processes, especially those that have to do with research, monitoring and information dissemination (note that all three processes must be verified, not just one of them).

Examples of positive conditions in countries in the Region

Mexico: There are various national public institutions that are responsible for creating information on geological processes, and all are frequently audited for quality in their processes and in the use of their allocated resources. Taking the National Disaster Prevention Center (CENAPRED) as a reference point, see "Accountability Report for CENAPRED APF 2006-2012, published in 2012."

Code: IR 3-4**Closed-Ended Question**

4. Has the national entity responsible for generating information on hydrological and meteorological phenomena, performed at least one quality assessment of their research, monitoring and dissemination process in the last 3 years?

General description of indicator

The generation of information on hydrometeorological phenomena is critical. The information obtained from the competent national level entity is raw material for hydrometeorological and meteorological risk management. Therefore, it is relevant for this indicator that the department or national hydrometeorological institute (or equivalent entity) has conducted at least one internal quality assessment of its research, monitoring and information dissemination processes in the last 3 years.

Steps to follow to obtain the required information

1. Identify the national hydrometeorological service or equivalent entity in the country.
2. Analyze if the entity conducts periodic internal evaluations on the quality of its processes.
3. Identify if the last evaluation was conducted during the last 3 years.
4. Identify if the quality evaluation analyzed the following 3 processes: investigation, monitoring and information dissemination.
5. Establish the final evaluation report as a verifier for the completed condition.

NOTE: The ISO standards for quality control do not guarantee that the suitability, scientific rigor and technical updating will be *state of the art* for the area. These kinds of standards only establish that certain administrative steps or requirements are met in the processes. However, having quality control certification, meaning that at least the requirements of an ISO standard or national equivalent are being followed, is usually a good indicator that there is an attempt to carry out these processes in accordance with the state of knowledge.

Description of the minimum required situation for positive conditions

It should not be confused with the "management reports" that exclusively address the budget report and the goals achieved by the entity within a specific period of time. It actually has to do with verifying if the entity is concerned for "quality" in processes, especially those that have to do with research, monitoring and information dissemination (note that all three processes must be verified, not just one of them).

Examples of positive conditions in countries in the Region

Mexico: The Superior Auditing Office of the Department of Public Functions, together with the National Meteorological Service (SMNM), which is part of the National Water Commission, created the 2010 Institutional Diagnostic and Proposal for the 2010-2019 Strategic Plan with the Technical Assistance of the World Meteorological Organization (WMO), which included a diagnostic of the current situation at the SMNM, especially with regard to its capacities in terms of institutional aspects, infrastructure and equipment, infrastructure for weather and climate change studies, and meteorological products and services (general interest and specific for different sectors of users). This Diagnosis, which was created with the participation of users and providers of SMN information, was published in 2011.

Code: IR 3-5**Closed-Ended Question**

5. Has the national control entity performed at least one verification or assessment on information generation and its availability on disaster risk in the last 5 years?

General description of indicator

Similar to indicator MG 3-3, this indicator aims to determine if the national auditing, comptroller or oversight organization (or equivalent in the country), has carried out any specific verifications or evaluations on the generation and availability of information on disaster risk at least once in the last 5 years.

This evaluation could be the same as what was presented as a positive condition in indicator MG 3-3, as long as one of the contents of the same is the specific issue of risk information management (not disaster management).

Steps to follow to obtain the required information

1. Identify the oversight entity for each country (could be an auditing, comptroller or equivalent office).
2. Analyze the cases when evaluations or verifications of risk management issues or the entities that generate information on risks in the country were carried out.
3. Analyze if these cases have addressed the issue of information on risks (NOTE: this is information on threats and vulnerabilities. It should not be confused with information on damages and losses after the event of a disaster, as this is examined in another indicator within the PR component).
4. Determine if the detected evaluation was conducted during the last 5 years.

Description of the minimum required situation for positive conditions

Verify the existence of an audit or comptroller (or equivalent entity for the country) document that addresses an evaluation or verification of the performance of pertinent entities in terms of the generation and availability of information on risk in the country.

NOTE: The evaluation could be on the performance of a single entity (such as the case of an evaluation of the national geological or hydrometeorological department) or a group of entities.

Examples of positive conditions in countries in the Region

Colombia: In 2007, the General Comptroller of the Republic of Colombia completed a report to the Congress of the Republic entitled "Status of Natural and Environmental Resources." In Chapter IV "*Disaster Prevention and Response. Risk management: reality and perspectives*," the entity made a detailed assessment of the compliance of national policy in this regard. The evaluation was carried out on the main components of DRM. On pages 238 to 240, the roles of IDEAM (studies and monitoring of hydrometeorological phenomena) and INGEOMINAS (studies and monitoring of geological phenomena) were analyzed.

Mexico: The National Disaster Prevention Center (CENAPRED) states that its attributions include the dissemination of information that it gains through its monitoring and research processes on different disruptive phenomena and has the Office of Dissemination, which was audited by the Superior Auditing Office of the Federation, in the "1089 Performance Evaluation," whose projects to comply with its recommendations and observations were carried out during 2010 and 2011. Additionally, the National Civil Protection Coordination Office, through legal provision, of which CENAPRED is a part, was audited in 2009 under the name "141 Performance Evaluation" and this audit considered information related to the quality and impact of its dissemination process.

Code: IR 3-6

Closed-Ended Question
6. Do the national DRM regulations mandate the responsibility to inform the citizens about disaster risk?
General description of indicator
<p>This indicator looks to determine a quality element in the national DRM regulations related to the responsibility of informing the community of disaster risk in order to raise awareness of said risk and possibly adopt measures to reduce the same.</p> <p>It is interested in detecting if the DRM regulations have stated that the community should be informed of disaster risk. This should not be confused with information during disaster situations (this is investigated in other iGOPP components related to reactive management). This deals with information related to potential losses and damages (risk).</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the DRM regulations in the country. 2. Analyze if said regulations address the concepts of public or community information. 3. Determine if the national DRM regulations mandate the responsibility to inform the citizens about disaster risk.
Description of the minimum required situation for positive conditions
The DRM regulations should establish some level of responsibility with regard to public or community information on risks.
Examples of positive conditions in countries in the Region
<p>Colombia: Law 1523, of April 24, 2012, through which "the National Disaster Risk Management Policy is adopted and the National Disaster Risk Management System is established," establishes, in Article 3, "general principles," number 15, the <u>principle of timely information</u>: "For all the effects of this law, it is the obligation of the authorities of the National Disaster Risk Management System to duly inform all people and businesses of: <u>risk possibilities</u>, disaster management, rehabilitation and construction actions, as well as of donations received, administered and delivered."</p> <p>Mexico: The General Civil Protection Act of June 6, 2012 establishes the following in Article 5: "<i>The Civil Protection authorities...should act based on the following principles: IV. Publicity and social participation in all phases of Civil Protection, especially with regard to protection; V. Establishment and development of a culture of Civil Protection, with an emphasis on prevention in the population in general...</i>" Additionally, Article 29 gives the Executive Secretary of the National Council the responsibility to: "... III. Provide the general populace with public information created with regard to Civil Protection as related to self-protection and self-care..."</p> <p>Guatemala: The Regulations of Law No. 109-96, National Coordinating Office for the Reduction of Disasters of Natural or Man-made Origin Act (CONRED), adopted via Governmental Decree No. 49-2012, of March 14, 2012, state in Article 79, Manuals, section D, National Organization Manual, Appendix III on the Functions of commissions of coordinating offices at the municipal and departmental level, number 13: "<i>Inform the population in the jurisdiction on the possible risks, as well as on the state of the situation in the event of an emergency or disaster.</i>"</p>

Code: RR 1A-1

Closed-ended question
<i>1. Are there regulations that establish and coordinate competencies between disaster risk reduction and climate change adaptation for the territorial and sectoral entities?</i>
General description of indicator
<p>This indicator aims to determine if the current legal framework in the country, excluding the national DRM regulations, recognizes the need to reconcile and combine the protected scopes and values between DRM, specifically in its Risk Reduction (RR) phase, and Climate Change Adaptation (CCA). In this way, while both activities are carried out synergy can be created, with respect to the common or shared issues and objectives, with an emphasis on risk reduction and its contributions to sustainable development, and avoiding duplicate actions within the sector and at different territorial levels.</p> <p>NOTE: Indicator GF 1A-4 examines the express DRM regulations, from the perspective of quality of the regulations. The present indicator, RR 1A-1, examines any regulations that facilitate coordination between DRM and CCA.</p> <p>NOTE: The term "coordination" refers to the designation of shared and differentiated responsibilities between RR and CCA.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the CC regulations in the country or any other regulations related to the matter (excluding the express DRM regulations, since these were already analyzed in Indicator GF 1A-4) 2. Analyze whether these regulations include the coordination of the RR and CCA competencies, with respect to the actions to be performed with different sectors and at different territorial levels.
Description of the minimum required situation for positive conditions
There must be regulations in force, whether CC legislation or any others that are not express DRM regulations that establish a synergistic and complementary approach to both RR and CCA, thus avoiding duplicate actions.
Examples of positive conditions in countries in the Region
<p>Colombia: The CONPES 3700 document, "Institutional Strategy for the Coordination of Climate Change Policies and Actions in Colombia," approved on July 14, 2011, defines in its introductory section: <i>"The strategy arises from the need for an institutional structure solid enough for the decision-making process at the highest levels to integrate risk management, climate change management and environmental management."</i> In its program section, in the chapter on the National Climate Change Adaptation Plan, proposal number 7 mandates: to generate <i>"...a concrete proposal for integrating Risk Management and environmental, territorial and sectoral planning with climate change adaptation."</i></p>

Code: RR 1A-2

Closed-ended question
<i>2. Are there regulations that define benchmarks of acceptable risk for at least two threats in the country?</i>
General description of indicator
<p>The indicator aims to determine whether the regulations include the concept of acceptable risk, which essentially dictates the pending risk reduction agenda.</p> <p><u>Acceptable risk shall be understood as:</u> the level of loss within a period of time, that is considered acceptable, and which is used to determine the minimum safety demands or requirements needed to protect from and plan for possible dangerous phenomena. In general, it refers to the social, economic and environmental consequences that a society accepts or tolerates because intervention to reduce such consequences is deemed unnecessary, nonviable, inopportune or impossible given the existing economic, social, political, cultural and technical context.</p> <p>In engineering terms, the concept of acceptable risk is used to determine the intensities and probabilities of a hazard that must be incorporated as minimum design parameters for a particular infrastructure.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify current regulation that addresses the different types of hazards (earthquakes, volcanic activity, mass wasting, flooding, etc.) 2. Identify whether these regulations establish maximum design parameters for building design or land use processes.
Description of the minimum required situation for positive conditions
Regulations in force that establish safety levels that must be met, taking into account the parameters of intensity of the phenomena associated to the return periods or annual exceedance frequency for at least two hazards.
Examples of positive conditions in countries in the Region
<p>Colombia: The Colombian Earthquake-Resistant Construction Code (Law 400 of 1997, updated in 2010 through Decree N° 926 of 2010 - NSR-10). Pursuant to this law, buildings designed and built in Colombia must be able to withstand a seismic event with a low probability of occurrence, so that the building can be effective in the majority of events (that is to say, for the more frequent events). The benchmarks of acceptable risk are determined by the building type (essential or non-essential) and by the seismic zone. The Code also establishes resistance parameters for "wind forces" (Title A.9.5.4). The last update to Regulation NSR-10, Decree N° 926 of 2010, introduces, for the first time in Colombia, the "fire-protection requirements for building structures" (Title J). This title did not exist in the first and second version of the regulation. Specifically, the regulation establishes the general fire-protection requirements in buildings and the safety aspects of the electrical and gas grids (and of other combustible, inflammable or fuel fluids), as well as the fire-resistant requirements of buildings. The concept of acceptable fire risk originates from the "classification of buildings by the risk of human life loss or combustion hazard" (Chapter J.3.3), "the determination of the fire-resistance required" (Chapter J.3.4), and the "evaluation of the provision of fire-resistance in building elements" (Chapter J.3.5). NOTE: The fire risk is evaluated both as it relates to the seismic risk and independent of it, and therefore fulfils the condition of having at least two threats, as required by the indicator.</p> <p>Panama: The Structural Design Code for the Republic of Panama of 2004, pursuant to Resolution JTIA No. 639 of 2004, published in the Official Gazette No. 25,181, of November 22, 2004. This code defines the standards and levels of safety in the design of structures and infrastructure and establishes benchmarks for the use or application of other codes, especially for the threats of earthquakes and winds.</p>

Code: RR 1A-3

Closed-ended question
3. <i>Is there at least one national regulation that obliges public entities to reduce the vulnerability of essential buildings and critical infrastructure through reinforcement or replacement measures?</i>
General description of indicator
<p>The indicator aims to determine whether the regulations in the country consider the concept of "essential buildings" or "critical infrastructure" (which is analyzed in indicator "RI 1B-18"), and is used for reinforcement or replacement purposes.</p> <p>The idea is that, based on this concept, countries can determine which buildings and infrastructure must remain in use and cannot collapse when a disaster hits (due to their strategic nature and their importance from the services they render), and can carry out reinforcement or replacement projects that will gradually reduce risks.</p> <p>The indicator does not aim to confirm that such reinforcements or replacements are being carried out, but rather to verify that there are regulations in force that establish this obligation.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the country's existing regulations on buildings and infrastructure (they may be at the level of the building or transport authorities or whomever represents them). 2. Identify whether the concept of "essential buildings" or "critical infrastructure" is contemplated in the corresponding regulations. 3. Analyze whether the regulations establish the obligation to reinforce these buildings or replace them in order to guarantee their functionality and normal operation in the event of disaster.
Description of the minimum required situation for positive conditions
<p>There must be at least one national regulation in force that obliges public entities to reinforce or replace buildings considered to be "essential" or "critical infrastructure."</p> <p>In countries exposed to earthquakes it is essential that buildings such as hospitals and schools are considered essential structures and receive structural reinforcement to guarantee their earthquake-resistance, at least to levels considered acceptable for normal operation.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: Colombian Earthquake-Resistant Construction Code: Law 400 of 1997, updated in 2010 through Decree N° 926 of 2010 - NSR-10. Title A.10.9 of this regulation integrates the concept of "Seismic Rehabilitation," and section A.10.9.2.1 establishes the resistance parameters and operating capacity required, in accordance with the use and age of the buildings. Specifically in the case of "essential buildings and community use facilities (use groups III and IV)," the code establishes that: <i>"independently of the era in which the building was constructed, this type of building must fulfil the requirements established in A.10.4.2.1, with the aim of achieving a safety level equivalent to that of a new building, and in accordance with the criteria and requirements of the present Code, so that after such interventions the building will have overexertion and flexibility indexes smaller than the unit."</i></p> <p>Guatemala: The Disaster Reduction Standard Number One (NRD-1), "Structural Requirements for Critical, Essential and Important Building Works," approved by agreement N° 03-2010 of the National Council for Disaster Reduction, of March 19, 2010, is a set of minimum technical criteria that must be implemented in the design of new buildings, the remodeling or repair of existing buildings, and in building assessments. This is also applicable to critical, essential and important buildings, in accordance with the classification contained in the Recommended Standard AGIES NR-1-2000, General Framework of Design and Construction, and its subsequent reforms, with which existing works (those that must be evaluated and remodeled), works under construction, and new works must comply. In the case of existing works, it</p>

explicitly establishes that *"Existing buildings that to date do not comply with the present standard, shall undergo the repair and/or retrofitting necessary for compliance,"* for which it also stipulates the corresponding time-limits for critical, essential or important works to do so.

Pursuant to NRD-1, in Article 5. Structural requirements; nine standards are validated and approved, forming the structural requirements of the DISASTER REDUCTION STANDARD NRD-1.

- a) Recommended Standard AGIES NR-1-2000, General framework of design and construction;
- b) Recommended Standard AGIES NR-2-2000, Structural demands, site conditions and protection levels;
- c) Recommended Standard AGIES NR-3-2000, Structural design of buildings;
- d) Recommended Standard AGIES NR-4-2001, Special requirements for housing and other minor constructions;
- e) Recommended Standard AGIES NR-5-2001, Requirements for designs of infrastructure works and special works;
- f) Recommended Standard AGIES NR-6-2001, Risk reduction and retrofit;
- g) Recommended Standard AGIES NR-7-2000, Reinforced concrete;
- h) Recommended Standard AGIES NR-7-5, Structural steel;
- i) Recommended Standard AGIES NR-9-2002, Reinforced masonry.

Additionally, the **Disaster Risk Reduction Standard Number 3, approved by Agreement N° SE-02-2012, on "Technical Specifications of Construction Materials" of January 22, 2013**, contains "Requirements for designs of infrastructure works and special works," which must be observed in both new buildings and those being retrofitted or remodeled, in order to comply with the minimum safety requirements.

Code: RR 1A-4

Closed-ended question
<i>4. Are there regulations that stipulate specific penalties for the breach of regulations related to the design, construction or location of public and private infrastructure or buildings?</i>
General description of indicator
This indicator recognizes a quality factor in the legal framework applicable to risk reduction actions, in which a breach of the regulations on the design, construction or location of public or private buildings and infrastructure is considered a violation or crime that can be the object of an administrative penalty or judicial corporal punishment, pursuant to the previously-established regime.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the current regulations on buildings and infrastructure in the country (they may be at the level of the building or transport authorities or whomever represents them). 2. Identify whether these regulations establish, for the diverse cases of noncompliance, a regime that stipulates administrative sanctions, or rather, that classifies crimes and indicates the corresponding sentences. 3. Dismiss, when applicable, penal or criminal laws and codes, in search of an offense comprised of a conduct related to the breach of regulations on the design, construction or location of public or private infrastructure or buildings.
Description of the minimum required situation for positive conditions
<p>A regulatory framework, whether for construction and urban planning (or similar fields), or for other distinct matters, that contains a regime of sanctions for the breach of obligations on the design, construction or location of infrastructure or buildings.</p> <p>In some countries this is not included because it is "implied," nevertheless, in order to fulfil the indicator it is necessary for the country in question to have explicit laws stating that such a breach would entail a sanction.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The specific penalties for infractions to the National Building Code (RNE) are protected by Supreme Decree N° 011-2006-Vivienda, of May 8, 2006. This Supreme Decree establishes in title I, General Background, item G030, "Rights and Responsibilities," and Chapter VII establishes in articles 47, 48 and 49, the Infractions to the code and the consequent corresponding Sanctions.</p> <p>Panama: Executive Decree No. 775 of 1960 establishes the procedures, process and sanctions for violations of Law 15 of 1959, which creates the Technical Engineering and Architecture Board (JTIA), and whereby updates to the Construction Design Code of Panama are approved.</p> <p>Costa Rica: The Seismic Code of Costa Rica, 2010, formulated by the Board of Engineers and Architects, fourth edition 2011, Editorial Tecnológica de Costa Rica, which was approved by Decree N° 37070 of the Ministry of Housing and Human Settlements, Ministry of Science and Technology, and Ministry of Public Works and Transport, published in the Official Gazette on July 13, 2012. It stipulates on pages 47 and 50, Section 4.1. Classification of buildings by their importance and defined performance objectives. All buildings must be classified by the importance of their occupation or function according to Table 4.1. Each group has a corresponding importance factor, which defines the seismic action for which it must be designed. In the same way, the performance objectives of the infrastructure during strong earthquakes are established.</p>

Closed-ended question
5. Are there regulations that mandate that disaster risk reduction measures are incorporated during the construction of public and private infrastructural projects?
General description of indicator
<p>The indicator refers to the measures to reduce the risk that is generated during the construction phase due to the effects of the work itself and which may primarily affect third parties. For example, when a hydroelectric dam is being built a flood may occur and reduction risk measures must have been previously considered, not only to protect the dam, but also to protect the population, economic activities and infrastructure located downstream. Another example could be the regulations established to protect third parties that may be affected during the construction phase of a highway located on a steep slope, where there could be elevated risk of mass wasting.</p> <p>This indicator determines whether the country's regulations have considered this potentially delicate phase as an area where risk reduction measures can be applied.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. This information could be found in the standard terms of reference for contracting of large projects such as dams, airports, ports, long-span bridges, etc. 2. The safety requirements during the construction phase can be found in the administrative acts of different sectors (energy, potable water and sanitation, civil aeronautics, roadways, etc.).
Description of the minimum required situation for positive conditions
For large-scale lifeline projects there must be at least one regulation, code, administrative standard, resolution or sectoral guideline that indicates safety requirements in the construction phase that have been established previously or during the bidding or concession processes.
Examples of positive conditions in countries in the Region
<p>THE PROVIDED VERIFIER HAS BEEN OBJECTED TO AND THE FTP DOES NOT INCLUDE THE DEFINITIVE IGOPP</p> <p>Mexico: The objective of the Official Mexican Standard NOM-031-STPS-2011, on "Construction-Health and Safety Conditions in the Workplace," of May 4, 2011, is to establish the health and safety conditions in the workplace at construction sites and it applies to all construction projects carried out in the national territory, in any of the different activities or phases. Analysis of potential risks, which is <i>"the document that contains the characteristics of the construction project and the risks associated to each of the activities and phases that are performed therein, as well as the preventive measures for each identified risk."</i> Standard 031 stipulates, in "section 8," the determination of risks and their possible impact, based on the existing dangers, and the measures of prevention, protection and monitoring applicable to the detected risks, for medium and large construction works. For example, for excavation work, NOM-031 establishes that at construction sites where excavation activities are performed, there must be an potential risk analysis of that considers....the following "...11.1: a) <i>The study of soil mechanics, which refers to the type of soil being excavated, its physical composition and mechanical properties;</i> c) <i>The changes in weather;</i> e) <i>The method of excavation slope stabilization, when applicable...</i> 11.2 <i>During excavation activities, the following safety measures must be taken: a) Inspect the excavation site in order to detect any potential faults, cracks or landslides: 1) At the start of each day and upon completion of the activities, in order to detect changes in the land; 2) After intense rain; 3) After the passage of heavy machinery or intense vehicular transit, and 4) At the conclusion of any event that could increase risk; b) Inspect the systems used in stabilizing ditch walls at the beginning and end of each day; d) Remove trees, shrubs and brush that impede the stability of the terrain to be graded, if in possession of the corresponding authorizations; e) Ensure the supports or anchoring of the electrical energy posts or, when applicable, request their relocation through the competent authority; f) Reinforce the walls of the excavation with posts, coverings, mesh, platforms, shuttering, crosspieces or props (table stakes), when there is a landslide risk. In excavations for piers, prohibit the entry of workers when there is no proper protection for the walls of the excavation; g) Perform excavations in work areas with stable slopes, whose inclination is in accordance with the soil type and/or the following Table 6..."</i></p>

Code: RR 1B-1

Closed-ended question
<i>1. Do the national Disaster Risk Management regulations stipulate that each sector is responsible for disaster risk reduction in the scope of its sectorial powers?</i>
General description of indicator
Considering that DRM is a public policy that must exist across the national or federal public administration, with the understanding that its objectives and vision are shared by all sectors, it is ideal for DRM regulations to stipulate that each sector must, in the scope of its competencies and jurisdictions, take actions to reduce its exposure and vulnerability, and consequently its risk (based on the risk analysis that each one must perform); thus resulting in better development options for all countries as a whole.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the national DRM regulations. 2. Analyze if they expressly stipulate that the sectors are responsible for reducing disaster risk in the scope of their own sectoral competencies.
Description of the minimum required situation for positive conditions
<p>This indicator refers to a quality attribute of DRM regulations in the country. It is based on the recognition of DRM as a development issue and therefore its concrete implementation is incumbent upon all levels of government and sectors.</p> <p>This should not be confused with regulations that state that the sectors are responsible for carrying out disaster preparedness actions. It should also not be assumed that the sectors will perform risk reduction simply because it is stipulated by a DRM or Disaster Assistance sectoral plan. What is of importance here is the verification of whether the DRM regulations explicitly assign responsibility to each sector for reducing its own risk.</p>
Examples of positive conditions in countries in the Region
<p>Panama: The National Comprehensive Disaster Risk Management Policy (PNGIRD), approved by Decree N° 1101, of December 30, 2010, stipulates in axis number V that <i>"... comprehensive disaster risk management must be viewed as an intrinsic part of development planning processes. Following the principle of the scope of competencies, each public entity must reduce the risk of its own social or productive activity and must prevent the creation of new risks."</i></p> <p>Mexico: The General Law of Civil Defense, published on June 6, 2012, stipulates in article 4 that: <i>"Public policies on the matter of civil defense shall be adapted to the National Development Plan and the National Civil Defense Program, identifying the following priorities: ... III. It is the obligation of the State in its three branches of government, to reduce the risks to the affectable agents and carry out the necessary actions to identify and recognize the vulnerability of the areas under its jurisdiction."</i></p>

Code: RR 1B-2

Closed-ended question
2. <i>Within the National Disaster Risk Management regulations are public service providers responsible to reduce disaster risk in the scope of their operations?</i>
General description of indicator
<p>Considering that Disaster Risk Management (DRM) is a public policy that ought to be carried out horizontally, involving all public administration entities, all levels of government and the social and private sectors alike, it is reasonable for national DRM regulations to include public service provider companies in this integrated approach, whether they be public or private concessions. To this effect, the indicator values that the national DRM regulations establish responsibilities for these companies, particularly in the matter of the reduction of risks that are related to the scope of the services they provide. This is the result of the assessment of the social and financial costs generated when such services are affected, or partially or completely interrupted, due to a disaster. Like indicator RR 1B-1, this indicator is focused on analyzing quality criteria of the specific regulation.</p> <p>It is possible that some countries include public service provider companies in the sectoral scope; this will depend on the institutional organization of each country.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the specific DRM regulations. 2. Analyze whether it is expressly stipulated that public service provider companies have the responsibility to reduce disaster risk in the scope of their own operations.
Description of the minimum required situation for positive conditions
<p>This indicator refers to a quality attribute of DRM regulations in the country. It is based on the recognition of DRM as a development issue and therefore its concrete implementation is incumbent upon all levels of government and sectors.</p> <p>It shall not be confused with regulations that stipulate that public service providers are responsible to conduct disaster preparation actions, and it should also not be assumed that these companies will perform risk reduction simply because it is stipulated in a sectoral plan for DRM, Disaster Prevention or Disaster Assistance. This point is focused on verifying the DRM regulation, explicitly whether it assigns responsibility to public service provider companies to reduce their own risk.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The Regulation to Law N° 29664, which created the SINAGERD, approved by Supreme Decree number 048-2011-PCM, of May 25, 2011, stipulates in article 13, section 13.2 that "... <i>public entities shall identify and prioritize the risk in the infrastructure and economic, social and environmental processes within their purview, and establish a plan of corrective management, taking into consideration the guidelines established by CENEPRED.</i>" Additionally, Law N° 29664, which created the SINAGERD, of February 8, 2011, in article 2, related to the scope of the Law's application, mandates that: "... <i>the Law shall be applied to and fulfilled by all public entities and companies from all levels of government, as well as by the private sector and citizens in general;</i>" and it adds: "...<i>all generic references to public entities in the present Law, its code and the dispositions therein are understood to mean... the public entities to which Law Number 27444 refers...</i>". The latter, the Law of General Administrative Procedure of March 21, 2001, states that the concept of public entities extends to include "<i>The legal persons under the private regime that provide public services or perform an administrative function, by virtue of concession, delegation or authorization of the State, in accordance with the regulations on the matter...</i>". It is therefore concluded that in Peru, the public service provider companies are indeed obliged to reduce disaster risk in the scope of their operations.</p> <p>Dominican Republic: Decree No. 874-09, approves the Application Code of Law No. 147-02, on Risk Management, of November 30, 2009, mandates responsibilities for the main providers of water, sanitation and electricity (there are other providers in rural areas or lesser regions that fall outside the scope of the regulation)"Article 16. - <i>Of the functions and duties of the agencies and bodies of the Central Government. Aside from the specific responsibilities and functions established in the National Emergency Plan, there are special functions of the following agencies and bodies of the Central Government:... 15) The National Institute of Potable Water and Sewerage, The Dominican Electricity Corporation, and the Aqueduct and Sewerage Corporation shall: promote vulnerability studies of the lifelines under their purview; develop risk reduction measures for the public service infrastructure grids and works within their scope; coordinate the support to address the population's needs for public services in the event of disaster; and support the recovery and reconstruction phases when public services are affected.</i>"</p>

Code: RR 1B-3

Closed-ended question
3. <i>Is there at least one national safety standard (code) for earthquake-resistant design of buildings, or similar (e.g. wind), which is mandatory for public and private projects?</i>
General description of indicator
Disaster Risk Management (DRM) is of interest in practically all aspects of a country, so it is therefore logical that great interest is taken in construction and urban planning activities, especially when the corresponding risk analyses are performed and a series of natural threats directly related to the activity is detected. Hence, this indicator values the validity of national standards and codes for building design and construction, which, as the technical and regulatory instruments that they are, collect the data from risk analyses and translate it into compulsory rules or precepts for public or private projects.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the national regulations for building design. 2. Analyze whether such regulations include design that is earthquake-resistant or prepared for another type of relevant natural threats in the country (such as wind). 3. Determine whether the code (or equivalent instrument) is of compulsory compliance.
Description of the minimum required situation for positive conditions
The construction code must be regulated and of compulsory compliance.
Examples of positive conditions in countries in the Region
<p>Panama: The construction code, published in the Official Gazette No. 25,181, of November 22, 2004 - Ministry of Public Work, Technical Board of Engineering and Architecture (Law 15 of January 26, 1959), Resolution No. JTIA-639 (of September 29, 2004) "<i>By which the Structural Design Code for the Republic of Panama (2004) REP-04</i> is adopted." In this Code, the load calculation includes: Gravity (Ch. 2), Wind (Ch. 3), Seismic (Ch. 4) and Soil (Ch. 5); and is of compulsory compliance for public and private projects.</p> <p>Peru: The Technical Standard of Building E.30, "Earthquake-Resistant Design," approved by Ministerial Resolution N° 079-2003-VIVIENDA, of April 2, 2003, and updated continuously (the last update is available through Supreme Decree N° 017-2012-VIVIENDA, of November 8, 2012). This standard is of compulsory compliance for public and private projects.</p>

Code: RR 1B-4

Closed-ended question
4. Are there regulations that standardize the technical aspects of construction, recommend special design parameters for essential buildings, indispensable or critical infrastructure in the country?
General description of indicator
<p>This indicator is related to two other indicators from the iGOPP: IR 1B-18, on "essential buildings, indispensable and critical infrastructure," and RR 1A-3, on construction codes.</p> <p>It aims to establish whether the determination of "essential, indispensable buildings or critical infrastructure" in the country is associated with a special treatment for their design. This can be verified by the regulations governing the technical aspects of constructions.</p> <p>This indicator refers to a quality criterion of the country's construction regulations.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the national regulations for building design. 2. Analyze whether these regulations recognize the quality of the "essential, indispensable buildings or critical infrastructure." 3. Determine whether more stringent design criteria exist for these types of constructions.
Description of the minimum required situation for positive conditions
Building design regulations must stipulate a specific treatment or regime for what is considered to be "essential, indispensable buildings or critical infrastructure." Moreover, such regulations must also grant these constructions special protection (for example, hospitals and schools), given their strategic importance or the nature and quality of the services they provide.
Examples of positive conditions in countries in the Region
<p>Colombia: The Colombian Earthquake-Resistant Construction Code, NSR-10, contained in an Annex of Decree N° 926 of 2010, which stipulates the technical and scientific requirements for earthquake-resistant buildings - NSR-10, and which updates Law 400 of 1997. Section A.2.5 of this law includes the "Coefficient of Importance," which prescribes a greater degree of conservatism in the anti-seismic design of buildings that are essential for emergency assistance and the recovery of the community after a strong earthquake occurs. This standard indicates that Groups III and IV are essential or indispensable buildings, and included schools in Use Group III: Buildings of Community Use.</p> <p>Guatemala: The Regulations of Law N° 109-96, National Coordination for Disaster Reduction of Guatemala (CONRED), adopted by Governmental Agreement N° 49-2012, of March 14, 2012, stipulates in Article 85: <i>"Technical Construction Standards. Based on Article 3 of the CONRED Law, paragraph a), The Executive Secretariat and/or Scientific Council shall request the collaboration of public, private, professional, academic and citizen institutions, as well as of trade unions, for the development of proposals for construction standards for disaster prevention and mitigation, which will be presented to the National Council for approval. Subsequently, that stipulated in Decree Number 1523 of the Congress of the Republic shall be followed, which establishes the legal competency of COGUANOR (The Guatemalan Commission of Standards). Such standards shall be applied in all construction works that are carried out."</i> Currently, three Disaster Reduction Standards (NRD) have been developed and approved, establishing specific design parameters for different typologies of buildings and works in the country. Disaster Reduction Standard Number 1 establishes specific requirements for critical, essential and important buildings: Disaster Reduction Standard Number 1 (NRD-1), on "Structural requirements for critical, essential and important buildings," approved on March 19, 2010, by Agreement N° 03-2010 of CONRED. It establishes a set of minimum technical criteria that must be applied to the design of new constructions or to the remodelling or repair of existing ones, applicable to what are referred to as critical, essential and important building structures, pursuant to the classification contained in the Recommended Standard, AGIES NR-1-2000 (Guatemalan Association of Engineers and General Framework of Design and Construction), and its subsequent reforms. Additionally, the Disaster Reduction Standards numbers 2 and 3 introduce technical safety specifications for public facilities:</p> <p>The Disaster Reduction Standard Number 2 (NRD-2) on Minimum Safety Standards for Public Buildings and Facilities, approved on March 23, 2011, by Agreement N° 04-2011. It establishes, among other</p>

parameters, the technical specifications for the design of emergency exits and ramps, which all public facilities or buildings must observe, to protect people from natural or provoked events that could put their physical integrity at risk. The third Disaster Reduction Standard (NRD-3) on "Technical Specifications of Construction Materials," approved by Governmental Agreement N° SE-02-2013. It establishes the technical specifications for construction material, which must be observed in new public facilities and buildings, as well as in those that are remodelled or refitted, whether government-built or privately-built, so that they will fulfil the minimum requirements for safe and permanent construction, preserving the life of citizens and their physical integrity, in the event of natural or provoked events.

Code: RR 1B-5

Closed-ended question
5. <i>Have the earthquake-resistant standards been reviewed at least once in the last 10 years?</i>
General description of indicator
This indicator measures a performance criterion based on the good practice of updating or reviewing regulations after determined periods of time. In this case, it refers to the earthquake-resistant construction code. Thus this indicator is considered to be fulfilled when such regulations are in force.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the national regulations that contain the earthquake-resistant construction code. 2. Determine whether they have been updated or reviewed at least once in the last 10 years.
Description of the minimum required situation for positive conditions
The earthquake-resistant construction code has been updated at least once in the last 10 years (or approved for the first time in the last 10 years).
Examples of positive conditions in countries in the Region
<p>Colombia: Law 400 of 1997, by which standards on Earthquake-Resistant Constructions are adopted, authorizes the National Government, in Article 49, so that "<i>subject to the favorable view of the Permanent Commission created through the present law, and by means of regulatory decrees, the technical and scientific aspects required by the development of the present law and its regulations shall be updated.</i>" In that regard, the Colombian Earthquake-Resistant Construction Code, NSR-10, was updated and contained in an Annex of Decree N° 926 of 2010, by which the technical and scientific requirements for earthquake-resistant buildings are established - NSR-10.</p> <p>Costa Rica: The Seismic Code of Costa Rica was developed by the Federated Association of Engineers and Architects; its third edition was published in 2003 and its fourth edition was revised in 2010, published in 2011, and officially approved by Decree N° 37070 of the Ministry of Housing and Human Settlements, Ministry of Science and Technology, and Ministry of Public Works and Transport, published in the Official Gazette on July 13, 2012.</p>

Code: RR-1B-6

Closed-ended question
6. Are goals or results of disaster risk reduction integrated within the objectives of the standard environmental management regulations?
General description of indicator
This indicator aims to award having regulations in force on environmental matters that are able to reconcile and combine their protected scopes and values, with the objectives and goals of Disaster Risk Management (DRM), specifically in its Risk Reduction (RR) phase. Given that both processes are mutually-reinforcing, this can lead to the creation of synergy, with respect to the common or shared issues and objectives.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the current environmental regulations in the country. 2. Determine whether these regulations specifically mention disaster risk reduction (RR). 3. Determine whether these regulations establish disaster RR as an objective, goal or result to attain.
Description of the minimum required situation for positive conditions
Ideally, the country's environmental policy must have a series of goals related to environmental management, and one of these goals ought to be the disaster risk reduction, essentially due to the close relationship between both processes.
Examples of positive conditions in countries in the Region
<p>Colombia: Law 99 of 1993, by which the Ministry of Environment is created and the National Environmental System (SINA) is organized, establishes in Title I "Foundations of the Colombian Environmental Policy," Article 1°. - General Environmental Principles, that: <i>the Colombian environmental policy shall follow the following general principles:</i> section 9: <i>"The prevention of disasters shall be a matter of collective interest and measures taken to prevent or mitigate the effects of disasters must be complied with."</i> It also stipulates, as a function of the Ministry of Environment, the following: (Article 5, section 35): <i>"To carry out the evaluation, follow-up and monitoring of ecological risk factors and those that could lead to natural disasters and to coordinate with other authorities to prevent emergencies or their prolonged effects."</i></p> <p>Dominican Republic: Law No. 64-00, on the Environment and Natural Resources, enacted on August 18, 2000, mandates in Article 18 that the Ministry of Environment and Natural Resources is responsible for, among others, the function of "... 23. Promoting, in coordination with the competent bodies, programs and projects for the prevention of disasters that can affect the environment and natural resources, as well as the mitigation of the damages caused..."</p>

Code: RR-1B-7

Closed-ended question
7. <i>Do the environmental sector regulations define the responsibility to reduce disaster risk within its powers?</i>
General description of indicator
In connection with indicator RR 1B-6, in this case the indicator values that within the set of responsibilities of the environmental sector or their different institutions, those that coincide with risk reduction are identified.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the current environmental regulations in the country. 2. Determine whether these regulations establish disaster risk reduction (risk or disaster prevention) as a sector responsibility.
Description of the minimum required situation for positive conditions
Environmental regulations in the country that consider, in the determination of sector responsibilities, the inclusion of responsibilities related to disaster risk reduction actions; including RR responsibilities at the national, central or federal level; and for the environmental authorities of each region, state or province, as the case may be, at the level of political and administrative decentralization of the country.
Examples of positive conditions in countries of the Region
<p>Colombia: Law 99 of 1993, whereby the Ministry of Environment is created and the National Environmental System (SINA) is organized, stipulates in Article 5, section 35, the functions of the Ministry of Environment: <i>"To carry out the evaluation, follow-up and monitoring of environmental risk factors and those that could lead to natural disasters and to coordinate with other authorities the actions aimed at preventing emergencies or their prolonged effects."</i> And in Article 31, section 23, it stipulates the functions of Colombia's Autonomous Regional Corporations: <i>"To carry out disaster analysis, follow-up, prevention and monitoring activities, in coordination with the other competent authorities, and aid them in the environmental aspects of emergency and disaster prevention and assistance; to further develop, together with the municipal or district administrations, adaptation programs for urban areas in high-risk areas, such as programs on erosion control, riverbed management and reforestation."</i></p> <p>Mexico: The General Law for Sustainable Forest Development, of February 25, 2003, stipulates in its Article 15 that <i>"In accordance with this Law and the local laws on the matter, the municipal governments are responsible: I... XI. To participate and help in forest fire prevention and fighting in coordination with the federal and state governments, and to participate in the general assistance of forest emergencies and contingencies, in accordance with the civil defense programs."</i></p>

Code: RR 1B-8

Closed-ended question
8. <i>Do the agriculture sector regulations define the responsibility to reduce disaster risk within its powers?</i>
General description of the indicator
Based on the principle that DRM is a public policy aimed at national development, that is likewise horizontal and inclusive, it thus involves all agencies from the national, central or federal public administration sectors, depending on the legal-political model of each country (in addition to integrating all branches of government and the social and private sectors). Following this logic, it is therefore essential for each sector to have regulations establishing the obligation to carry out DRM activities, specifically those related to Risk Reduction (RR), in the scope of its powers. In that context, this indicator values that the agriculture sector regulations incorporate functions aimed at locating and reducing risks related to the sector's own activities.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the agriculture sector regulations. 2. Determine whether RR responsibilities are established, in the scope of the sector's powers.
Description of the minimum required situation for positive conditions
The regulatory framework of the agriculture sector (that governs the sector authority and its agencies) must include a series of responsibilities tied to actions, projects or programs that reduce disaster risk in the scope of its sectoral powers.
Examples of positive conditions in countries in the Region
<p>Peru: Initially, the condition was partially fulfilled in 2008, when the Ministry of Agriculture (MINAG) created the Technical Group for Food Security and Climate Change (GTTSACC), through Ministerial Resolution N° 0647-2008-AG, of July 31, 2008, responsible for "<i>...proposing the sectoral climate change vision in the country's agricultural production systems and recommending measures to guide institutional processes and actions, and the intersectoral coordination of climate change adaptation through the reduction of farmland vulnerability, with the objective of contributing to the agro-alimentary security of Peru....</i>" Article 4 further stipulates its activities to include "<i>4.4. Developing and proposing guidelines for sectoral policy, strategy, plans and projects, to reduce farmland vulnerability and foster climate change adaptation.</i>" The condition was subsequently complemented by Ministerial Resolution N° 265-2012-AG, of August 6, 2012, approving the National Plan for Risk Management and Climate Change Adaptation in the Agrarian sector (PLANGRACC-A). Strategic Focus N° 3 of this plan is on Risk Prevention and Reduction for climate events. In addition, section 7.2 Modalities of Implementation of PLANGRACC-A, expressly designates the responsibilities for carrying out the 159 projects identified at the national level.</p> <p>Mexico: The Law of Sustainable Rural Development, of December 7, 2001, stipulates in Article 131 that "<i>The Federal Government shall formulate and update a Risk Letter on river basins, in order to establish the disaster prevention programs, that include projects for soil and water conservation and flood management....</i>"</p>

Code: RR 1B-9

Closed-ended question
9. Do the health sector regulations define the responsibility to reduce disaster risk within the scope of its powers?
General description of the indicator
Based on the principle that DRM is a public policy aimed at national development, that is likewise horizontal and inclusive, it thus involves all agencies from the national, central or federal public administration sectors, depending on the legal-political model of each country (in addition to integrating all branches of government and the social and private sectors). Following this logic, it is therefore essential for each sector to have regulations establishing the obligation to carry out DRM activities, specifically those related to Risk Reduction (RR), in the scope of its powers. In that context, this indicator values that the health sector regulations incorporate functions aimed at locating and reducing risks related to the sector's own activities.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the health sector regulations. 2. Determine whether RR responsibilities are established, in the scope of the sector's powers (this could be risk or disaster prevention).
Description of the minimum required situation for positive conditions
The regulatory framework of the health sector (that governs the sector authority and its agencies) must include a series of responsibilities tied to actions, projects or programs that reduce disaster risk in the scope of its sectoral powers.
Examples of positive conditions in countries in the Region
<p>Peru: The responsibility to reduce disaster risk in the sector is defined through the National Hospitals Safe from Disaster Policy, approved by Supreme Decree N° 009-2010-SA, of the April 23, 2010. This policy includes the specific objective 2, "<i>To incorporate the criteria of hospitals safe from disaster in the processes of pre-investment, investment and post-investment in health quality and of securing and managing health quality;</i>" and 3, "<i>To improve the levels of safety from disasters in the existing health establishments.</i>" These objectives establish the prospective and corrective management that is the sector's responsibility.</p> <p>Dominican Republic: Law No. 42-01, General Health Law, of the Secretary of State of Public Health and Social Welfare, approved on March 8, 2001, in Book Two, "Health Actions," Title I, "Promotion", Chapter V, "Environmental Health," Section IX on the Prevention and Reduction of the Effects of Disasters on Health, "<i>Article 58. The Spanish Society for Public Health and Health Administration (SESPAS), in coordination with the Ministry of Environment and Natural Resources, Civil Defense, Dominican Red Cross, Fire Brigade, municipal authorities and any other organization the State puts in charge of disaster prevention and management, shall carry out activities on disaster prevention or mitigation and treatment preparedness so that the impacts of disasters can be adequately addressed.</i>" Additionally, Decree No. 213-09, which establishes the Regulation of the Secretary of State for Public Health and Social Welfare, for Emergency and Disaster Prevention, Mitigation and Response, of March 10, 2009, stipulates in Article 8 that the "<i>General Functions of the National Emergency and Disaster Directorate (DNED) are: ... g) To support the engineering division of SESPAS in its functions, so that health services buildings and facilities are built with the safety measures necessary to prevent disasters.</i>"</p>

Closed-ended question
10. Do the housing sector regulations define the responsibility to reduce disaster risk within the scope of its powers?
General description of the indicator
Based on the principle that Disaster Risk Management (DRM) is a public policy aimed at national development, that is likewise horizontal and inclusive, it thus involves all agencies from the national, central or federal public administration sectors, depending on the legal-political model of each country (in addition to integrating all branches of government and the social and private sectors). Following this logic, it is therefore essential for each sector to have regulations establishing the obligation to carry out DRM activities, specifically those related to Risk Reduction (RR), in the scope of its powers. In that context, this indicator values that the housing sector regulations (or if none exist as such, simply its legal framework) incorporate functions aimed at locating and reducing risks related to the sector's own activities.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the housing sector regulations (if they exist as such). 2. Determine whether RR responsibilities are established, in the scope of the sector's powers (this could be risk or disaster prevention).
Description of the minimum required situation for positive conditions
The regulatory framework of the housing sector (that governs the sector authority and its agencies) must include a series of responsibilities tied to actions, projects or programs that reduce disaster risk in the scope of its sectoral powers.
Examples of positive conditions in countries in the Region
<p>Panama: Law 61 of 2009, "Which reorganizes the Ministry of Housing and establishes the Vice-ministry of Territorial Planning," of October 23 2009. The Ministry also approved resolution N° 372A of July 29, 2011, "establishing the complementarity of functions between the Viceministries of Housing and Territorial Planning in the matter of Risk Management: <i>"so that the variables of risk, vulnerability and sustainability are included in the planning, studies, plans, programs, projects, decision-making and/or approvals in which they collaborate on actions related to risk management."</i> This resolution also stipulates in ARTICLE FOUR, section b, <i>"Include the specifications related to risk management in the plans, programs, and projects,"</i> and in ARTICLE FIVE, section b, <i>"Assure that the subject of disaster risk management and climate change is addressed in the territorial planning schemes."</i> Additionally, Resolution No. 458 of December 27, 2007, "Whereby functions are assigned to the administrative units of several divisions of the Ministry of Housing," stipulates in Article 23 that: "the Department of Social Risk Prevention and Mitigation in Housing, shall be responsible for the following functions" <i>1. To care for vulnerable communities and those in situations of housing-related risks; 2. To keep updated data on families who inhabit condemned or abandoned houses, shelters, boarding houses, shacks and community housing; 3. To identify housing located in at-risk or vulnerable areas; 4. To quantify the housing needs in at-risk areas;... 6. To coordinate relocation operations of families who require such services, in accordance with the situation that arises...."</i> NOTE: Together, the three pieces of legislation define the risk reduction responsibilities of the sector, however, it is resolution 458 (2007) that more clearly defines this competence by stipulating the need for relocating at-risk housing.</p> <p>Mexico: Housing Law, of June 27, 2006, stipulates in Title Six (Quality and Sustainability of Housing), Sole Chapter, Article 71: <i>"In order to offer quality of life to housing occupants, the Commission shall promote, in coordination with the competent federal and local authorities, that in the development of housing actions in their different modalities and in the use of the associated resources and services, that housing have... as well as guarantee structural security and climate adaptation with the criteria of sustainability, energy-efficiency and <u>disaster prevention</u>, preferably using standardized goods and services..."</i></p>

Code: RR 1B-11

Closed-ended question
<i>11. Do the education sector regulations define the responsibility to reduce disaster risk within the scope of its powers?</i>
General description of the indicator
Based on the principle that Disaster Risk Management (DRM) is a public policy aimed at national development, that is likewise horizontal and inclusive, it thus involves all agencies from the national, central or federal public administration sectors, depending on the legal-political model of each country (in addition to integrating all branches of government and the social and private sectors). Following this logic, it is therefore essential for each sector to have regulations establishing the obligation to carry out DRM activities, specifically those related to Risk Reduction (RR), in the scope of its powers. In that context, this indicator values that the education sector regulations incorporate functions aimed at locating and reducing risks related to the sector's own activities. (NOTE: This should not be confused with the topic of curriculum, as that is already considered in indicator RI 2-1).
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the education sector regulations. 2. Determine whether RR responsibilities are established, in the scope of the sector's powers (this could be risk or disaster prevention).
Description of the minimum required situation for positive conditions
The regulatory framework of the education sector (that governs the sector authority and its agencies) must include a series of responsibilities tied to actions, projects or programs that reduce disaster risk in the scope of its sectoral powers.
Examples of positive conditions in countries in the Region
<p>Mexico: The General Law on Education Physical Infrastructure, of February 1, 2008, stipulates in its general guidelines, Article 2, that "... IV. <i>The creation of mechanisms for preventing and responding to the impacts of natural disasters on the national education physical infrastructure...</i>". Additionally, Article 11 stipulates that: "<i>In the planning of programs and projects for the construction, equipment, maintenance, refurbishing, rehabilitation, reinforcement, reconstruction and modification of the education physical infrastructure (INFE)... sustainable systems and technologies shall be applied, and the climate conditions and probability of contingencies caused by natural, technological or human disasters shall be considered...</i>".</p> <p>Costa Rica: Executive Decree N° 36451, of the Ministry of Public Education, of February 7, 2001, stipulates in Article 41 that the "<i>Functions of the Department of Internal Control and Risk Management are...</i> c) <i>To plan, coordinate and carry out the Specific System of Institutional Risk Assessment (SEVRI-MEP).</i> d) <i>To develop, implement and update a database on disaster and social risk in the different agencies of the Ministry of Public Education.</i> e) <i>To organize hierarchically the educational centers that face the greatest disaster and risk conditions .</i> f). <i>To coordinate with the Regional Departments of Education and educational centers in the development of programs and action plans to prevent disaster and social risks or to diminish their probability and impact.</i>" Article 41 also adds the following sections: " ... c) <i>To provide the Authorities from the Ministry of Public Education with relevant information for decision-making on social programs directly related to risk reduction and human security.</i> d) <i>To coordinate the National Education Plan for Risk and Disaster Reduction, its development and execution, on both the ministerial and inter-institutional level.</i>"</p>

Code: RR 1B-12**Closed-ended question**

12. Do the tourism sector regulations define the responsibility to reduce disaster risk within the scope of its powers?

General description of the indicator

Based on the principle that DRM is a public policy aimed at national development, that is likewise horizontal and inclusive, it thus involves all agencies from the national, central or federal public administration sectors, depending on the legal-political model of each country (in addition to integrating all branches of government and the social and private sectors). Following this logic, it is therefore essential for each sector to have regulations establishing the obligation to carry out DRM activities, specifically those related to Risk Reduction (RR), in the scope of its powers. In that context, this indicator values that the tourism sector regulations incorporate functions aimed at locating and reducing risks related to the sector's own activities.

Steps to follow for obtaining the required information

1. Identify the tourism sector regulations.
2. Determine whether RR responsibilities are established, in the scope of the sector's powers

Description of the minimum required situation for positive conditions

The regulatory framework of the tourism sector (that governs the sector authority and its agencies) must include a series of responsibilities tied to actions, projects or programs that reduce disaster risk in the scope of its sectoral powers.

Examples of positive conditions in countries in the Region

Mexico: The General Tourism Law, published on June 17, 2009, stipulates in Chapter I, Article 4 the responsibilities of the Federal Executive Branch on the matter, which will be carried out through the Secretariat, among which include: "... X. To participate in emergency and disaster prevention and assistance programs, as well as in actions for comprehensive risk management in accordance with the Civil Defense policies and programs established for that purpose; ..."

Code: RR 1B-13

Closed-ended question
<i>13. Do the transport sector (or equivalent) regulations define the responsibility to reduce disaster risk within the scope of its powers?</i>
General description of the indicator
Based on the principle that DRM is a public policy aimed at national development, that is likewise horizontal and inclusive, it thus involves all agencies from the national, central or federal public administration sectors, depending on the legal-political model of each country (in addition to integrating all branches of government and the social and private sectors). Following this logic, it is therefore essential for each sector to have regulations establishing the obligation to carry out DRM activities, specifically those related to Risk Reduction (RR), in the scope of its powers. In that context, this indicator values that the transport sector regulations incorporate functions aimed at locating and reducing risks related to the sector's own activities.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the transport sector regulations. 2. Determine whether RR responsibilities are established, in the scope of the sector's powers (this could be risk or disaster prevention).
Description of the minimum required situation for positive conditions
The regulatory framework of the transport sector (that governs the sector authority and its agencies) must include a series of responsibilities tied to actions, projects or programs that reduce disaster risk in the scope of its sectoral powers.
Examples of positive conditions in countries in the Region
<p>Colombia: Decree 2056 of 2003, whereby the structure of the National Roads Institute (Invías) was modified and other regulations were passed, stipulates in Article 2, Functions of the National Institute of Roads, section 2.2, <i>"To jointly develop with the Ministry of Transport the plans, programs and projects for construction, reconstruction, improvement, rehabilitation, conservation, emergency assistance, and other building works required by the infrastructure under its competence;"</i> and in section 2.5, <i>"To advise and provide technical support to the territorial agencies or their decentralized bodies responsible for construction, maintenance and emergency assistance in the infrastructure under its competence, when they request it."</i> Finally, Article 11, Office of Emergency Prevention and Assistance, section 11.5, defines a series of responsibilities derived from the SNPAD (now SNGRD), among them, <i>"To comprehensively administer the emergency assistance and prevention processes."</i></p> <p>Dominican Republic: Departmental Order No. 76/01 of the Ministry of Public Works and Communications, which created the Department of Environmental and Risk Management, of August 21, 2001, stipulates in Article 4, that the Risk Section is responsible for: <i>"a) Identifying the hazards that the national, regional and provincial road systems are exposed to, and for proposing solutions aimed at reducing such risk...."</i></p>

Closed-ended question
14. Do the water and sanitation sector (or equivalent) regulations define the responsibility to reduce disaster risk within the scope of its powers?
General description of the indicator
Based on the principle that DRM is a public policy aimed at national development, that is likewise horizontal and inclusive, it thus involves all agencies from the national, central or federal public administration sectors, depending on the legal-political model of each country (in addition to integrating all branches of government and the social and private sectors). Following this logic, it is therefore essential for each sector to have regulations establishing the obligation to carry out DRM activities, specifically those related to Risk Reduction (RR), in the scope of its powers. In that context, this indicator values that the water and sanitation sector regulations (or equivalent) incorporate functions aimed at locating and reducing risks related to the sector's own activities.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the regulations of the water and sanitation sector (or equivalent). 2. Determine whether RR responsibilities are established, in the scope of the sector's powers (this could be risk or disaster prevention).
Description of the minimum required situation for positive conditions
The regulatory framework of the water and sanitation sector or equivalent (that governs the sector authority and its agencies) must include a series of responsibilities tied to actions, projects or programs that reduce disaster risk in the scope of its sectoral powers.
Examples of positive conditions in countries in the Region
<p>Mexico: The Rules of Operation for the Programs of Hydro-agricultural Infrastructure and Drinking Water, Sewerage and Sanitation, under CONAGUA, published in the Official Gazette (Thirteenth Evening Edition), applicable as of 2013, describe the "standard actions" for Drinking Water, Sewerage and Sanitation in Urban Zones (APAZU) in Annex IV, and refer to: <i>"....infrastructure works to minimize risks and damages, considering the current and future climate change scenarios..."</i>, and <i>"infrastructure works that reduce the vulnerability of society to the effects of climate change for effective adaptation."</i> (p. 74)</p> <p>Peru: The sector has the National Sanitation Plan 2006-2015, approved by Supreme Decree N° 007-2006-VIVIENDA, of March 17, 2006. In its Specific Objective 2, Increase the sustainability of services, this Plan stipulates: <i>"To promote programs for risk prevention, vulnerability reduction and optimization of assistance in the event of an emergency in the sectoral scope..."</i>. The condition was fully satisfied in 2007 with the Regulation for the Quality Provision of Sanitation Services, approved by Resolution of the Directive Council of the National Superintendence of Sanitation Services, N° 11-2007-SUNASS.CD, of February 2, 2007, which establishes in Annex 5, Measures that must be Adopted by the Service Provider Companies (EPS) in Emergencies, and in section 2.3 refers to the <i>"... formulation of a plan of mitigation measures,"</i> which is developed in section 5, Phase 3, Mitigation Measures to Reduce Vulnerability.</p>

Closed-ended question
15. Do the telecommunication sector (or equivalent) regulations define the responsibility to reduce disaster risk within the scope of its powers?
General description of the indicator
Based on the principle that DRM is a public policy aimed at national development, that is likewise horizontal and inclusive, it thus involves all agencies from the national, central or federal public administration sectors, depending on the legal-political model of each country (in addition to integrating all branches of government and the social and private sectors). Following this logic, it is therefore essential for each sector to have regulations establishing the obligation to carry out DRM activities, specifically those related to Risk Reduction (RR), in the scope of its powers. In that context, this indicator values that the telecommunications sector regulations (or equivalent) incorporate functions aimed at locating and reducing risks related to the sector's own activities.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the regulations of the telecommunications sector (or equivalent). 2. Determine whether RR responsibilities are established, in the scope of the sector's powers (this could be risk or disaster prevention).
Description of the minimum required situation for positive conditions
The regulatory framework of the telecommunications sector or equivalent (that governs the sector authority and its agencies) must include a series of responsibilities tied to actions, projects or programs that reduce disaster risk in the scope of its sectoral powers.
Examples of positive conditions in countries in the Region
<p>Costa Rica: The National Telecommunication Development Plan (PNDT) 2009-2014, of the Ministry of Environment, Energy and Telecommunications, of May 13, 2009, in section 3.4, Current Institutional Framework of the Telecommunications Sector, stipulates in 3.4.1 that leadership of the State is an essential component of the governability of the Telecommunications Sector: <i>"The Governing Minister shall be responsible for aligning the sector's development with the national priorities on competitiveness, universality, solidarity, coverage, consumer rights, reduction of the risks of supply shortages, and environmental, social and economic sustainability."</i> Additionally, section 4.4.3 establishes the PNDT priorities: A. Telecommunications... a.7 To secure a telecommunications platform with environmental quality, as minimal an impact on the environment as possible, and that contributes to the conservation of the environment and the prevention and mitigation of the effects of natural disasters," and "5.1.3 Environmental Priorities... a. Lines of Strategy: Environmental Protection... Specific Objective No. 3: To guarantee the possibilities offered by Information and Communications Technologies (ICTs) to improve the country's environmental quality, which includes measures on the prevention and mitigation of, and adaptation to, natural disasters. ... Actions and measures: ... b. To develop, in coordination with the Emergency National Commission, plans and projects to strengthen the communications networks in areas of increased socio-environmental and economic vulnerability, which includes early warning systems. c. To identify the condition of the country regarding the regional and international interconnection of the digital information networks for disaster prevention..."</p> <p>Jamaica: The sectoral Information and Communications Technologies (ICTs) Plan 2009-2030 refers to the island's telecommunications infrastructure, which must continuously adapt in order to address vulnerabilities and create greater levels of resilience, such as the establishment of a disaster management program through ICTs. Section 2.4.2 of the Plan includes measures to enhance the ICT infrastructure to ensure the support and security of the nation's information assets and minimize vulnerabilities of the ICT networks. This shall be obtained through a joint effort between the private telecommunications sector, the Office of the Prime Minister (ODPEM) and the Office of Utilities Regulation. The 4 actions set forth in Section 2.4.2 are: 1. To</p>

ensure high capacity of four-quadrant geographic diversity of international submarine fiber optic connectivity to increase redundancy and mitigate against disaster threats; 2. To include ICT risks as a portfolio consideration for the ODPEM and incorporate ICT support for recovery from natural disasters into its plans; 3. To invest in reliable and consistent electrical power supply from renewable and nonrenewable sources; 4. To promote national awareness of threats to information security by malware, cyber-crimes, and disasters and their impact on business continuity.

Closed-ended question
16. Do the energy sector (or equivalent) regulations define the responsibility to reduce disaster risk within the scope of its powers?
General description of the indicator
Based on the principle that DRM is a public policy aimed at national development, that is likewise horizontal and inclusive, it thus involves all agencies from the national, central or federal public administration sectors, depending on the legal-political model of each country (in addition to integrating all branches of government and the social and private sectors). Following this logic, it is therefore essential for each sector to have regulations establishing the obligation to carry out DRM activities, specifically those related to Risk Reduction (RR), in the scope of its powers. In that context, this indicator values that the energy sector regulations (or equivalent) incorporate functions aimed at locating and reducing risks related to the sector's own activities.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the regulations of the energy sector (or equivalent). 2. Determine whether RR responsibilities are established, in the scope of the sector's powers (this could be risk or disaster prevention).
Description of the minimum required situation for positive conditions
The regulatory framework of the energy sector or equivalent (that governs the sector authority and its agencies) must include a series of responsibilities tied to actions, projects or programs that reduce disaster risk in the scope of its sectoral powers.
Examples of positive conditions in countries in the Region
<p>Mexico: The Federal Electricity Commission (CFE) has an Institutional Risk Administration Model, which includes the following objectives, among others: <i>"To identify, analyze, control, evaluate and monitor the possible risks that the entity may face and that, should they occur, could limit or prevent the fulfillment of the institutional objectives."</i> Additionally, <i>"To establish mechanisms for the adequate management of CFE's risks and for the development of control strategies to minimize the possibility that the risks will occur."</i> The CFE also provided evidence of the obligation to include, together with the annual risk analyses of its infrastructure, <i>"a program of the preventive and corrective measures that will be taken to eliminate the detected risks."</i></p> <p>Jamaica: The energy sector has no regulation that establishes the responsibility to reduce the risk of disasters. Nevertheless, one of the key actions for the sector is described in the Jamaica's Energy Policy 2006-2020, namely, to take measures in the event of contingencies to reduce the risk of interruption of the public essential services in the event of disaster and other emergency situations. This policy has been approved, and to make the vision of the energy sector a reality, it aims to undertake risk assessment and management to inform the building of new transmission and distribution infrastructure, the financing of new generation capacity and diversification of the energy supply options.</p>

Closed-ended question
17. Are there regulations that mandate the performing of disaster risk analysis during the pre-investment phase of the project cycle?
General description of the indicator
<p>Public Investment Projects (PIP), are time-limited interventions aimed at creating, expanding, improving or recovering an organization's productive capacity or capacity for providing goods or services.</p> <p>In most countries, PIPs are formulated following the <i>project cycle</i>, whose first phase is "pre-investment." The objective of this phase is to assess the benefits of performing a particular PIP, and requires studies that support that it is socially profitable, sustainable and concordant with the policy guidelines established by the corresponding authorities.</p> <p>This indicator aims to determine whether the country has carried out risk analysis in the pre-investment phase, in order to integrate disaster risk as a determinant of the project's feasibility.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. It is necessary to examine the public investment regulations to determine whether they explicitly mandate performing disaster risk analysis in the pre-investment phase of the project cycle. 2. If this is not found in the respective regulations, it is suggested to speak with the investment areas of the treasury, economy or finance authority (or equivalent organization), or rather, with the authority of planning or programming (or equivalent body) to look into the matter.
Description of the minimum required situation for positive conditions
Evidence of a standard that explicitly mandates performing disaster risk analysis during the pre-investment phase of the project cycle, as a requirement for approval of public investment projects. Hence, if it is necessary to interpret the standard, it is not considered to be a positive condition.
Examples of positive conditions in countries in the Region
<p>Colombia: CONPES 3714 (technical document of the National Council on Economic and Social Policy) of December, 2011, On foreseeable risk in the framework of the public contracting policy, stipulates that "... <i>the different actors of the contracting process, must, under the proposal and direction of the State Entities, classify, estimate and determine those circumstances that are potentially disruptive to the economic balance, and which can be anticipated due to their occurrence in similar contracts, by the probability of their occurrence in relation to the contract objective or by other circumstances that make them foreseeable. This anticipation is tied to the possibility of identifying and quantifying risk in normal conditions.</i>" Foreseeable risks include "6. <i>Risks of Nature Disaster: These are events caused by nature without human intervention or will, and which can not be controlled, despite being foreseeable due to their frequency or assessment. To determine their existence and/or foreseeable nature, it is possible to go to the public authorities or competent entities in statistical data collection or official sources (INSTITUTO AGUSTIN CODAZZI, INGEOMINAS, IDEAM, etc.).</i>" For classification purposes, these are natural occurrences that can have an impact on the contract execution, for example, earthquakes, flooding, rains and droughts, provided that they can be anticipated." Moreover, in Law 1508 of January, 2012, by which the legal regime of the Public Private Associations was established, Article 11, on the "<i>Requirements for opening the selection processes of contractors to perform public initiative public private association projects</i>" requires "<i>Threat and vulnerability analysis to ensure that disaster risk conditions are not generated or reproduced.</i>"</p> <p>Peru: the Ministry of Economy and Finance (MEF), through the General Directive N° 001-2011-EF/68.01, approved by Directorial Resolution N° 003-2011-EF/68.01, published on April 9, 2011, updated the General Policy of the National System of Public Investment (SNIP), which includes disaster risk analysis for the formulation of technical investment files.</p> <p>Chile: The Supreme Decree, Ministry of Public Works (MOP) N° 75 of 2004 - Regulation for Public Works Contracts, stipulates in Article 2, "<i>In order to contract any work, there must be prior funding authorization; bidding, risk prevention and environmental conditions; technical specifications; designs and a budget, with the approval of the same authority that shall award the contract. All the indicated documents comprise the respective contract, and the bidding conditions shall determine the order of precedence for their application...</i>".</p>

Closed-ended question
<i>18. Are there regulations that mandate integrating climate change studies into the pre-investment phase?</i>
General description of the indicator
<p>Public Investment Projects (PIP), are time-limited interventions aimed at creating, expanding, improving or recovering an organization's productive capacity or capacity for providing goods or services.</p> <p>In most countries, PIPs are formulated following the <i>project cycle</i>, whose first phase is "pre-investment." The objective of this phase is to assess the benefits of performing a particular PIP, and requires studies that support that it is socially profitable, sustainable and concordant with the policy guidelines established by the corresponding authorities.</p> <p>This indicator aims to determine whether the country has carried out risk analysis specifically related to the potential adverse effects of Climate Change (CC) in the pre-investment phase, in order to integrate aspects of Climate Change Adaptation as one determinant of the project's feasibility.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework of the national public investment system or project bank (or the country's equivalent system). 2. Determine whether performing "climate risk analysis" has been established as one of the feasibility requirements of the PIPs.
Description of the minimum required situation for positive conditions
Evidence of a standard that explicitly mandates performing climate change studies in the pre-investment phase of the project cycle. Hence, if it is necessary to interpret the standard, it is not considered to be a positive condition.
Examples of positive conditions in countries in the Region
Due to the difficulty in finding a good example in the Region, the following is a hypothetical situation to be used as a reference: In projects that are very sensitive to climate variations, especially temperature and precipitation, there could be a case in which specific regulations exist that mandate the performance of studies on the potential effects of the anticipated changes in weather patterns during the pre-investment phase, and that such regulations are specific to CC (that is to say, they go beyond the standard regulations that include seasonal climate variation in the assessment, which is already an integral part of regular risk analysis).

Closed-ended question
19. Are there regulations that mandate performing disaster risk analysis during phases of the project cycle other than the pre-investment phase?
General description of the indicator
<p>Public Investment Projects (PIP), are time-limited interventions aimed at creating, expanding, improving or recovering an organization's productive capacity or capacity for providing goods or services.</p> <p>In most countries, PIPs are formulated following the <i>project cycle</i>, whose first phase is "<i>Pre-investment</i>." The objective of this phase is to assess the benefits of performing a particular PIP, and requires studies that support that it is socially profitable, sustainable and concordant with the policy guidelines established by the corresponding authorities. The second phase is "Investment," in which the PIP reaches the "viable" or "attainable" category, consisting in the formulation of a comprehensive technical file, followed by the project execution, and culminating in project completion and liquidation. The third phase is "Post-investment," comprised of the processes of maintenance, monitoring and ex-post evaluation, in which an analysis is done on whether the objectives initially raised in the PIP were fulfilled.</p> <p>This indicator aims to determine whether there are any regulations in the country that mandate performing risk analysis in the Investment and Post-investment phases of the project cycle.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework of the national public investment system or project bank (or the country's equivalent system). 2. Determine whether the regulations stipulate that the Investment and Post-investment phases must be subject to risk analysis.
Description of the minimum required situation for positive conditions
Regulations in force that establish the performance of disaster risk analysis in the Investment and Post-investment phases of the project cycle or PIP, different from that of the Pre-investment phase.
Examples of positive conditions in countries in the Region
<p>Peru: The Ministry of Economy and Finance (MEF) has Guidelines for Monitoring Public Investment, of June 2011, a document that establishes an operating system for monitoring progress made in project execution. Likewise, the total fulfillment of the indicators is complemented through the General Guidelines for the Ex-post <i>Evaluation</i> of Public Investment Projects, published in March 2012, whose chapter 5.4.7 Sustainability Assessment, section d) Risk Management, indicates that: "<i>There shall be an assessment of whether the significant risks have been identified in the pre-investment phase, whether measures to reduce them have been included and whether these have been applied. Risks that may have arisen in the investment and post-investment phases shall be identified, as well as the way in which such risks have been addressed. The capacity of the service operator or recipients to assimilate and recover from a disaster or social conflict shall be assessed.</i>" It is important to point out that these guidelines are of compulsory compliance in accordance with that stipulated in section 3.1.3 "<i>Competence. The culminating assessment shall be carried out by the Executing Unit - EU, as the institutional body responsible for the project execution. The other stakeholders involved in the execution process shall support the EU in this; this is the case of the Technical Body responsible for the technical aspects of PIP components,</i>" and "<i>3.1.4 Scope of Application. The culminating assessment is compulsory for all Public Investment Projects, and shall be performed in accordance with the Minimum Contents for the Culminating Assessment (annex 1), according to the cut-off established by the investment amount; these guidelines shall serve to achieve this purpose.</i>"</p> <p>Guatemala: The Analysis of Risk Management in Public Investment Projects Guide (AGRIP), of January 2013, issued by the Secretariat of Planning and Programming of the Presidency (SEGEPLAN), presents the General Objective of incorporating risk management into the processes and phases of public investment project formulation - pre-investment, execution and operation - so that all eligible investments are safe in the national territory. In the section titled Risk Management Approach in Public Investment Projects, the Guide</p>

establishes: *"In public investment projects, risk management has a comprehensive approach that is applied throughout the phases and stages of the project cycle: pre-investment, investment and operation..."*. Needing a descriptive graphic of the stages and actions of each of the phases described. It must be specified that in accordance with the General Guidelines: Annual and Mult-annual Plan-Budget Formulation Standards 2014-2016, Framework of Results-Based Management and of SNIP Standards for Public Investment Projects Fiscal Year 2014, the aforementioned guide is required, as mandated in section 1.20 *"The public investment entities must include risk (hazards and vulnerabilities) analysis in the project document, adhering to what is stipulated in the "Risk Analysis in Public Investment Projects Guide" developed by SEGEPLAN, and enter it in the corresponding field of the SNIP."*

Code: RR 1C-1

Closed-ended question
<i>1. Do the National Disaster Risk Management regulations establish that territorial management units are responsible for disaster risk reduction in their respective territories?</i>
General description of the indicator
<p>This indicator refers to a quality criterion of the country's national DRM regulations. Despite the significant differences between the political-administrative models of Latin American and Caribbean countries, with respect to Territorial Management Units (TMU), there are essentially two models: centralized and federal. The first model results from a constitutional declaration or because the characteristics and dimensions of the national territory facilitated it, as is the case of the islands and small countries. In the last few decades, these countries have started to undergo a profound process of decentralization, through the transference of power and resources from a central government to subordinate government authorities. In the case of the federal republics, the subordinate governments have been given different levels of autonomy, which includes some constitutionally granted powers. In other matters there is a "shared" power, and some subjects have remained under the sole jurisdiction of the federal governments.</p> <p>This indicator aims to recognize those countries that promote local Risk Reduction (RR) management, also known as risk mitigation or disaster or risk prevention. For centralized countries, this means that their regulatory framework for DRM stipulates the decentralization of powers, particularly with regard to RR in their territory, and for federal republics, this means that the national DRM regulations recognize the jurisdiction of the TMU, each of which is responsible for carrying out RR actions in their region.</p> <p>NOTE: This should not be confused with indicator RR 1C-2, which examines whether the regulations governing the responsibilities of the territorial entities recognize risk reduction (or disaster or risk prevention) as a responsibility of such entities. That is to say that this indicator looks for the existence of express DRM regulations, whereas the other one looks for legislation at the local or regional government level (or equivalent).</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the current national DRM regulations in force. 2. Analyze whether these regulations expressly assign responsibilities for carrying out DRM processes to the TMU. 3. Identify whether within the DRM processes, risk reduction, risk mitigation or disaster or risk prevention is specifically designated as a responsibility or competence of the TMU. 4. Dismiss legislation regarding responsibilities and powers for areas other than RR, such as disaster preparedness, response or rehabilitation.
Description of the minimum required situation for positive conditions
<p>A national regulatory framework for DRM that specifically designates responsibilities to the TMU for the risk reduction (or risk mitigation, disaster prevention or risk prevention) process or activities.</p> <p>The decentralized regimes in the countries vary notably throughout the Region. There could be a case in which a DRM Law cannot assign responsibilities to autonomous governments when they are governed by regulations at a higher level than national Law (as would be the case in States governed by a Federal Constitution and that have full autonomy to set their own functions and competencies). In these situations (federal states), what must be analyzed is whether the existing national or federal DRM legislation recognizes risk reduction as a component of DRM, and whether such legislation stipulates that DRM is a development strategy and therefore related or tied to the development agents at the different government levels (that is to say, a regulation with the same spirit but that lacked the designation of "responsibilities" would be inadmissible).</p>
Examples of positive conditions in countries in the Region
<p>Federal Countries</p> <p>Mexico: The General Law of Civil Defense published on June 6, 2012, defines in its Article 2, section XXVII, Comprehensive Risk Management as <i>"The group of actions aimed at the identification, analysis, evaluation, monitoring and reduction of risks, considering their multifactor origin and permanent process of</i></p>

construction, which involves the three levels of government, as well as the sectors of society, thus facilitating actions directed at creating and implementing public policies, strategies and procedures integrated into the attainment of sustainable development standards, which fight the structural causes of disasters and strengthen society's resilience or resistance capacity."

Centralized Countries

Dominican Republic: Law No. 147-02, on Risk Management, of September 22, 2002, in Article 1 sets forth the General Principles that guide the national risk management policy, emphasizing: "... 3. *Areas of competence: In the activities for disaster prevention, mitigation, preparedness and response, the observance of criteria of institutional coordination, concurrence, complementarity and subsidiarity shall be considered in the exercise of the respective competences...* 6. *Decentralization: ... the regional, provincial and municipal entities shall freely and autonomously exercise their functions in the matter of disaster prevention, mitigation and response, with strict adherence to the responsibilities that have been specifically ascribed to them in the Constitution and laws and... the regulations and decrees enacted to that effect...*". Complementarity, Decree No. 874-09, approving the Regulation for the Application of Law No. 147-02, on Risk Management, November 30, 2009, stipulates in its Article 14, Regional, Provincial and Municipal Committees on Disaster Prevention, Mitigation and Response, that "*Administrative regionalization is the coordination instrument for Prevention, Mitigation and Response actions that enables and ensures the most efficient response and implementation of sustainable risk management plans, established in this regulation... The organization of prevention, mitigation and response (PMR) efforts in their respective areas shall fall under the scope of the Regional, Provincial and Municipal Committees; such efforts include:... 4) Provide technical support to risk identification, the evaluation of risk magnitude and the formulation of alternative solutions. For this it is necessary to have guidance from the National Technical Committee on Risk Prevention and Mitigation. 5) Support and encourage the identification of human settlements in at-risk zones and foster the attainment of resources for improving the settlement conditions or for relocating them... 6. Promote the inclusion of risk management in the development plans of the region, province or municipality, providing the necessary information...*".

Peru: Law N° 29664 creating SINAGERD, approved on February 8, 2011, in its Chapter V, Article 14, point 14.1 stipulates that "*the regional and local governments, as part of SINAGERD, formulate and approve standards and plans, and evaluate, direct, organize, supervise, regulate and execute the Disaster Risk Management processes in the scope of their powers.*" Additionally, the Law stipulates that "risk reduction" is one of the DRM processes.

Code: RR 1C-2

Closed-ended question
2. <i>Do the regulations on the functions and competencies of the territorial management units in the country establish disaster risk reduction as one of their powers?</i>
General description of the indicator
<p>This indicator is first proposed for countries with centralist regimes or models, and analyzes whether the regulatory framework establishing the competencies of the Territorial Management Units (TMUs) recognizes the concept of DRM, and specifically that of Risk Reduction (RR), and whether the RR functions fall under the responsibility of the TMUs.</p> <p>In the case of federal countries, this indicator values that the TMUs have the competency to carry out RR actions in their jurisdiction, by virtue of being stipulated in the constitution or by a general or federal law.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the regulations governing the functions of the country's TMUs, or in the case of federal countries, the constitutional article or federal or general law that so provides. 2. Determine the competencies of the country's TMUs. 3. Identify whether RR or its equivalent process is expressly mentioned in the analyzed competencies.
Description of the minimum required situation for positive conditions
<p>There must be mention made of risk reduction, risk mitigation, disaster prevention or risk prevention (all ex-ante processes).</p> <p>This should not be confused with processes that are essentially ex-post, such as responsibilities in the areas of disaster preparedness and emergency or disaster response.</p>
Examples of positive conditions in countries in the Region
<p>Centralized Countries</p> <p>Peru: In accordance with Law N° 27972, Organic Law of Municipalities, of May 26, 2003, the municipalities must exercise the function of approving the Plan for Urban Territorial Development, which ought to identify the areas of protection or security from natural risks (Article 79. Point 1.1). Additionally, Points 10 and 13 of Article 82 establish municipal competencies in "disaster risk prevention." And the Organic Law of Regional Governments N° 27867, of November 16, 2002, establishes functions in the area of "Civil Defense," in its Article 61.</p> <p>Chile: Law N° 19175, Constitutional Organic Law on Regional Government and Administration, establishes: "<i>Article 16. General functions of the regional government... f) To adopt the necessary measures to address emergency or disaster situations, in accordance with the law, and to develop disaster prevention and protection programs...</i>".</p> <p>Federal Countries</p> <p>Mexico: Title V of the Constitution, in Articles 115-122, establishes the responsibilities of the States of the Federation, Federal District and Municipalities. However, in the matter of Civil Defense, Article 73, section XXIX-I, establishes that it is the power of Congress "...to enact laws that establish the foundations for the Federation, states, Federal District and municipalities to coordinate their civil defense actions...". By doing so, the Federal Government recognizes that the universal responsibility of civil defense is its own, while understanding that a portion of this responsibility likewise belongs to the states or federal entities. This has resulted in a GENERAL Law on Civil Defense (not a federal law), which establishes FOUNDATIONS on which each level of government shall carry out its actions. Moreover, recent 2013 constitutional reforms stipulate in the Second Transitory Article that "<i>All legal provisions that are in opposition to the content of the present Decree are hereby repealed. The aforementioned shall not affect the regulatory provisions enacted by the federal entities for this purpose as a complement to disaster prevention, public safety and civil defense, provided they comply with that which is established by the laws on the matter.</i>" The General Law of Civil Defense, of June 6, 2012, defines in the Glossary in Article 2, section XXVII, Comprehensive Risk Management as "...the responsibility for risk reduction and involves the three levels of government."</p>

Code: RR 1C-3

Closed-ended question
3. Are there regulations on development planning and land use (or equivalent) that establish the zoning of at-risk areas as a determinant factor in the definition of land use and occupation?
General description of the indicator
<p>Territorial planning is the most important planning instrument for prospective risk management, that is to say, for risk prevention.</p> <p>Decision-making on land use and occupation is key for the effective prevention of risks and disasters, and therefore, it is a good practice for regulations on development planning and land use (or equivalent process) to establish zoning of at-risk areas as a determinant for defining land use and occupation.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the regulations on territorial planning (or equivalent process) in the country. 2. Determine whether, within the planning process, disaster risk is considered as a component of zoning. 3. In the event that risk is a consideration during the zoning process, identify whether the regulations establish guidelines for land use consequent to the determination of risk (that is to say, whether the regulations establish special treatment for at-risk zones to prevent their unsafe use or occupation).
Description of the minimum required situation for positive conditions
Verification that within the regulatory framework on development planning and land use (or equivalent process), the zoning of at-risk areas constitutes a determinant for defining land use and occupation (that is to say, the regulations thereon).
Examples of positive conditions in countries in the Region
<p>Colombia: Law 388 of 1997 on Territorial Planning, modifying Law 9a. of 1989, and Law 3a. of 1991 and enacting other provisions, establishes the procedures for formulating municipal Plans for Territorial Planning. In accordance with Article 8 of this law, these are urban planning actions, including, "5. <i>Determine the areas protected from development that are prone to risk due to the presence of human settlements, natural threats, or other types of threats that cause unsanitary housing conditions.</i>" Likewise, Article 12, which is part of the Content of the general component of the zoning plan, stipulates in section 2.3 the obligation of "... <i>determining and finding areas that pose a high risk due to the location of human settlements, natural threats or unsanitary conditions.</i>" Additionally, the Seismic-Resistant Standard, Law 400 of 1997, updated in 2010 through Decree N° 926 of 2010 - NSR-10, establishes the conditions compel implementation of "seismic zoning" and its requirements.</p> <p>Peru: Supreme Decree N° 087-2004-PCM, of December 23, 2004, establishes the Guidelines of Ecological-Economic Zoning (EEZ), which Article 1 defines as a "...dynamic and flexible process for identifying different alternatives for the sustainable use of a particular territory, based on the assessment of its potentials and limitations using physical, biological, social, economic and cultural criteria." And for urban regions, Supreme Decree N° 004-2011-VIVIENDA, of June 16, 2012, approves the Regulations for Territorial Conditioning and Urban Development. In its Chapter X, on Risk Prevention and Reduction in Urban Development, Article 27 mandates the mainstreaming of risk analysis in the processes of the Urban Development Plan and other plans, in order to reduce risks. Additionally, Chapter XI regulates the aspects of "Zoning," complementary to Chapter IX, whose Article 26 determines that the different areas of land classification should consider risk when defining specific plans. Finally, through Ministerial Resolution N° 026-2010-MINAM, of February 23, 2010, the Policy Guidelines for Territorial Planning are established, in which disaster risk reduction is integrated into its Objective 3. From the above it can be concluded that, despite the fact that the three standards help fulfil this indicator, it is Supreme Decree N° 004-2011-VIVIENDA that permits its total fulfillment.</p>

Code: RR 1C-4

Closed-ended question
4. Are there regulations for the overall improvement of human settlements?
General description of the indicator
<p>Disaster risk reduction is implemented through processes that aim to transform the geographic space in search of better conditions of living and of social and economic development. One of the key processes for Risk Reduction, especially at the urban level, is the comprehensive improvement of human settlements, also referred to in some countries as neighborhood improvement.</p> <p>This indicator specifically analyzes whether there are regulations in the country that govern the comprehensive improvement of human settlements.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify regulations related to urban development or its equivalent. 2. Identify whether there are regulations for the comprehensive improvement of human settlements.
Description of the minimum required situation for positive conditions
The identification of regulations for the comprehensive improvement of human settlements.
Examples of positive conditions in countries in the Region
<p>Panama: Law No. 22 of July 29, 1991, establishing the foundations of the National Housing Policy, and creating the Housing Savings Fund and corresponding regulating agency, establishes in Article 25 that: <i>"The budgetary resources of the housing sector must be preferentially designated for the development of High-Priority Social Interest housing programs. These programs shall contemplate the modalities and types of solutions provided for in Article 9 of this Law, including: 1. Financing for the acquisition of land, construction materials, infrastructure and urban planning works, for the development of housing options in the high-priority social interest sector I;... 3. Financing for programs to measure, legalize and reinforce human settlements; 4. Financing of studies or research pertinent to this sector and of technical and legal consulting services in the housing area."</i></p> <p>Mexico: The General Law of Human Settlements, of July 21, 1993 July, stipulates in Article 1, Section II: <i>"To establish the basic standards for planning and regulating the Territorial Planning of human settlements and the establishment, conservation, <u>improvement</u> and growth of population centers..."</i>. And in Article 2, paragraph XIII, it defines: <i>"Improvement: action aimed at reorganizing or renewing the areas of a low-developed population center or areas that are physically or functionally deteriorated."</i> This Law also includes a breakdown of a series of actions and projections directed to the improvement of population centers and human settlements.</p>

Code: RR 1C-5

Closed-ended question
5. Are there regulations for the relocation of human settlements located in risk zones?
General description of the indicator
<p>This indicator implies the existence of several prior processes: (i) the determination of human settlements located in at-risk areas and (ii) the political decision that these settlements should be relocated to more secure areas.</p> <p>Relocation due to risk is a complex process and is politically very costly. Nevertheless, it is considered good practice to have a legal framework that makes it possible.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the regulations related to human settlements. 2. Identify whether there are regulations for the relocation or resettlement of human settlements. 3. Determine whether disaster risk is the motivation behind the relocation.
Description of the minimum required situation for positive conditions
<p>The existence of regulations for human settlements that contemplates the relocation or resettlement of people due to the fact that they live in at-risk areas.</p> <p>Some countries may call these "high-risk areas" or "areas of non-mitigable risk," with the purpose of defining the State's fiscal responsibility (it would not be feasible to mandate the relocation of <i>all</i> at-risk human settlements, and therefore it is common to prioritize or focus on the most problematic areas).</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law N° 29869, Law of Population Resettlement for Very High Non-mitigable Risk Areas, of May 29, 2012. Stipulated in Article 1 of this Law. Purpose of the Law, which is "<i>...the population resettlement of people located in high non-mitigable risk areas in the national territory is of public necessity and national interest.</i>" The Law establishes responsibilities and management instruments for risk reduction in these areas.</p> <p>Mexico: The General Law of Civil Defense, of June 22, 2012, stipulates in its Article 87 that "<i>In the case of human settlements already established in High-Risk Areas, the competent authorities, based on studies of specific risks, shall determine which infrastructure works are necessary for mitigating the risk they are exposed to or, when necessary, shall formulate a plan to determine which of them need to be relocated, while proposing financial mechanisms that would enable this action.</i>"</p>

Code: RR 2-1

Closed-ended question
<i>1. In the last fiscal period, were funds assigned to the Ministry of Environment to perform disaster risk analysis which could be verified through budget classification instruments?</i>
General description of the indicator
Disaster Risk Management (DRM) is a horizontal public policy of the national, central or federal public administration, with objectives shared among all sectors. One of the most important contributions of the sectors to DRM -- when the national regulatory framework sets forth sector competencies within the scope of their powers -- is the performance of Risk Reduction (RR) actions, particularly with regard to risks related to the sector's own activities. To this effect, the availability of resources is a determinant of being able to finance and execute those RR activities. This is why the present indicator not only places special interest in the actual allocation of public resources to the environmental sector, but it also analyzes whether the allocation corresponds to the last fiscal period or current national budget, and that it can be verified through an expense item or budget category, or other equivalent budget classification instrument.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Verify whether an expense item or budget category label exists. 2. Prove that the instrument makes it possible to objectively verify, in the last fiscal period, that resources were allocated to RR activities in the environmental sector. 3. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or environmental sector budget. 4. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget. 5. Consult, when applicable, the environmental sector authority or head (or equivalent entity), specifically on the areas included in the budget. 6. Review the projects underway listed on the institutional webpage of the environmental sector authority or head (or equivalent entity).
Description of the minimum required situation for positive conditions
Objective evidence of the allocation of resources to the environmental sector, made in the last fiscal period, for carrying out RR activities in the scope of its competence, demonstrable and traceable through an expense item or budget category or other equivalent budgetary classification instrument.
Examples of positive conditions in countries in the Region
<p>Peru: In Annex 5 of Law N° 29951 of the Public-Sector Budget for the 2013 fiscal year of Peru there is evidence that the Ministry of Environment allocates resources for: (i) the development of technical instruments at the regional and local level on the physical susceptibility to multiple risks; (ii) capacity-building of sub-national governments for the appropriate use of the territory with a disaster risk management focus (pg. 98, product 3000452).</p> <p>Dominican Republic: Law No. 311-12, of the General State Budget, enacted on December 19, 2012 (see pg. 287-288), includes budgetary items for disaster risk reduction activities, such as: Sustainable management of river basins and climate change adaptation.</p> <p>Colombia: The Annex of the Decree "by which the General Budget of the Nation is settled for the 2012 fiscal period, appropriations are detailed and expenses are classified and defined," under budgetary item 520 904 2, resources were allocated for the "<i>recovery of forest ecosystems in high-priority areas due to hydric vulnerability and/or eroded areas of the country.</i>" Under budgetary item 520 904 1 resources were allocated to the "<i>formulation and implementation of plans for priority watersheds in the jurisdiction of Corpouraba, department of Antioquia</i>" and under budgetary heading 113 900 1 resources were allocated to the "<i>conservation and management of the vulnerable high-risk areas in the department of Meta.</i>"</p>

Code: RR 2-2**Closed-ended question**

2. In the last fiscal period, were funds allocated to the Ministry of Agriculture to perform disaster risk reduction activities which could be verified through budget classification instruments?

General description of the indicator

Disaster Risk Management (DRM) is a horizontal public policy of the national, central or federal public administration, with objectives shared among all sectors. One of the most important contributions of the sectors to DRM -- when the national regulatory framework sets forth sector competencies within the scope of their powers -- is the performance of Risk Reduction (RR) actions, particularly with regard to risks related to the sector's own activities. To this effect, the availability of resources is a determinant of being able to finance and execute those RR activities. This is why the present indicator not only places special interest in the actual allocation of public resources to the housing sector, but it also analyzes whether the allocation corresponds to the last fiscal period or current national budget, and that it can be verified through an expense item or budget category, or other equivalent budget classification instrument.

Steps to follow for obtaining the required information

1. Verify whether an expense item or budget category label exists.
2. Prove that the instrument makes it possible to objectively verify, in the last fiscal period, that resources were allocated to RR activities in the agriculture sector.
3. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or agriculture sector budget.
4. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget.
5. Consult, when applicable, with the agriculture sector authority or head (or equivalent entity), specifically on the areas included in the budget.
6. Review the projects underway listed on the institutional webpage of the agriculture sector authority or head (or equivalent entity).

Description of the minimum required situation for positive conditions

Objective evidence of the allocation of resources to the agriculture sector, made in the last fiscal period, to carry out RR activities in the scope of its competence, provable and traceable through an object of an expense item or budget category or other equivalent budgetary classification instrument.

Examples of positive conditions in countries in the Region

Peru: In Annex 5 of Law N° 29951 of the Public Sector Budget for the 2013 fiscal year of Peru, of November 30, 2012, there is evidence that the Ministry of Environment allocates resources for: (i) technical assistance to agriculture producers for the reduction of soil degradation; (ii) resistance capacities for populations and their livelihoods to endure floods, including the component of forestation and reforestation of the high river basin to minimize sediment (pgs. 266 and 267).

Mexico: The Federation Budget Extracts Decree for the 2013 fiscal year, stipulates in Section 8, Agriculture, Livestock, Rural Development, Fisheries and Food, under item S232, resources to finance the "Risk Prevention and Management Program."

Jamaica: The 2013-2014 National Budget has resources for risk reduction activities: Title 5100B - Ministry of Agriculture and Fisheries, Budget 3 - Capital B, Function 14 - Agriculture, Program 102 - Forestry and Wildlife, 20 9327 Climate Change Adaptation and Disaster Risk Reduction.

Code: RR 2-3**Closed-ended question**

3. In the last fiscal period, were funds allocated to the Ministry of Health to perform disaster risk reduction activities which could be verified through budget classification instruments?

General description of the indicator

Disaster Risk Management (DRM) is a horizontal public policy of the national, central or federal public administration, with objectives shared among all sectors. One of the most important contributions of the sectors to DRM -- when the national regulatory framework sets forth sector competencies within the scope of their powers -- is the performance of Risk Reduction (RR) actions, particularly with regard to risks related to the sector's own activities. To this effect, the availability of resources is a determinant of being able to finance and execute those RR activities. This is why the present indicator not only places special interest in the actual allocation of public resources to the health sector, but it analyzes whether the allocation corresponds to the last fiscal period or current national budget, and that it can be verified through an expense item or budget category, or another equivalent budget classification instrument.

Steps to follow for obtaining the required information

1. Verify whether an expense item or budget category label exists.
2. Prove that the instrument makes it possible to objectively verify, in the last fiscal period, that resources were allocated to RR activities in the health sector.
3. Investigate, in the event that there is no expense item or budget category label, other equivalent budgetary classification instruments, such as the headings of the national budget or health sector budget.
4. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget.
5. Consult, when applicable, the health sector authority or head (or equivalent entity), specifically on the areas included in the budget.
6. Review the projects underway listed on the institutional webpage of the health sector authority or head (or equivalent entity).

Description of the minimum required situation for positive conditions

Objective evidence of the allocation of resources to the health sector, made in the last fiscal period, to carry out RR activities in the scope of its competence, provable and traceable through an expense item or budget category or other equivalent budgetary classification instrument.

Examples of positive conditions in countries in the Region

Peru: In Annex 5 of Law N° 29951 of the Public Sector Budget for the 2013 fiscal year of Peru, of November 30, 2012, there is evidence that the Ministry of Health allocated resources for: (i) safe health establishments, which includes a component of structural safety of health establishments; (ii) population with safe health practices when faced with the occurrence of natural hazards (pg. 236, products 3000167, and 3000169).

Colombia: The Annex of the Decree "by which the General Budget of the Nation for the 2012 fiscal period is settled, appropriations are detailed and expenses are classified and defined," under budgetary item 410 306 1 resources were allocated for the "*study and development of a program on the structural seismic vulnerability of health institutions at the national level.*"

Code: RR 2-4

Closed-ended question
4. <i>In the last fiscal period, were funds assigned to the Ministry of Housing to perform disaster risk reduction activities which could be verified through budget classification instruments?</i>
General description of the indicator
Disaster Risk Management (DRM) is a horizontal public policy of the national, central or federal public administration, with objectives shared among all sectors. One of the most important contributions of the sectors to DRM -- when the national regulatory framework sets forth sector competencies within the scope of their powers -- is the performance of Risk Reduction (RR) actions, particularly with regard to risks related to the sector's own activities. To this effect, the availability of resources is a determinant of being able to finance and execute those RR activities. This is why the present indicator not only places special interest in the actual allocation of public resources to the housing sector, but it analyzes whether the allocation corresponds to the last fiscal period or current national budget, and that it can be verified through an expense item or budget category, or another equivalent budget classification instrument.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Verify whether an expense item or budget category label exists. 2. Prove that the instrument makes it possible to objectively verify, in the last fiscal period, that resources were allocated to RR activities in the housing sector. 3. Investigate, in the event that there is no expense item or budget category label, other equivalent budgetary classification instruments, such as the headings of the national budget or housing sector budget. 4. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget. 5. Consult, when applicable, the housing sector authority or head (or equivalent entity), specifically on the areas included in the budget. 6. Review the projects underway listed on the institutional webpage of the housing sector authority or head (or equivalent entity).
Description of the minimum required situation for positive conditions
Objective evidence of the allocation of resources to the housing sector, made in the last fiscal period, to carry out RR activities in the scope of its competence, provable and traceable through an expense item or budget category or other equivalent budgetary classification instrument.
Examples of positive conditions in countries in the Region
<p>Peru: In Annex 5 of Law N° 29951 of the Public Sector Budget for the 2013 fiscal year of Peru, of November 30, 2012, there is evidence that the Ministry of Housing allocates resources for: "(i) <i>the promotion of the construction of safe housing and buildings; and (ii) local governments to incorporate disaster risk management into land development...</i>" (pgs. 348). Additionally, the same law in its section on Supplementary Provisions, states: "<i>FORTY-FIFTH. Authorize the Ministry of Housing, Construction and Sanitation to conduct actions for risk prevention and mitigation of natural disasters or situations that can or do affect sanitation services and housing infrastructure and service provision, so that it will have the capacity to purchase property and equipment and contract the corresponding services and building works, within the framework of the aforementioned actions.</i>"</p> <p>Guatemala: General Budget of Revenues and Expenditures of the State for Fiscal Year 2013; the budgetary allocations were made under the following headings: 11130013 20 00 001 000 001 (CONSTRUCTION OF CONTAINMENT WALLS) Q.36,022,128.94 and 11130013 20 00 001 000 006 (CONSTRUCTION OF SLOPE CLADDING) Q.774,413.14.</p> <p>Chile: Law N° 20641 Public-Sector Budgets 2013, of December 22, 2012, in Item 10 of the budget allocated to the Ministry of Housing and Urban Planning, the following is considered: "<i>Of these resources, \$412.499 million pesos shall be allocated to the contracting of risk studies and urban planning studies tied to the Reconstruction Plan, and it would be possible to finance the expenses associated to the public tender, contracting, dissemination and publication of these studies...</i>".</p>

Closed-ended question
5. In the last fiscal period, were funds assigned to the Ministry of Education to perform disaster risk reduction activities which could be verified through budget classification instruments?
General description of the indicator
Disaster Risk Management (DRM) is a horizontal public policy of the national, central or federal public administration, with objectives shared among all sectors. One of the most important contributions of the sectors to DRM -- when the national regulatory framework sets forth sector competencies within the scope of their powers -- is the performance of Risk Reduction (RR) actions, particularly with regard to risks related to the sector's own activities. To this effect, the availability of resources is a determinant of being able to finance and execute those RR activities. This is why the present indicator not only places special interest in the actual allocation of public resources to the education sector, but it also analyzes whether the allocation corresponds to the last fiscal period or current national budget, and that it can be verified through an expense item or budget category, or other equivalent budget classification instrument.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Verify whether an expense item or budget category label exists. 2. Prove that the instrument makes it possible to objectively verify, in the last fiscal period, that resources were allocated to RR activities in the education sector. 3. Investigate, in the event that there is no expense item or budget category label, other equivalent budgetary classification instruments, such as the headings of the national budget or environmental sector budget. 4. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget. 5. Consult, when applicable, the education sector authority or head (or equivalent entity), specifically on the areas included in the budget. 6. Review the projects underway listed on the institutional webpage of the education sector authority or head (or equivalent entity).
Description of the minimum required situation for positive conditions
Objective evidence of the allocation of resources to the education sector, made in the last fiscal period, for carrying out RR activities in the scope of its competence, demonstrable and traceable through an expense item or budget category or other equivalent budgetary classification instrument.
Examples of positive conditions in countries in the Region
<p>Peru: In Annex 5 of Law N° 29951 of the Public-Sector Budget for the 2013 fiscal year of Peru, of November 30, 2012, there is evidence that the Ministry of Education allocated resources for: (i) decentralized educational management offices that implement a culture of disaster risk management; (ii) safe educational institutions, which includes the component of capacity-building in educational institutions for a disaster risk management culture (pg. 137). The education sector has received a budget for DRM through RBB 068 since the year 2012. The "Safe School" Program is being developed with these resources.</p> <p>Mexico: The General Law on Physical Education Infrastructure, of March 14, 2013, stipulates in its Article 16 that the objective of the National Institute of Physical Education Infrastructure (INIFED) is "...to serve as a body with a regulatory, consultancy and certification capacity of the quality of the country's physical education infrastructure and that under construction, as stated in this Law, its regulations and other applicable provisions, and to act as an advisory body on the matter of prevention of and assistance for natural, technological or human caused disasters in the education sector." At http://www.transparenciapresupuestaria.gob.mx/Portal/transform.nodo?id=4.0&transformacion=s&excel=n&zip=n&paramts=0=L509331...there is proof that INIFED allocates resources to disaster risk reduction activities: through the "E047 infrastructure design, construction, certification and evaluation program" two activities in component 2 are carried out that correspond to regulated physical infrastructure and fortified physical infrastructure.</p>

Code: RR 2-6**Closed-ended question**

6. In the last fiscal period, were funds assigned to the Ministry of Tourism to perform disaster risk reduction activities which could be verified through budget classification instruments?

General description of the indicator

Disaster Risk Management (DRM) is a horizontal public policy of the national, central or federal public administration, with objectives shared among all sectors. One of the most important contributions of the sectors to DRM -- when the national regulatory framework sets forth sector competencies within the scope of their powers -- is the performance of Risk Reduction (RR) actions, particularly with regard to risks related to the sector's own activities. To this effect, the availability of resources is a determinant of being able to finance and execute those RR activities. This is why the present indicator not only places special interest in the actual allocation of public resources to the tourism sector, but it also analyzes whether the allocation corresponds to the last fiscal period or current national budget, and that it can be verified through an expense item or budget category, or other equivalent budget classification instrument.

Steps to follow for obtaining the required information

1. Verify if there is an expense item or budget category.
2. Prove that the instrument makes it possible to objectively verify, in the last fiscal period, that resources were allocated to RR activities in the tourism sector.
3. Investigate, in the event that there is no expense item or budget category label, other equivalent budgetary classification instruments, such as the headings of the national budget or tourism sector budget.
4. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget.
5. Consult, when applicable, the tourism sector authority or head (or equivalent entity), specifically on the areas included in the budget.
6. Review the projects underway listed on the institutional webpage of the tourism sector authority or head (or equivalent entity).

Description of the minimum required situation for positive conditions

Objective evidence of the allocation of resources to the tourism sector, made in the last fiscal period, for carrying out RR activities in the scope of its competence, demonstrable and traceable through an expense item or budget category or other equivalent budgetary classification instrument.

Examples of positive conditions in countries in the Region

Jamaica: In the 2013-2014 Budget for the Ministry of Tourism and Entertainment, there are resources for: "Increasing the resilience of the agricultural sector and coastal areas, with the aim of: In order to protect the livelihoods and food security of the vulnerable communities through the improvement of land and water management for the agricultural sector, increased coastal protection and the building of institutional and local capacities for climate change adaptation." This project is carried out by the Office of Disaster Preparedness and Emergency Management.

Code: RR 2-7

Closed-ended question
7. <i>In the last fiscal period, were funds allocated to the Ministry of Transport to perform disaster risk reduction activities which could be verified through budget classification instruments?</i>
General description of the indicator
Disaster Risk Management (DRM) is a horizontal public policy of the national, central or federal public administration, with objectives shared among all sectors. One of the most important contributions of the sectors to DRM -- when the national regulatory framework sets forth sector competencies within the scope of their powers -- is the performance of Risk Reduction (RR) actions, particularly with regard to risks related to the sector's own activities. To this effect, the availability of resources is a determinant of being able to finance and execute those RR activities. This is why the present indicator not only places special interest in the actual allocation of public resources to the transport sector, but it also analyzes whether the allocation corresponds to the last fiscal period or current national budget, and that it can be verified through an expense item or budget category, or other equivalent budget classification instrument.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Verify if there is an expense item or budget category. 2. Prove that the instrument makes it possible to objectively verify, in the last fiscal period, that resources were allocated to RR activities in the transport sector. 3. Investigate, in the event that there is no expense item or budget category label, other equivalent budgetary classification instruments, such as the headings of the national budget or transport sector budget. 4. Consult, when applicable, the fiscal, economic or financial authority (or equivalent entity), specifically on the areas included in the budget. 5. Consult, when applicable, the transport sector authority or head (or equivalent entity), specifically on the areas included in the budget. 6. Review the projects underway listed on the institutional webpage of the transport sector authority or head (or equivalent entity).
Description of the minimum required situation for positive conditions
Objective evidence of the allocation of resources to the transport sector, made in the last fiscal period, for carrying out RR activities in the scope of its competence, demonstrable and traceable through an expense item or budget category or other equivalent budgetary classification instrument.
Examples of positive conditions in countries in the Region
<p>Peru: In Annex 5 of Law N° 29951 of the Public-Sector Budget for the 2013 fiscal year of Peru, of November 30, 2012, there is evidence that the Ministry of Transport allocated resources for: (i) national roads with road maintenance - road emergencies prevention and assistance; (ii) departmental roads with road maintenance - road emergencies prevention and assistance (pg. 336).</p> <p>Costa Rica: The 2013 Budget of the Ministry of Public Works and Transport, published in 2012, provides in the strategic objective 0.03 through program 327, Subprogram 1, Road and river infrastructure assistance, product P.02, resources for "<i>Works for the protection of roadways and bridges, in high-risk riverbeds.</i>"</p> <p>Colombia: On the form of the Official Budget of the Adaptation Fund, there is evidence of the allocation of resources for "<i>construction works to stabilize and protect the left shoulder of the Ansermanuevo - La Virginia highway, from pr138 to pr139.</i>"</p>

Code: RR 2-8

Closed-ended question
8. <i>In the last fiscal period, were funds allocated to the national entity responsible for water and sanitation to perform disaster risk reduction activities which could be verified through budget classification tools?</i>
General description of the indicator
Disaster Risk Management (DRM) is a horizontal public policy of the national, central or federal public administration, with objectives shared among all sectors. One of the most important contributions of the sectors to DRM -- when the national regulatory framework sets forth sector competencies within the scope of their powers -- is the performance of Risk Reduction (RR) actions, particularly with regard to risks related to the sector's own activities. To this effect, the availability of resources is a determinant of being able to finance and execute those RR activities. This is why the present indicator not only places special interest in the actual allocation of public resources to the national entity responsible for water and sanitation, but it also analyzes whether the allocation corresponds to the last fiscal period or current national budget, and that it can be verified through an expense item or budget category, or other equivalent budget classification instrument.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Verify if there is an expense item or budget category. 2. Prove that the instrument makes it possible to objectively verify, in the last fiscal period, that resources were allocated to the national water and sanitation authority for RR activities. 3. Should there not be an expense item or budget category, examine other equivalent budget classification tools, such as headings in the national budget or budget of the national water and sanitation authority. 4. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget. 5. Consult, if necessary, the national water and sanitation authority (or equivalent entity), specifically the areas responsible for budgetary matters. 6. Review the projects underway listed on the institutional webpage of the national water and sanitation authority (or equivalent entity).
Description of the minimum required situation for positive conditions
Objective evidence of the allocation of resources to the national water and sanitation authority (or equivalent entity), made in the last fiscal period, to carry out RR activities in the scope of its competence, provable and traceable through an expense item or budget category or other equivalent budgetary classification instrument.
Examples of positive conditions in countries in the Region
Mexico: In the INVESTMENT PROGRAMS AND PROJECTS (including information up to: Friday, May 31, 2013) CONAGUA develops several infrastructure projects for the protection of population centers and productive areas (as well as feasibility studies on protection), studies on the impact of ground subsidence, geohydrological studies, protective installations for risk reduction of floods. "As part of the program strategy for CONAGUA: <i>"It shall continue to designate as federal areas all riverbeds, rivers, ravines and other receiving water bodies that have generated emergency situations, thus preventing human settlements from being established..."</i> . http://www.conagua.gob.mx/PPi.aspx?n1=1&n2=56&n3=263&n4=181&n5=170

Code: RR 2-9**Closed-ended question**

9. In the last fiscal period, were funds assigned to the national entity responsible for telecommunications to perform disaster risk reduction activities which could be verified through budget classification instruments?

General description of the indicator

Disaster Risk Management (DRM) is a horizontal public policy of the national, central or federal public administration, with objectives shared among all sectors. One of the most important contributions of the sectors to DRM -- when the national regulatory framework sets forth sector competencies within the scope of their powers -- is the performance of Risk Reduction (RR) actions, particularly with regard to risks related to the sector's own activities. To this effect, the availability of resources is a determinant of being able to finance and execute those RR activities. This is why the present indicator not only places special interest in the actual allocation of public resources to the national telecommunications authority, but it also analyzes whether the allocation corresponds to the last fiscal period or current national budget, and that it can be verified through an expense item or budget category, or other equivalent budget classification instrument.

Steps to follow for obtaining the required information

1. Verify if there is an expense item or budget category.
2. Prove that the instrument makes it possible to objectively verify, in the last fiscal period, that resources were allocated to the national telecommunications authority for RR activities.
3. Investigate, in the event that there is no expense item or budget category, other equivalent budgetary classification instruments, such as the headings of the national budget or budget of the telecommunications authority.
4. Consult, if necessary, the fiscal, economic or financial authority (or equivalent entity), specifically on the areas included in the budget.
5. Consult, if necessary, the national telecommunications authority (or equivalent entity), specifically the areas responsible for budgetary matters.
6. Review the projects underway listed on the institutional webpage of the telecommunications authority (or equivalent entity).

Description of the minimum required situation for positive conditions

Objective evidence of the allocation of resources to the national telecommunications authority (or equivalent entity), made in the last fiscal period, to carry out RR activities in the scope of its competence, provable and traceable through an expense item or budget category or other equivalent budgetary classification instrument.

Examples of positive conditions in countries in the Region

Due to the difficulty in finding a good example in the Region, the following is a hypothetical situation to be used as a reference: a country that in the last fiscal period allocated resources to the national telecommunications authority (or equivalent entity) under a budget heading of such authority for the reinforcement of cellular phone tower infrastructure (or other exposed elements that are property of the State) located in areas with high seismic threat and that primarily covers rural areas.

Code: RR 2-10**Closed-ended question**

10. In the last fiscal period, were funds assigned to the national entity responsible for energy to perform disaster risk reduction activities which could be verified through budget classification instruments?

General description of the indicator

Disaster Risk Management (DRM) is a horizontal public policy of the national, central or federal public administration, with objectives shared among all sectors. One of the most important contributions of the sectors to DRM -- when the national regulatory framework sets forth sector competencies within the scope of their powers -- is the performance of Risk Reduction (RR) actions, particularly with regard to risks related to the sector's own activities. To this effect, the availability of resources is a determinant of being able to finance and execute those RR activities. This is why the present indicator not only places special interest in the actual allocation of public resources to the national energy authority, but it also analyzes whether the allocation corresponds to the last fiscal period or current national budget, and that it can be verified through an expense item or budget category, or other equivalent budget classification instrument.

Steps to follow for obtaining the required information

1. Verify if there is an expense item or budget category.
2. Prove that the instrument makes it possible to objectively verify, in the last fiscal period, that resources were allocated to the national energy authority for RR activities.
3. Investigate, in the event that there is no expense item or budget category, other equivalent budgetary classification instruments, such as the headings of the national budget or budget of the energy authority.
4. If appropriate, consult with the treasury, economy or finance authority, specifically with those areas responsible for the budget.
5. Consult, if necessary, the national energy authority (or equivalent entity), specifically the areas responsible for budgetary matters.
6. Review the projects underway listed on the institutional webpage of the energy authority (or equivalent entity).

Description of the minimum required situation for positive conditions

Objective evidence of the allocation of resources to the national energy authority (or equivalent entity), made in the last fiscal period, to carry out RR activities in the scope of its competence, provable and traceable through an expense item or budget category or other equivalent budgetary classification instrument.

Examples of positive conditions in countries in the Region

Due to the difficulty in finding a good example in the Region, the following is a hypothetical situation to be used as a reference: A country that in the last fiscal period allocated resources to the national energy authority (or equivalent entity) under a budget heading of such authority for the reinforcement of the infrastructure of dams used to generate electric energy, located in areas with high seismic threat and whose surrounding populations are vulnerable.

Closed-ended question
11. Has the water and sanitation company with the largest portfolio of users in the country, implemented at least one project or program that includes disaster risk reduction activities in its infrastructure in the last 5 years?
General description of the indicator
<p>Disaster Risk Management (DRM) is a horizontal public policy that involves all bodies of the national, central or federal public administration, the different levels of government and the private and social sectors. This includes the public service provider companies, whether government-owned or private concessions. Accordingly, this indicator values that the largest water and sanitation provider in the country implements projects or programs that include some Risk Reduction (RR) measures or actions within the scope of the services it renders. This is taking into consideration the social and financial costs generated when such services are affected, or partially or completely interrupted, due to a disaster.</p> <p>It is possible that some countries include public service provider companies in the sectoral scope; this will depend on the institutional organization of each country.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the company responsible for providing public water and sanitation services with the largest number of users in the country. 2. Establish whether said company is government-owned or a private concession. 3. Review the provider company's website for information published on the investments it makes. It is suggested to specifically look for the company's management reports. 4. Consult the company directly, if necessary, on whether it has conducted RR activities in the last 5 years. 5. Interview, if necessary, officers of the supervisory body or the authority responsible for awarding the concession in the sector. 6. Review, in the event that it is a concession, the respective contract and analyze whether it includes requirements on RR activities.
Description of the minimum required situation for positive conditions
Evidence that the largest water and sanitation provider in the country has implemented a project or program that includes at least one RR activity, in the last 5 years.
Examples of positive conditions in countries in the Region
<p>Peru: The Safe Drinking Water and Sewerage Service SEDAPAL, is the water and sanitation provider in Lima, and the largest in the country. SEDAPAL has made investments in disaster risk reduction, such as the "Improvement of drainage areas in the district of Chorrillos" (http://www.sedapal.com.pe:94/chorrillos.pdf). Moreover, SEDAPAL's website showed evidence of additional investments in drainage systems. Likewise, and in accordance with the Board of Directors Resolution N° 011-2007, Regulations for Service Providers, Annex 5 stipulates that companies must adopt disaster measures and mechanisms as well as contingent plans, which requires risk knowledge and disaster risk reduction knowledge actions.</p> <p>Mexico: The National Water Program 2007-2012, of February 2008, includes the in its specific objectives, the following (Objective 6): <i>"To prevent risks related to meteorological and hydrometeorological events and attend to their effects."</i> The program's diverse objectives include lines of action for tasks aimed at reducing, mitigating and administering risks within its sector. Thus, over the last years large-scale disaster risk reduction works were undertaken. For example, the National Water Commission (CONAGUA) substantially reduced the serious risks of flooding in the Mexico Valley, with the construction of important works, among which stands out the first section of the Eastern Drainage Tunnel and the Caracol Pumping Station. http://www.conagua.gob.mx/sustentabilidadhidricadelValledeMexico/Index.aspx?id_publicacion=27&id_pantalla=11&id_contenido=87</p> <p>Chile: The Aguas Andinas Sustainability Report 2012, states that <i>"The Aguas Group has implemented a map of risks associated with each corporate management, with the objective of identifying and addressing the potential risks and primary hazards (including those associated with natural disasters), and developing plans to prevent or mitigate these problems, guaranteeing business continuity."</i> According to the Aguas</p>

Andinas Sustainability Report 2012. In order to assure that the service operates normally, Aguas Andinas has developed a General Emergency Plan, providing a framework on how the company shall "... *address, report, mitigate and communicate adverse situations, whether natural or human-provoked events.*" A Drought Committee was established to develop "monitoring plans, mitigation works and loss reduction plans." Additionally, Aguas Andinas stated that the following projects include activities to reduce the risk to its infrastructure: (i) Interconnection of the El Yeso reservoir and Laguna Negra aqueduct (CAYA); (ii) Reserve Tanks (an additional 225,000 m3); (iii) Cerro Negro Wells.

Code: RR 2-12

Closed-ended question
<i>12. Has the country's largest energy (generation, transmission and distribution) company implemented at least one project or program that includes disaster risk reduction activities in its infrastructure in the last 5 years?</i>
General description of the indicator
<p>Disaster Risk Management (DRM) is a horizontal public policy that involves all bodies of the national, central or federal public administration, the different levels of government and the private and social sectors. This includes the public service provider companies, whether government-owned or a private concession. Accordingly, this indicator values that the largest energy generation, transmission and distribution company in the country implements projects or programs that include some Risk Reduction (RR) measures or actions within the scope of the services it renders. This is taking into consideration the social and financial costs generated when such services are affected, or partially or completely interrupted, due to a disaster.</p> <p>It is possible that some countries include public service provider companies in the sectoral scope; this will depend on the institutional organization of each country.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the largest energy generation, transmission and distribution company in the country. 2. Establish whether said company is government-owned or a private concession. 3. Review the company's website for information published on the investments it makes. It is suggested to specifically look for the company's management reports. 4. Consult the company directly, if necessary, on whether it has conducted RR activities in the last 5 years. 5. Interview, if necessary, officers of the supervisory body or the authority responsible for awarding the concession in the sector. 6. Review, in the event that it is a concession, the respective contract and analyze whether it includes requirements on RR activities.
Description of the minimum required situation for positive conditions
Evidence that the largest energy generation, transmission and distribution company in the country has implemented a project or program that includes at least one RR activity, in the last 5 years.
Examples of positive conditions in countries in the Region
<p>Mexico: According to the consultation with the Federal Electricity Commission (CFE), which is the state-owned energy generation, transmission and distribution company, the institution carries out a wide array of risk reduction actions in all its processes, among them: a) Device operation DPCE (Device to Prevent Collapses in High Three-phase Tension Structures, b) Device operation DATH (Horizontal Three-phase Anti-storm Device for Average Tension); c) Fiberglass high-tension Posts; d) Maneuver for lowering and raising high-tension conductors; d) Substitution of mineral oil for vegetable in power transformers, as well as the installation of firefighting equipment; e) Civil works to prevent floods in electrical power substations; f) Installation of break-sections structures; g) Civil reinforcement works in high-risk structures in areas such as rivers, ravines, lakes, etc.; h) Installation of firefighting systems in the power stations for passive protection, detection, alarm and extinction.</p>

Code: RR 2-13**Closed-ended question**

13. Has the telecommunications company with the largest portfolio of users in the country, implemented at least one project or program that includes disaster risk reduction activities in its infrastructure in the last 5 years?

General description of the indicator

Disaster Risk Management (DRM) is a horizontal public policy that involves all bodies of the national, central or federal public administration, the different levels of government and the private and social sectors. This includes the public service provider companies, whether government-owned or a private concession. Accordingly, this indicator values that the largest telecommunications company in the country, implements projects or programs that include some Risk Reduction (RR) measures or actions within the scope of the services it renders. This is in consideration of the social and financial costs generated when such services are affected, or partially or completely interrupted, due to a disaster.

It is possible that some countries include public service provider companies in the sectoral scope; this will depend on the institutional organization of each country. The public service provider sectors play a fundamental role in the event of a disaster, because it is essential that such services are quickly restored for the population to have access to basic services again.

Disaster risk reduction is fundamental for disaster risk management. Therefore, it is considered consequential that public service providers allocate resources for reducing the risk of partial affectation or the interruption of the provision of these services as a result of the disaster, particularly the largest companies in the country, who usually serve the population of the capital city.

Steps to follow for obtaining the required information

1. Identify the largest telecommunications company in the country.
2. Establish whether said company is government-owned or a private concession.
3. Review the company's website for information published on the investments it makes. It is suggested to specifically look for the company's management reports.
4. Consult the company directly, if necessary, on whether it has conducted RR activities in the last 5 years.
5. Interview, if necessary, officers of the supervisory body or the authority responsible for awarding the concession in the sector.
6. Review, in the event that it is a concession, the respective contract and analyze whether it includes requirements on RR activities.

Description of the minimum required situation for positive conditions

Evidence that the largest telecommunications company in the country has implemented a project or program that includes at least one RR activity, in the last 5 years.

Examples of positive conditions in countries in the Region

Chile: Decree 60, Ministry of Transport and Telecommunications, of 2012, Regulation for the inter-operation and dissemination of the alert message, declaration and protection of the critical telecommunications infrastructure and information on significant failures in the telecommunications systems, stipulates in Article 18 that *"This Title aims to assure the continuity of communications in emergency situations resulting from natural events, widespread electrical failures or other disaster situations, through the adequate protection of the telecommunications infrastructure declared as critical, and the design, development, implementation and maintenance of a national Protection Plan for said infrastructure, in coordination with the diverse governmental bodies and institutions and private agents."* In the Entel Biennial Sustainability Report 2011-2012, under the section "Continuity of Service in Emergency Situations," it is stated that "188 critical points have been established in which the transmission of a signal for a minimum 48 hours is guaranteed, even when there is a power supply shortage."

Code: RR 3-1

Closed-ended question
<p>1. Are there regulations that establish a system of penalties to public and private entities when violators cause damage to the environment?</p>
General description of the indicator
<p>The indicator recognizes a quality factor in the legal framework applicable to the environmental sector, when said legislation stipulates a regime of sanctions for cases in which individuals or public or private entities incur environmental damages as a result of their conduct. This regime may contemplate administrative violations and/or criminal acts, which entail an administrative sanction or judicial corporal punishment. This measure may be an indirect way of reducing conditions of risk.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the environmental regulatory framework in the country. 2. Identify whether these regulations establish, for the diverse cases of environmental damage (degradation), a regime that stipulates administrative sanctions, or rather, that classifies crimes and indicates the corresponding sentences. 3. Disregard, when applicable, penal or criminal laws or codes that seek to define a criminal offense related to a conduct causing environmental damage (degradation).
Description of the minimum required situation for positive conditions
<p>Regulations in force that include a regime of sanctions for conduct related to environmental damage or degradation, for violators who are individuals or public or private entities.</p>
Examples of positive conditions in countries in the Region
<p>Panama: Law No. 41, of July, 1, 1998, by which the General Environmental Law of the Republic of Panama was enacted and the National Environmental Authority was created, in Title VIII, on <i>Environmental Liability</i>, it establishes the regime of sanctions for environmental damages: "Article 106. All natural persons or legal entities are required to prevent damage and to control environmental contamination. Article 107. The contamination produced in violation of the permissible limits, or of the standards, processes and mechanisms of prevention, control, follow-up, evaluation, mitigation and restoration, established in the present Law and other effective legal standards, carries civil, administrative or criminal liability, depending on the case. Article 108. Any person or entity that damages the environment or human health, through the use or exploitation of a resource or through performing an activity, shall be required to repair the damage incurred, apply prevention and mitigation measures and assume the corresponding costs. Article 109. All natural persons or legal entities that emit, spill, possess or unload substances or waste that can affect human health, put the environment at risk or cause damage thereto, affect the essential ecological processes or quality of life of the population, shall have objective liability for the damages that can cause grave harm, in accordance with that stipulated in the special environmental laws."</p> <p>Dominican Republic: Law No. 64-00, on the Environment and Natural Resources, enacted on August 18, 2000, in Title V, Competencies, Responsibility and Sanctions in Administrative and Judicial Matters, which includes 6 chapters, among which the following stand out: Chapter II, On Administrative Competencies and Sanctions; Chapter III, On Civil Liability, and Chapter VI, on Criminal Sanctions.</p> <p>Mexico: The General Law of Ecological Balance and Environmental Protection, of January 28, 1988, determines the civil and criminal liability for environmental damages in Mexico. The Law contains, in Chapter IV on Administrative Sanctions, in Articles 171 to 175, several regulations and procedures related to violations of the precepts of this Law, its standards and provisions issued therefrom. Such violations constitute a violation and are administratively sanctioned by the Secretariat on matters of the Federation's competence, which range from fines, administrative arrests, and closures. The Law likewise regulates recidivism, and the gravity of the violation, among others.</p>

Code: RR 3-2

Closed-ended question
<i>2. Has the national control entity performed at least one verification or assessment of the fulfillment of disaster risk reduction actions in the last 5 years?</i>
General description of the indicator
<p>Just as in indicator GF 3-3, and on the matter of risk identification RI 3-5, this indicator aims to determine whether the audit institution, accountability office, superior audit office or comptrollership (or equivalent in the country) has performed a specific verification or assessment on the fulfillment of disaster risk reduction (RR) actions at least once in the last 5 years.</p> <p>This assessment may be the same one used to meet a positive condition in indicators GF 3-3 and RI 3-5, provided that the specific subject of RR is included in the indicator contents (and not disaster management).</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the entity responsible for the functions of superior or external auditing in each country (this may be an accountability office, superior audit office, comptrollership or equivalent entity). 2. Analyze the cases in which assessments or verifications have been carried out of Disaster Risk Management (DRM) matters or, if applicable, of the entities that perform risk reduction actions in the country. 3. Analyze whether the subject of RR has been addressed. 4. Determine whether the detected evaluation was carried out within last the 5 years.
Description of the minimum required situation for positive conditions
<p>Verification of the existence of a document from the accountability entity, superior audit office, comptrollership or equivalent entity, that includes an assessment or verification of the performance of the relevant entities related to RR in the country.</p> <p>NOTE: The assessment may be on the performance of a single entity or group of entities.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: In 2012, the Comptroller General of the Republic published the Report on the State of Natural Resources and the Environment 2011 - 2012, in which the performance of national and territorial entities in the area of Disaster Risk Management was assessed, and specifically of risk reduction, as is the section on mitigation strategies and climatic change adaptation in transport and infrastructure, the report from the Ministry of Transport on primary road infrastructure (page 64). This report includes an analysis of the mainstreaming of risk management in territorial planning (prospective risk management that contributes to disaster risk reduction). See pages 411 to 414 on "Plans for Territorial Planning." Additionally, the Comptroller General of the Republic (CGR) issued a warning in 2011 directed to the autonomous regional corporations with regard to the "winter wave" (La Niña phenomenon), indicating the activities that they must implemented, including "... <i>the repair of levees and other works that enable water drainage and prevent future floods,</i>" warning that "... <i>the delay in building the previously-mentioned works could cause serious damage in few days, when the rains return, and could even endanger people's lives</i>" (DRM Report on the State of Natural Resources, pg. 106). Moreover, the special follow-up to reconstruction and adaptation in the context of the "Winter Wave" (2011 and 2012), made it so that the CGR verified and assessed disaster risk reduction actions under the responsibility of Colombia Humanitaria and Fondo Adaptación, insofar as the regulations "... <i>require that there be physical and spacial development planning capacity to prevent future emergency or disaster situations;</i>" that is to say, the areas must be better prepared.</p> <p>Mexico: Several pertinent audits were found for the assessment of the Indicator, but Audit 1091 is included as a verifier, conducted in 2009 by the Superior Auditor of the Federation (assisting entity of the Chamber of Deputies for the revision of Public Accounts, which possesses technical and management autonomy) to the National Water Commission (CONAGUA), responsible for preventing the risks caused by the hydrometeorological phenomena and responding to their effects.</p> <p>Costa Rica: Report N° DFOE-PGAA-IF-15-2009, Report on the Management of the National Commission for Risk Prevention and Emergency Management (CNE), on the subject of prevention, of September 3, 2009; and Report N° DFOE-PGAA-IF-17-2010, on the limitations of the CNE in the coordination, supervision and monitoring of emergency response in the rehabilitation and reconstruction phases, of July 15, 2010.</p>

Code: RR 3-3

Closed-ended question
3. Do the regulations that govern the formulation of development planning and land use (or similar), assign responsibilities for monitoring, evaluation and updates?
General description of the indicator
<p>This indicator is related to indicator RR 1C-3 and seeks to establish whether zoning regulations stipulate that territorial planning (TP) must be subject to monitoring, evaluation and updating.</p> <p>It analyzes the regulatory framework that determines these three responsibilities; that is to say, it does not question whether they are actually fulfilled in practice, but whether such responsibilities are regulated in the country.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework in force on land use planning. 2. Determine whether said regulatory framework establishes monitoring, evaluation and updating procedures. 3. Determine whether responsibilities are designated with regard to these procedures.
Description of the minimum required situation for positive conditions.
The same national regulatory framework on land use planning (or similar) must establish the responsibilities of monitoring, evaluation and updating.
Examples of positive conditions in countries in the Region
<p>Peru: Supreme Decree N° 087-2004-PCM, Regulation on Economic and Ecological Zoning (EEZ), of December 23, 2004, stipulates in its Article 24, on the monitoring, evaluation and updating stages that: <i>"Once the Economic and Ecological Zoning is applied, the EEZ must be monitored, evaluated and updated for the land use and occupation: at the national level, to the National Environmental Council (CONAM), at the regional level, to the Regional Governments, and at the local levels, to the Provincial Local Governments."</i> Moreover, the condition is complemented with Supreme Decree N° 004-2011-VIVIENDA, approving the "Regulation of Territorial Preparation and Urban Development," of June 17, 2011, in its Article 47, on Promotion and Monitoring Actions, which stipulates that it corresponds to the District Municipalities to carry out the promotion and monitoring actions aimed at compliance with the District Urban Plan.</p> <p>Panama: Law No. 6 of 2006, of February 1, 2006, that regulates territorial planning for urban development and dictates other provisions, establishes the responsibilities of monitoring (Article 8, numerals 2 and 3), evaluation (Article 8, numeral 4) and updating (Article 10, second and third paragraphs). Additionally, Law No. 61, of October 23, 2009, which reorganizes the Ministry of Housing and establishes the Vice-ministry of Territorial Planning, sets forth the mechanisms by which the Municipal Planning Boards and the MIVIOT shall monitor and comply with the Plans for Territorial Planning. NOTE: A mechanism is not established by which disaster risk is integrated as a determinant in land use regulation.</p> <p>Costa Rica: Law N° 4240, Law of Urban Planning, of November 15, 1968, reformed by Law No. 7015, of July 22, 1985, in its Preliminary Chapter defines Urban Planning as "... the continuous and comprehensive process of analyzing and developing urban development plans and regulations, aimed at procuring the security, health, comfort and well-being of the community." Likewise, it establishes in Article 3 that "In accordance with the previously-indicated objectives, the Institute shall prepare, revise and keep updated a National Urban Development Plan, in which the necessary elements are represented..." Lastly, it establishes in Chapter 2, Office of Urban Planning, in Article 7 "Create the Office of Urban Planning, ascribed to the Department of Urban Planning of the Institute, responsible for: 1) Creating the National Urban Development Plan, revising it to keep it updated and reporting on the status of its application..."</p>

Code: RR 3-4

Closed-ended question
<p><i>4. Do the regulations that govern watershed planning and management (or equivalent planning tool), assign responsibilities for their monitoring, evaluation and update?</i></p>
General description of the indicator
<p>As in the case of territorial planning, the (comprehensive) management of watersheds (or equivalent planning instrument) is a key element for prospective disaster risk management, especially in rural or peri-urban arenas.</p> <p>It is a good practice for these instruments to be regulated with parameters that enable their monitoring, evaluation and updating.</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework in force for watershed planning or water resource (or similar) management. 2. Determine whether said regulatory framework establishes monitoring, evaluation and updating procedures. 3. Determine whether responsibilities are designated with regard to these procedures.
Description of the minimum required situation for positive conditions
<p>The same national regulatory framework on watersheds (or similar) must establish the responsibilities of monitoring, evaluation and updating.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law N° 29228, "Regulation on the Water Resources Law," of January 2010, in its chapter IV, on "The Councils of Water Resources of the Basin," stipulates in Article 31, the functions of the Councils of Water Resources of the Basin, that of "Promoting the participation of regional governments, local governments, civil society and users of the watershed's water in the formulation, approval, implementation, monitoring, updating and evaluation of the Basin Water Resources Management Plan." Additionally, in the same article, section "f," this same committee must safeguard "compliance with the plan."</p> <p>Panama: In Executive Decree N° 479 of April 23, 2013, which regulates Law 44 of August 5, 2002, establishing the Special Administrative Regime for the management, protection and conservation of the watersheds of the Republic of Panama, in its Article 12 on the development of Management Plans, phases are stipulated in which responsibilities must be carried out for the monitoring, evaluation and updating of watersheds. <i>1. Formulation: Based on the assessment and scenarios of coordinated use of watershed resources defined in the Environmental Land Use Regulation Plan (POAT), the objectives, indicators, goals, programs, projects and strategies for the comprehensive management of watersheds is defined. 2. Execution: For the execution of the management plan, an operational plan shall be developed in which the infrastructure, human resources, technical and financial requirements to reach the proposed goals shall be defined; and 3. Follow-up and evaluation, including environmental and management indicators.</i></p>

Code: RR 3-5

Closed-ended question
<i>5. Has the national controlling entity or sector regulator performed at least one assessment on the implementation of risk reduction measures during the construction phase of infrastructure projects in the last 5 years?</i>
General description of the indicator
<p>This is a performance indicator related to carrying out assessments on the application of Risk Reduction (RR) measures, during the phase of construction of infrastructure projects.</p> <p>This indicator is prompted by indicator RR 1A-5, which analyzes whether RR measures ought to be identified in the phase of constructing public infrastructure projects. This indicator complements such analysis, looking at whether at least one assessment has been made on the fulfillment of this regulation in the last 5 years (in the event such regulation exists).</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Establish the competent national authority in monitoring the application of RR regulations in infrastructure projects. 2. Investigate the main projects (mega projects) of the last 5 years. 3. Determine whether in at least one of those projects, the competent entity assessed the application of RR measures during the construction phase.
Description of the minimum required situation for positive conditions
Verification of the existence of an assessment report by the competent entity on the application of RR measures during the phase of infrastructure projects construction in the last 5 years.
Examples of positive conditions in countries in the Region
Due to the difficulty in finding a good example in the Region, the following is a hypothetical situation to be used as a reference: In the case of large projects, the competent entity (Ministry of Public Works or similar or the national control body), must have evaluated, at least once in the last 5 years, the application of risk reduction measures during the phase of construction of infrastructure projects deemed strategic or of vital importance to the country (normally these are the type of projects incumbent upon the national level).

Closed-ended question
1. Are there regulations that establish an inter-institutional organization at the national level for the Disaster Preparedness?
General description of the indicator
The indicator looks for the establishment of an institutional entity or structure, at the national or federal level, responsible for disaster preparedness processes. This indicator values that countries have a regulatory framework stipulating the creation of a national inter-institutional organization, in order to concentrate all the available resources and coordinate institutional efforts to carry out emergency or Disaster Preparedness (DP) activities. These may be national Disaster Risk Management (DRM) regulations, national civil defense or protection regulations or any other legislation that regulates a body with those characteristics. Disaster Preparedness refers to all of the preparations undertaken: the planning, organization and testing of a society's disaster procedures and protocols; and of the response itself: the stage of executing the procedures and protocols and society's timely and appropriate assistance.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate whether there is specific national legislation regulating all DRM processes. 2. Investigate, in the absence of national DRM regulation, whether there are current national emergency laws, national DP regulations or those that create civil defense or protection institutions or systems. In many cases, countries have an out-of-date regulatory framework, usually solely covering aspects of DP, which is relevant for this question. 3. Verify whether the specific regulations establish a national and inter-institutional organization for the coordination of DP processes. The existence of an institution only for response is not sufficient to fulfil the condition.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulations must explicitly establish the creation of an organization whose operations and decisions are equally regulated, that is consistent with the participation of national or federal institutions, and complies with the required mechanism of responsibility for coordinating the DP processes.
Examples of positive conditions in countries in the Region
<p>Guatemala: National Coordinator for Reduction of Natural or Man-made Disasters Act (CONRED), approved by Decree N° 109-96, of December 9, 1996, in its Chapter I, Article 3, Functions, establishes that: <i>"The National Coordinator shall have the following functions: a) To establish mechanisms, procedures and standards that promote disaster reduction, through inter-institutional coordination throughout the entire country..."</i>. The same law stipulates in Article 38, Sub-secretariat of Risk Reduction Management, <i>"b) To strengthen and coordinate the internal disaster risk reduction system of CONRED's Executive Secretariat, comprised of the Divisions of the Comprehensive Management of Risk, Preparedness, Response, Mitigation, Recovery and of the Incident Commands System."</i> The Regulations of the CONRED Law, approved by Agreement N° 49-2012, provide a detailed description of the responsibilities of the Disaster Preparedness Divisions. Article 41 refers to the objectives and scope of the Preparedness Division, stipulating several capacities related to culture and training development and assigning the following specific responsibilities: <i>"f) To form, prepare, train, equip and give maintenance to the community disaster reduction teams - ECORED-, giving them appropriate certification and the respective follow-up," and "g) To provide technical assistance, organize, prepare, train and periodically maintain the Regional, Departmental, Municipal and Local Coordinating Agencies for Disaster Reduction..."</i>. And Article 42 of the CONRAD Law stipulates that <i>"The Response Division is responsible for ensuring adequate emergency management through the promotion and application of protocols and methodologies that facilitate the coordination, interaction and orderly activation of an established system..."</i>.</p> <p>Peru: Law N. 29664, creating the National Disaster Risk Management System (SINAGERD), of February 8, 2011, establishes in Article 1 that it is a decentralized, inter-agency and participatory system, among other attributes. Moreover, Article 1 includes disaster preparedness and relief as part of the system definition.</p> <p>Costa Rica: Law N° 8488, the National Emergency and Risk Prevention Act, of October 27, 2005, stipulates in Chapter III, Article 13, the creation of <i>"the National Commission for Risk Prevention and Emergency Assistance as a fully decentralized body."</i> Article 14, section "a" states that this is the governing institution in</p>

the matter of risk prevention and preparedness to address emergency situations. Article 17 defines the Integration of the Board of Directors, including the participation of the diverse sectors through their ministers, and Article 15 sets forth the Board's responsibilities among which is "*to dictate the general policies for the coordination of the National System...*" and "*to approve the general emergency plans,*" sections "b" and "g," respectively.

Code: DP 1A-2

Closed-ended question
<p>2. <i>Do the regulations that govern the Disaster Preparedness processes establish a mechanism, body or instrument for crisis management at the highest national political level?</i></p>
General description of the indicator
<p>When disaster situations, due to their extreme severity and intensity, provoke levels of crisis in government or society, they can lead to the adoption of <i>ad hoc</i> bodies for handling the existing situation. This generates conflicts with similar entities established within the Disaster Preparedness (DP) regulatory framework, such as the emergency operations centers. An added-value criterion of the regulation would be to establish a crisis management agency, which would be formed at the ministerial or secretariat level and organized in accordance with certain time periods and forms.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Work with the regulations identified in DP 1A-1. 2. Verify whether these specific regulations stipulate a mechanism for disaster crisis management at the highest national political level. This can be at the level of the Presidency of the Republic or the Presidency of the Council of Ministers, or a multi-agency structure presided over by actors from that political level.
Description of the minimum required situation for positive conditions
<p>In order to fulfil the condition in this question, the regulations must establish a disaster crisis management mechanism at the highest national political level.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law N. 29664, creating the National Disaster Risk Management System (SINAGERD), of February 8, 2011, in Article 11, establishes the functions of the National Council on Disaster Risk Management, which include "...coordination during a situation of imminent risk or impact...". The National Council is formed at the country's highest political level, including the Presidency of the Republic and the Presidency of the Council of Ministers.</p> <p>Guatemala: The Regulations of Law N° 109-96, National Coordinator for Reduction of Natural or Man-made Disasters Act adopted by Governmental Agreement N° 49-2012, on March 14, 2012, stipulates in Article 102: "High-level decisions. In cases of extreme severity, which require high-level decisions, the situation shall be presided over by the National Emergency Operations Center and the President of the Republic, and in their absence or by appointment, the Vice President of the Republic."</p>

Code: DP 1A-3

Closed-ended question
3. Do the regulations that govern the Disaster Preparedness processes establish the development of official protocols for the coordination of operations or incident commands?
General description of the indicator
The indicator looks for Disaster Preparedness (DP) regulations that stipulate official protocols for coordinating response efforts, which implies the specification of the operations, procedures, structure, responsibilities and leadership format, etc. This is a form of regulating and standardizing the response actions and operations, thus contributing to minimizing improvisation in response efforts. Such protocols can also include the modalities of the Emergency Operations Center (EOC) or the Incident Commands System (ICS). The EOC operates permanently, in a designated area, to coordinate efforts, to monitor and analyze information and to take action before, during and after an emergency or disaster. The ICS does not operate permanently and represents the combination of human and technical resources from different jurisdictions, under a unified procedure.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Use the regulations identified in indicator DP 1A-1. 2. Verify whether these regulations stipulate the formulation of coordination protocols or the modalities of EOC or ICS. 3. Look for, lower level legislative instruments, regulations, administrative standards or specific decrees.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, there must be a regulatory instrument that establishes the responsibility for developing coordination protocols for the DP processes.
Examples of positive conditions in countries in the Region
<p>Jamaica: The Disasters Preparedness and Emergency Management Act of 1993 mandate the development of the National Disaster Plan, in place since 1997, which includes the incident command protocols for coordinating response operations. Part 3 of the Plan describes the standard operating procedures for all responsible parties. In Chapter 9, Concept of Operations, different procedures are established. The Emergency Operations Center is created in the Prime Minister's Office, ODPEM.</p> <p>Costa Rica: Law N° 8488, National Emergency and Risk Prevention Act, of October 27, 2005, establishes in Chapter II, Risk Management Policy, Article 10, the coordinating bodies. Section "b" of the Article states the Technical-Operative bodies, which include the "<i>Emergency Operations Center</i>," defined as "... the permanent coordinating body, under the Commission, that brings together, at the national level, all the governmental institutions and agencies that work in the phase of first response to emergencies. It is responsible for preparing and performing, by means of pre-established procedures, coordinated response efforts during emergency situations...". Likewise, Article 12 establishes Emergency Preparedness to be carried out in workplaces and highly-populated locations, requiring them to establish an emergency prevention and relief plan that covers procedures and structure. And the National Risk Management Plan 2010-2015, Strategic Framework for the Application of Risk Management Policy, elaborated under Article 7 of Law N° 8488 and by which the National Commission for Risk Prevention and Emergency Response (CNE) is authorized to develop it, states: "4.6.6.2. <i>Strategic Objective. To create and promote the continuous improvement of the protocols, procedures and guidelines for the country's response to emergencies and disasters, with the purpose of building the capacity of institutions and the population through the effective organization, training, information and use of the mechanisms and instruments of warning, alarm and activation.</i>"</p>

Code: DP 1A-4

Closed-ended question
4. <i>Are there regulations that govern the implementation of temporary regime measures in the event of disaster, emergency or public calamity?</i>
General description of the indicator
When situations that are deemed extraordinary due to their severity or urgency, prompt declarations of state of public emergency, disaster or calamity, they may be a condition for activating a temporary regime of special measures, depending on what is stipulated by law. This temporary regime constitutes a legal solution for catastrophic circumstances that, due to their extreme characteristics, make it imperative to have unobstructed decision-making. This is done so that this tool can ensure, with respect to the ordinary regime, a considerable difference in management outcomes, in terms of loss of life and material damages. Activating or applying this regime, in accordance with the procedures and formalities established, would make it possible, for example, to ease restrictions and difficulties in acquiring the supplies needed by the population. It would likewise pave the way for emerging resolutions for the matter of land use, simplify the processes for accessing financial resources reserves and expedite hiring services, etc.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify whether the faculty or capacity to issue a declaration of public emergency, disaster or calamity, is set forth in the Constitution, and whether the corresponding special measures are also stipulated. And if not, identify whether that faculty or capacity exists independently of those declarations. 2. Verify, if applicable, whether the regulatory framework identified in indicator DP 1A-1 includes the declaration of disaster, emergency or public calamity situations. 3. Confirm that the regulations permit the activation of a temporary regime measures for the management of disaster situations.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulations must establish some mechanism that permits the activation of a temporary regime measures applicable to the management of the disaster situation.
Examples of positive conditions in countries in the Region
<p>Dominican Republic: Law No. 147-02, on Risk Management, of September 22, 2002, includes Chapter IV, Disaster Regime, in which Article 23 specifies the Declaration of a Disaster Situation: <i>"... With the prior recommendation of the National Emergency Commission, the President of the Republic shall declare a disaster situation by means of decree. And in the same act the President shall classify such event by its magnitude and effects, specify whether it is a national, provincial or municipal disaster, and set forth the relevant regulations of the special regime for disaster situations."</i> That special regime, established in Article 27, authorizes the President of Republic to <i>"approve and issue the administrative and regulatory standards on... 3. Special legal regime for disaster situations declared in the terms of the present law and during the rehabilitation and reconstruction phases in the following aspects... "</i></p> <p>Mexico: The Political Constitution of the United Mexican States published in 1917, states in Article 29 that in events that place society <i>"...in severe danger or conflict... only the President... in agreement with State Secretaries and the Attorney General of the Republic and with the approval of the Congress of the Union... can restrict or suspend, throughout the country or in a certain region, those rights and guarantees which may constitute obstacles to promptly and easily addressing the situation..."</i> Such suspension shall be temporary and general and be proportional to the danger, <i>"... and should observe the principles of legality, rationality, notification, publicity and non-discrimination..."</i> And Article 42, numerals II, IV, and V, of the Public Works Law and Acquisitions Law, sets forth the special measures corresponding to the case outlined in Article 29 of the Constitution.</p>

Code: DP 1A-5

Closed-ended question
<i>5. Do the regulations that govern Disaster Preparedness also establish the formulation of emergency or contingency plans at the national level?</i>
General description of the indicator
Generally, risk management regulations concerning disaster preparedness mandate the formulation of emergency or contingency plans at the national level.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations referenced in indicator DP 1A-1. 2. Verify whether these specific regulations mandate the formulation of emergency or contingency plans at the national level. 3. Analyze whether the development of emergency or contingency plans is considered an integral part of the formulation of the National Risk Management Plan.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled the responsibility or function of formulating emergency or contingency plans must be explicitly established at the national level.
Examples of positive conditions in countries in the Region
<p>Guatemala: The Regulations of Law N° 109-96, National Coordinator for Reduction of Natural or Man-made Disasters Act (CONRED), adopted by Governmental Agreement N° 49-2012, of March 14, 2012, stipulates in Article 42 that the Response Division: <i>"...is in charge of ensuring adequate emergency management..."</i>, and its responsibilities include that of: <i>"... f) Developing, complementing, updating and implementing the National Response Plan together with the Division of Comprehensive Disaster Risk Reduction Management and the Division of Institutional Planning and Development..."</i>.</p> <p>Dominican Republic: Law No. 147-02, on Risk Management, of September 22, 2002, includes the National Emergency Plan within the management policy instruments (Article 3, section 3). Article 7 stipulates that the National System of Disaster Prevention, Mitigation and Response is responsible for the function of <i>"... 11. Developing and updating emergency and contingency plans for the preparedness, response and rehabilitation of the population in the event of disaster."</i></p> <p>Peru: Law N. 29664 of February 8, 2011, creating the National Disaster Risk Management System (SINAGERD), in Article 19 establishes the National DRM Plan as an instrument of SINAGERD that integrates the processes of disaster estimation, prevention, reduction, preparedness, response, rehabilitation and reconstruction. The Regulations of the SINAGERD Law, approved by means of Supreme Decree N° 048-2011-PCM, of May 25, 2011 (PR 1A-5a), in Article 39, establish the obligation to develop specific plans for the DRM process. These include, b) preparedness plans and c) emergency operations plans.</p>

Closed-ended question
6. Do the regulations that govern the Disaster Preparedness processes establish that the response and humanitarian assistance actions should be based on damage assessments and needs analysis?
General description of the indicator
Disaster Risk Management (DRM) in countries, beyond aiming to attain a logical order of its processes, also seeks a reasonable use of the available resources and the institutional and sectorial efforts and synergies, in order to more efficiently fulfil its objectives. In that context, this indicator aims to determine whether the regulatory framework for Disaster Preparedness (DP) stipulates that activities related to response and humanitarian assistance must be planned and developed based on damage assessment and the subsequent needs analysis after the event.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Work with the regulations identified in indicator DP 1A-1. 2. Verify whether the DP regulations stipulate obligations with respect to DP activities, specifically with respect to the application of damage assessment and needs analysis criteria. 3. Examine, when applicable, the protocols and procedures of the entities that coordinate response efforts.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulations must stipulate that response and humanitarian assistance actions be based on damage assessments and needs analysis.
Examples of positive conditions in countries in the Region
<p>Costa Rica: Law N° 8488, National Emergencies and Risk Prevention Law, of October 27, 2005, in its Article 39, refers to the General Emergency Plan as "<i>... the planning instrument that establishes the effect of causality between the event that has occurred and the actions and investments made to address the emergency. It consists of a description of the event in question, the assessment of the damages and the estimation of the losses generated, classified by canton and sector. It also includes the specification of the actions that each institution must carry out, including those of the Commission, and details on the investment required for each of the phases of emergency relief, from the response to the reconstruction of the affected area.</i> Likewise, it establishes in Article 15, Extraordinary Competences of the Commission, that when an emergency is declared the Commission must plan, coordinate, direct and monitor actions aimed at resolving urgent needs, implementing programs and activities of protection, rescue and rehabilitation. The same Article defines the minimum actions that must be carried out, including the coordination of the emergency and of the damages assessment.</p> <p>Jamaica: The National Disaster Plan (1997) stipulates in its Annex A, Section 16.1, that aid must be distributed based on the damage assessment reports and needs analyses issued by the personnel or damage assessment committees.</p> <p>Colombia: Law 1523 of 2012, by which national disaster risk management policy was adopted and the National Disaster Risk Management System was established, stipulates in the sole paragraph of Article 35 that "<i>... the national emergency response strategy, as a disaster preparedness action that seeks effective inter-institutional performance, at the three levels of government, will primarily focus on the optimization of basic service provision during response, such as accessibility and transport, communications, damage assessment and needs analysis, health and basic sanitation, search and rescue, firefighting and hazardous materials handling, shelter and food, public services, security and coexistence, financial and legal aspects, public information, geographic information, general response management and state of alert definitions, among others</i>".</p>

Code: DP 1A-7

Closed-ended question
7. Do the regulations that govern the Disaster Preparedness processes establish the performance of drills and simulations?
General description of the indicator
Disaster Preparedness (DP) greatly benefits from the performance of systematic drills, simulations and exercises that test different procedures and protocols, in addition to the current emergency and contingency plans, thus enabling continuous improvement and the development of new and enhanced strategies and measures. This indicator recognizes the importance of having regulations that mandate such actions.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Work with the regulations identified in indicator DP 1A-1. 2. Verify whether these regulations mandate the performance of drills and simulations as part of the instruments or mechanisms to develop. 3. Examine, when applicable, the protocols and procedures of the entities that coordinate response efforts.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulations must establish responsibilities or functions for performing national drills and simulations.
Examples of positive conditions in countries in the Region
<p>Peru: Regulations of Law N. 29664, creating the National Disaster Risk Management System (SINAGERD), of May 25, 2011 , stipulates in its Article 9, numeral 9.4, "... that the INDECI must promote the standardization and coordination of the operating protocols of all entities that participate in the response process and the performance of drills and simulations, carry out the corresponding monitoring and propose corrective measures to the governing body."</p> <p>Guatemala: The Regulations of Law N° 109-96, of the National Coordinator for Reduction of Natural or Man-made Disasters Act (CONRED), adopted by Governmental Agreement N° 49-2012, of March 14, 2012, stipulates in Article 42, Response Division, that "...the promotion of table-top exercises and drills and the establishment of response plans for disaster risk reduction...". Additionally, Article 67, Functions and Responsibilities, mandates: "The Regional, Departmental, Municipal and Local Coordinating Bodies shall have the following functions and responsibilities: Section i): To carry out trainings, exercises, simulations and drills..."</p>

Closed-ended question
8. Are there regulations for the coordination of international assistance and mutual help in the event of disaster?
General description of the indicator
<p>Disaster Risk Management (DRM) and the national system or structure that upholds its application in countries, is based on the premise that in order to address the consequences of future disasters there is a permanent need for collaboration and contribution from all levels of government and the social and private sectors. Nonetheless, countries must ensure that their regulations provide for probable scenarios in which, due to the severity and intensity of events, it would be necessary to ask for aid and assistance from foreign governments or international organizations. Another scenario that regulations ought to contemplate is one in which even without formally requesting aid and assistance, it is received due to the own initiative of foreign governments. These hypothetical situations ought to be considered from the perspective of both a soliciting and receiving government.</p> <p>This indicator values that it is either national DRM legislation, that which regulates Disaster Preparedness (DP) activities or the diverse regulations to stipulate the faculties and competences for coordinating and monitoring international assistance and mutual aid in the event of disaster.</p> <p>As occurs with other matters, it is customary for this subject to become the object of multilateral or bilateral treaties, agreements and other instruments, in which the development of coordinated actions of international or regional response is proposed, and in which countries participate as signatories. Nevertheless, the conditions of this indicator shall not be considered fulfilled if the international instrument in question has not first been ratified, approved or confirmed in accordance with the formalities mandated by the constitution or corresponding regulations, and if, furthermore, it is not explicitly stipulated that this ratification, approval or confirmation signifies that the content of the instrument is granted status equal to that of the constitution, or higher or equal to that of national DRM legislation or that which regulates DP activities.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate whether there is national legislation in force that stipulates the coordination of international assistance and mutual aid in the event of disaster; this could be national DRM legislation, that which regulates DP activities or other distinct regulations. 2. Verify, in the event that no current national legislation of this type exists, whether the country has been a signatory of any bilateral or multilateral international law instruments with that same content. 3. Verify, if applicable, that this international instrument has been ratified, approved or confirmed in accordance with the formality established by the corresponding regulations; and that therefore, the instrument bears a status equal to that of the constitution, or equal or higher than that of national DRM regulation or that which regulates DP activities.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled there must be specific regulations that stipulate international coordination for organizing international assistance and mutual aid in the event of disaster; or, an international law instrument must have been ratified, approved or confirmed, and this international instrument must bear a status equal to that of the constitution, or higher or equal to that of national DRM regulation or that which regulates DP activities.
Examples of positive conditions in countries in the Region
<p>Peru: The Regulations of Law N° 29664, creating the National Disaster Risk Management System (SINAGERD), approved by Supreme Decree N° 048-2011-PCM, state in Article 9 the functions of the National Institute of Civil Defense (INDECI), and in numeral 9.6 emphasize that of "<i>Coordinating the participation of national and international cooperation entities and agencies for the processes or preparedness, response and rehabilitation.</i>" In Chapter IX: Mechanisms of international coordination and participation in regional humanitarian assistance entities and agreements that develop the concept and mechanisms of international and regional cooperation. Additionally, the Andean Strategy for Disaster Prevention and Relief (EAPAD), originally approved by decision N° 591 of the Andean Council of Foreign Affairs Ministers, on July 10, 2004, and subsequently endorsed and harmonized with the Hyogo Framework</p>

for Action in effect until 2015, by means of Decision N ° 713 of August 19, 2009, contains program 5.2, Harmonization of Protocols and Procedures of Mutual Assistance in the Andean Sub-Region. IN THIS CASE THE FIRST PART OF THIS EXPLANATION DOES NOT COINCIDE WITH THAT IN THE FINAL VERSION OF THE IGOPP FROM THE FTP, NEVERTHELESS THEY FIT WITHOUT A PROBLEM, IT IS SUGGESTED TO LEAVE IT AS IS

Guatemala: The National Coordinator for Reduction of Natural or Man-made Disasters Act (CONRED), approved by Decree N° 109-96, of December 9, 1996, stipulates in Article 19, Collaboration with other Countries, that "*The national coordinating body is authorized to offer collaboration in disaster situations to other countries, according to its means, particularly to those with Agreements or Treaties on the matter that are signed, approved and ratified by the State of Guatemala.*" The **Regulations of Law N° 109-96, The National Coordinator for Reduction of Natural or Man-made Disasters Act (CONRED), adopted by Governmental Agreement N° 49-2012, of March 14, 2012,** stipulates in Article 45: "... K. *At the moment a State of Calamity or Emergency is declared, the Humanitarian Aid and Assistance Coordination Center (CAAH) shall be involved, in accordance with the respective CCAH Manual for coordinating international aid and humanitarian assistance efficiently, effectively and promptly, following the internationally-established standards and procedures.*"

Code: DP 1B-1

Closed-ended question
<i>1. Do the regulations that govern the Disaster Preparedness processes mandate the establishment of emergency or contingency plans in the different sectors or ministries?</i>
General description of the indicator
Disaster Risk Management (DRM) is an interlinked set of processes that occur prior and subsequent to emergencies and disasters. These processes include the development of emergency or contingency plans. This indicator values that the regulations specify that the development of such plans is the responsibility of the different sectors, ministries or secretariats in the scope of their powers.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Work with the regulations identified in indicator DP 1A-1. 2. Verify whether they stipulate the development of emergency or contingency plans at the sectorial, ministry or secretariat level. 3. Review, when applicable, the development of national DRM plans or similar.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the national DRM legislation or that regulating DP actions, must establish responsibilities or functions on the development of emergency or contingency plans in the country's diverse sectors, secretariats or ministries.</p> <p>Occasionally, it is possible that some sectors have already developed their emergency plans. Nevertheless, what the indicator looks for is existing regulations that stipulate the development of such plans.</p>
Examples of positive conditions in countries in the Region
<p>Jamaica: The Disaster Preparedness and Emergency Management Act (1993), in Section 5, requires the development and testing of the emergency response plans by the competent public agencies, including emergency services, security forces, private sector and volunteer agencies. The governing entity of the national emergency system, the Office of Disaster Preparedness and Emergency Management (ODPEM), is entrusted with identifying any contingency that could occur in the area of responsibility of each ministry or public entity, and jointly preparing with said entity a plan to mitigate or respond to the identified contingencies.</p> <p>Peru: The Regulations of Law of SINAGERD, approved by Supreme Decree N° 048-2011-PCM, of May 25, 2011, establishes in Article 39 the obligation of public entities to develop emergency operations plans and contingency plans.</p> <p>Panama: Law N°7, which reorganizes the National Civil Protection System (SINAPROC), of February 11, 2005, in Chapter II lists the functions of SINAPROC. In Article 5, numeral 3, it stipulates the function of <i>"Formulating and testing vulnerability reduction and risk management strategies and plans, in each of the social and economic sectors, in order to protect the population, production, infrastructure and environment."</i> Moreover, Executive Decree N° 177, of April 30, 2008, which regulates Law 7, of February 11, 2005, stipulates in Article 17 that <i>"Institutions, whether public or private, must formulate the plans necessary to prevent and mitigate risks and intervene in the event of emergencies or disasters in accordance with the scope of their work."</i></p>

Code: DP 1B-2

Closed-ended question
<p>2. <i>Do the regulations that govern the Disaster Preparedness processes, foresee the implementation and operation of surveillance or warning systems for natural hazardous phenomena occurs?</i></p>
General description of the indicator
<p>Monitoring and early warning systems for natural hazard events have shown to greatly reduce loss of life and property in the countries or areas where they are implemented. Consequently, it is considered a quality criterion for national DRM legislation or that which regulates Disaster Preparedness (DP) actions, to stipulate the development and implementation of these instruments.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Work with the regulations identified in indicator DP 1A-1. 2. Verify whether these regulations stipulate the development and implementation of monitoring or early warning systems of hazardous events.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the regulation must explicitly stipulate the development and implementation of monitoring or early warning systems for natural hazard events.</p>
Examples of positive conditions in countries in the Region
<p>Mexico: The General Law of Civil Defense, of June 6, 2012, stipulates that the executive coordination of SINAPROC, which corresponds to the Ministry of the Interior, by means of the National Coordination entity, shall be responsible, pursuant to Article 19, section IX, for "... <i>Developing and, when applicable, operating detection, surveillance, prediction and warning systems, in coordination with the agencies responsible, and incorporating the efforts of other public or private surveillance networks...</i>". Although Article 24 identifies concrete responsibilities in the scope of CENAPRED, Article 25 stipulates that it is not the exclusive task of the National Coordination of Civil Protection and of CENAPRED, but that the different authorities may carry out "... <i>projects, studies and investments to expand and modernize coverage of the systems that measure the diverse natural and anthropogenic disruptive events...</i>".</p> <p>Peru: The Regulations of Law N. 29664, creating the National Disaster Risk Management System (SINAGERD), of May 25, 2011, states in Article 9, section 9.5, that the National Institute of Civil Defense (INDECI) "... <i>must promote the installation and updating of the systems of early warning and the means of disseminating and communicating emergencies and disasters to the population.</i>"</p> <p>Guatemala: The Regulations of Law N° 109-96, The National Coordinator for Reduction of Natural or Man-made Disasters Act (CONRED), adopted by Governmental Agreement N° 49-2012, of March 14, 2012, stipulates in Article 90, Early Warning Systems, that: "<i>The Coordinating bodies shall launch, implement, operate and give maintenance to the early warning system with the participation of communities, with the objective of establishing warning and notification mechanisms aimed at reducing the impact of disasters...</i>".</p>

Code: DP 1B-3

Closed-ended question
<p>3. <i>Do the environmental sector regulations define the responsibility to carry out Disaster Preparedness activities in the scope of its powers?</i></p>
General description of the indicator
<p>Disaster Risk Management (DRM) requires the permanent collaboration and contribution of the different sectors of national, central or federal public administration, of all other levels of government, and of the social and private sectors. This indicator values that the sectors' different regulatory frameworks stipulate competences and functions so that DP activities are carried out from each sector's area of focus. This is explicit acknowledgement that responsibilities in this DP process do not solely belong to the national body responsible for DRM or DP.</p> <p>This indicator is justified due to the benefits of having the environmental sector authorized by its legal framework to perform DP activities, in light of the sector needs that would arise from future emergencies or disasters.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework of the country's environmental sector. 2. Verify whether that regulatory framework stipulates competencies so that the environmental sector conducts DP actions in its field. 3. Additionally, verify whether the environmental sector has a formally-approved disaster preparedness sectorial plan in force.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the regulatory framework of the environmental sector must stipulate the competencies and functions to conduct DP activities in its field.</p>
Examples of positive conditions in countries in the Region
<p>El Salvador: General Regulations of the Law of the Environment. Decree 17 of March 23, 2000. Title V. Environmental risks and disasters. Art. 76. It states that the Ministry of the Environment must establish an environmental prevention and contingency plan.</p> <p>Dominican Republic: Law No. 64-00, on the Environment and Natural Resources, enacted on August 18, 2000, mandates in Article 18 that the Ministry of Environment and Natural Resources is responsible for the following functions: "... 20. <i>To evaluate, follow-up and supervise the monitoring of environmental risk factors and of those which may provoke natural disasters and to carry out, directly or in coordination with other pertinent institutions, actions aimed at preventing emergencies or impeding the expansion of their effects...</i> Art. 77. - <i>All State entities and private institutions shall develop training activities for their personnel on the contingency plans that would be adopted in the event of an environmental disaster, and for which proper institutional coordination shall be established, especially with Civil Protection...</i>".</p> <p>Mexico: The General Law of Ecological Balance and Environmental Protection, of January 28, 1988, mandates in its Article 5, section VII, that the Federation shall have the faculty to participate "... <i>in the prevention and control of environmental emergencies and contingencies, according to the civil defense policies and programs established for such purpose...</i>". Articles 7 and 8 repeat the faculties contained in Article 5, but with respect to the states and municipalities. Furthermore, the General Law for Sustainable Forest Development, of February 25, 2003, stipulates in its Article 15, section XI, that municipalities shall participate and help in "... <i>wildfire prevention and fighting in coordination with the federal and state governments, and participate in general relief for forest emergencies and contingencies, in accordance with the civil defense programs.</i>"</p>

Code: DP 1B-4

Closed-ended question
<p>4. Do the agriculture sector regulations define the responsibility to carry out Disaster Preparedness activities in the scope of its powers?</p>
General description of the indicator
<p>Disaster Risk Management (DRM) requires the permanent collaboration and contribution of the different sectors of national, central or federal public administration, of all other levels of government, and of the social and private sectors. This indicator values that the sectors' different regulatory frameworks stipulate competences and functions so that DP activities are carried out from each sector's area of focus. This is explicit acknowledgement that responsibilities in this DP process do not solely belong to the national body responsible for DRM or DP.</p> <p>This indicator is justified due to the benefits of having the agriculture sector authorized by its legal framework to perform DP activities, in light of the sector needs that would arise from future emergencies or disasters.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework of the country's agriculture sector. 2. Verify whether that regulatory framework stipulates competencies so that the agriculture sector conducts DP actions in its field. 3. Additionally, verify whether the agriculture sector has a formally-approved disaster preparedness sectorial plan in force.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the regulatory framework of the agriculture sector must stipulate the competencies and functions to conduct DP activities in its field.</p>
Examples of positive conditions in countries in the Region
<p>Dominican Republic: Resolution No. 34-11 of the Ministry of Agriculture, of June 13, 2011, stipulates in its Article 5 that <i>"The mission of the department shall be to provide guidance to management and to coordinate with the entity of the National System for Prevention, Mitigation and Response, to implement risk prevention and reduction and to facilitate the organization of emergency response, rehabilitation and reconstruction in the event of disaster, incorporating Disaster Risk Management in the planning of the Dominican farming sector..."</i>. In Art. 6 the Department's specific functions are defined, including that of <i>"... d) Developing and implementing national contingency plans to protect agricultural producers and their economic and social assets."</i></p> <p>Peru: The agriculture sector has the Plan for Emergency and Disaster Prevention and Relief of the Agriculture Sector, approved by Supreme Resolution N° 059-2008-AG, of November 10, 2008. This plan defines the Disaster Preparedness activities.</p> <p>Guatemala: In August 2001, the Ministry of Agriculture, Livestock and Food (MAGA) published the Emergency Plan for the Prevention and Mitigation of Damages Caused by Natural Disasters, which updates the first National Emergency Plan developed in 2000 and formally presented to CONRED that same year. MAGA's 2001 Emergency Plan is designed based on Decree 109-96 of the Congress of the Republic, for the creation of the National Coordinator for Disaster Reduction, which requires that MAGA, in addition to its primary and supporting functions within the Multisectorial Management System for Risk and Disaster Prevention and Mitigation, internally develop, coordinate and activate an Emergency Plan that specifically addresses the matters within its scope of competence. The Plan's mission is to coordinate the mobilization of MAGA resources for the preparation, prevention and mitigation of damages caused by natural or provoked events that affect the population in rural areas and/or the productive agriculture and forestry base that falls</p>

under the Ministry's scope. The specific objectives of the Plan (pg.18) include responsibilities for disaster preparedness activities within the scope of MAGA's competence. Additionally, MAGA developed the Protocols of Action of the Natural Disaster Emergency Plan, of the Geographic Planning and Risk Management Unit of MAGA of September 2003 (DP-1B-4a). The following protocols are established for disaster relief:

- Protocol No. 1. Protocol of action for drought
- Protocol No. 2. Protocol of action for freeze
- Protocol No. 3: Protocol of action for hurricane
- Protocol No. 4: Protocol of action for
- Protocol No. 5. Protocol of action for landslide
- Protocol No. 6. Protocol of action for volcanic eruption
- Protocol No. 7: Protocol of action for forest fire
- Protocol No. 8: Protocol of action for phytosanitary diseases and pests
- Protocol No. 9. Protocol of action for red tide
- Protocol No. 10 Protocol of action of the MAGA liaison officer with CONRED

Code: DP 1B-5

Closed-ended question
5. <i>Do the health sector regulations define the responsibility to carry out Disaster Preparedness activities in the scope of its powers?</i>
General description of the indicator
<p>Disaster Risk Management (DRM) requires the permanent collaboration and contribution of the different sectors of national, central or federal public administration, of all other levels of government, and of the social and private sectors. This indicator values that the sectors' different regulatory frameworks stipulate competences and functions so that DP activities are carried out from each sector's area of focus. This is explicit acknowledgement that responsibilities in this DP process do not solely belong to the national body responsible for DRM or DP.</p> <p>This indicator is justified due to the benefits of having the health sector authorized by its legal framework to perform DP activities, in light of the sector needs that would arise from future emergencies or disasters.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework of the country's health sector. 2. Verify whether that regulatory framework stipulates competencies so that the health sector conducts DP actions in its field. 3. Additionally, verify whether the health sector has a formally-approved disaster preparedness sectorial plan in force.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulatory framework of the health sector must stipulate the competencies and functions to conduct DP activities in its field.
Examples of positive conditions in countries in the Region
<p>Peru: The National Environmental Health Policy 2011-2020 of the Ministry of Health, approved by Ministerial Resolution N° 258-2011-MINSA, of April 4, 2011, stipulates in its sixth policy, on page 31, that <i>"...a set of mechanisms and plans that articulate the response to possible emergencies and disasters from environmental health operations shall be implemented, defining Environmental Management mechanisms that can be appropriate and effective during situations of this type..."</i>.</p> <p>Panama: Executive Decree No. 1302, of November 22, 2011, which develops the National Health Policies and their Strategic Guidelines and which issues other provisions, establishes in Article 4 that Health Policies shall be implemented for quinquennial periods. In 2010, the Ministry of Health issued the National Health Policy and Strategic Guidelines 2010-2015, which include in Strategic Objective 3.4: <i>"To reduce the vulnerability to natural disasters, anthropic emergencies and the effects of climate change, with early planning, prevention, mitigation, preparation, response and rehabilitation in order to reduce the impact of adverse effects on public health, promoting inter-agency collaboration at the national level,"</i> specifying in Line of Action 3.4.1: <i>"Development of contingency plans in health facilities, in accordance with the identified risk factors at the local, regional and national levels."</i></p> <p>Colombia: Decree 205 of 2003, by which the objectives, organic structure and functions of the Ministry of Social Protection (today, the Ministry of Health and Social Protection) are determined and other regulations are established, stipulates the Ministry Objectives in Article 1: <i>"... for the public policies of the Social Protection System to be established through the identification and implementation, when necessary, of strategies for the reduction, mitigation and overcoming of the risks stemming from natural, environmental, social and economic sources and those related to the labor market, life cycle and health, within the framework of the Ministry's powers."</i> Subsequently, in Article 16, on the functions of the Vice-Ministry of Health and Welfare, number 13 states: <i>"To coordinate emergency and disaster prevention and relief with the departments, districts and/or municipalities, according to the case."</i> In compliance with this regulatory framework, the Ministry of Health develops Contingency Plans for emergencies or disasters declared by the SNGRD. The most recent plan published by the sector was the <i>"Health Sector Contingency Plan for the 2011 Winter Season of Colombia."</i></p>

Code: DP 1B-6

Closed-ended question
<p>6. Do the housing sector regulations define the responsibility to carry out Disaster Preparedness activities in the scope of its powers?</p>
General description of the indicator
<p>Disaster Risk Management (DRM) requires the permanent collaboration and contribution of the different sectors of national, central or federal public administration, of all other levels of government, and of the social and private sectors. This indicator values that the sectors' different regulatory frameworks stipulate competences and functions so that DP activities are carried out from each sector's area of focus. This is explicit acknowledgement that responsibilities in this DP process do not solely belong to the national body responsible for DRM or DP.</p> <p>This indicator is justified due to the benefits of having the housing sector authorized by its legal framework to perform DP activities, in light of the sector needs that would arise from future emergencies or disasters.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework of the country's housing sector. 2. Verify whether that regulatory framework stipulates competencies so that the housing sector conducts DP actions in its field. 3. Additionally, verify whether the housing sector has a formally-approved disaster preparedness sectorial plan in force.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the regulatory framework of the housing sector must stipulate the competencies and functions to conduct DP activities in its field.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The housing sector has an Emergency Operations Plan, approved by Ministerial Resolution N° 026-2010-VIVIENDA on February 11, 2010. The Plan establishes the disaster preparedness activities that must be carried out.</p> <p>Costa Rica: National Housing and Human Settlements Policy 2012-2030; the General Objective of the Ministry of Housing and Human Settlements is: "<i>To foster the establishment of human settlements in safe areas and with a view to sustainability, increasing the capacity to effectively address emergencies.</i>" The explicit phrase, "to increase the capacity to effectively address emergencies," is considered a mandate for preparedness.</p>

Closed-ended question
7. Do the education sector regulations define the responsibility to carry out Disaster Preparedness activities in the scope of its powers?
General description of the indicator
<p>Disaster Risk Management (DRM) requires the permanent collaboration and contribution of the different sectors of national, central or federal public administration, of all other levels of government, and of the social and private sectors. This indicator values that the sectors' different regulatory frameworks stipulate competences and functions so that DP activities are carried out from each sector's area of focus. This is explicit acknowledgement that responsibilities in this DP process do not solely belong to the national body responsible for DRM or DP.</p> <p>This indicator is justified due to the benefits of having the education sector authorized by its legal framework to perform DP activities, in light of the sector needs that would arise from future emergencies or disasters.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework of the country's education sector. 2. Verify whether that regulatory framework stipulates competencies so that the education sector conducts DP actions in its field. 3. Additionally, verify whether the education sector has a formally-approved disaster preparedness sectorial plan in force.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulatory framework of the education sector must stipulate the competencies and functions to conduct DP activities in its field.
Examples of positive conditions in countries in the Region
<p>Colombia: Law 115 of 1994, by which the General Education Act is enacted, states in Article 5 the educational objectives, including in number 10, <i>"The development of a commitment to the preservation, protection and improvement of the environment, of the quality of life, of the rational use of natural resources and of disaster prevention, within a framework of an ecological and risk management culture oriented towards the protection of the national cultural heritage.</i> Specifically, with regard to response preparedness, Ministerial Directive N° 12 of 2009, to Secretariats of Education of the Certified Territorial Entities, on the continuity of education service delivery during emergency situations (DP-1B-7b), stipulates in its introduction that those secretariats <i>"... must participate in the regional and local committees for disaster prevention and response"</i> (now called Territorial Committees on Risk Management), in order to <i>"... develop local emergency and contingency plans."</i></p> <p>Peru: The education sector has an Anti-Seismic Education Plan - 2010, approved by Board Resolution N° 0463 2010 ED, of June 2, 2010, which establishes a set of preparedness activities that must be carried out in each educational institution in the country in order for them to have the ability to handle the effects of an earthquake.</p> <p>Mexico: The Secretary of Public Education has the Safe School Program, whose actions include a Manual of School Safety, published in 2011, containing guidelines so that the Civil Protection and School Safety Committee of the School Council for Social Participation, can specify the prevention and disaster preparedness activities to be carried out during moments of crisis. The Manual states: <i>"The School Safety Project is a tool used to establish the foundations, guidelines, procedures, actions and strategies to follow in emergency and vulnerable situations, and as such must be based on an assessment of the problems, risks and strengths of each primary school, in order to develop its School Safety Agenda, for schools participating in the Safe School Program, as a component of its Annual Job Planning."</i> On the issue of preparedness, the</p>

Manual states: *"i) form a team to develop the Map of Risks, with the participation of members of the scholastic community, education authorities and specialists; ii) establish a commitment of those involved in risk detection, understanding and prevention, and in emergency relief and crisis management activities; iii) establish a common reference framework: what we understand by risk, hazard, factor of protection, vulnerability, damages, etc.; iv) define the area where risks shall be determined (for example, the school and within a three block radius of it, including main access roads, etc..)"* Agreement No. 535, published on June 8, 2010, whereby the general guidelines for the operation of the School Councils for Social Participation are issued, provides a legal basis for forming these Committees within the structure of the School Councils for Social Participation (Chapter III, Article 6).

Costa Rica: Executive Decree N° 36451 - Administrative Organization of the Central Offices of the Secretary of Public Education, of February 7, 2001, stipulates in Article 41, the functions of the Internal Control and Risk Management Division, including "... f) *To coordinate with the Regional Departments of Education and educational centers in the development of programs and action plans to prevent disaster and social risks or to diminish their likelihood of occurrence and impact. ... h) To coordinate with the offices of the corresponding Ministry of Public Education, in the development and operation of emergency committees and work teams that promote the observance of the policies, objectives, goals and action plans defined by the Ministry of Education and coordinated with external entities responsible for emergency relief and prevention.*"

Code: DP 1B-8

Closed-ended question
<p>8. <i>Do the tourism sector regulations define the responsibility to carry out Disaster Preparedness activities in the scope of its powers?</i></p>
General description of the indicator
<p>Disaster Risk Management (DRM) requires the permanent collaboration and contribution of the different sectors of national, central or federal public administration, of all other levels of government, and of the social and private sectors. This indicator values that the sectors' different regulatory frameworks stipulate competences and functions so that DP activities are carried out from each sector's area of focus. This is explicit acknowledgement that responsibilities in this DP process do not solely belong to the national body responsible for DRM or DP.</p> <p>This indicator is justified due to the benefits of having the tourism sector authorized by its legal framework to perform DP activities, in light of the sector needs that would arise from future emergencies or disasters.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework of the country's tourism sector. 2. Verify whether that regulatory framework stipulates competencies so that the tourism sector conducts DP actions in its field. 3. Additionally, verify whether the tourism sector has a formally-approved disaster preparedness sectorial plan in force.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the regulatory framework of the tourism sector must stipulate the competencies and functions to conduct DP activities in its field.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The Emergency Operations Plan of the Tourism and Foreign Trade Sector, approved by Ministerial Resolution N° 054-2008 MINCETUR-DM of March 31, 2008, with the following General Objective: "<i>... to define actions and activities aimed at organizing MINCETUR's human and material resources for emergency relief in the sectorial institutional scope.</i>"</p>

Code: DP 1B-9

Closed-ended question
<p>9. Do the transport sector regulations (or equivalent) define the responsibility to carry out Disaster Preparedness activities in the scope of its powers?</p>
General description of the indicator
<p>Disaster Risk Management (DRM) requires the permanent collaboration and contribution of the different sectors of national, central or federal public administration, of all other levels of government, and of the social and private sectors. This indicator values that the sectors' different regulatory frameworks stipulate competences and functions so that DP activities are carried out from each sector's area of focus. This is explicit acknowledgement that responsibilities in this DP process do not solely belong to the national body responsible for DRM or DP.</p> <p>This indicator is justified due to the benefits of having the transport sector authorized by its legal framework to perform DP activities, in light of the sector needs that would arise from future emergencies or disasters.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulatory framework of the country's transport sector. 2. Verify whether that regulatory framework stipulates competencies so that the transport sector conducts DP actions in its field. 3. Additionally, verify whether the transport sector has a formally-approved disaster preparedness sectorial plan in force.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the regulatory framework of the transport sector must stipulate the competencies and functions to conduct DP activities in its field.</p>
Examples of positive conditions in countries in the Region
<p>El Salvador: Executive Agreement N° 331, of 2010. It creates the Division of Climate Change Adaptation and Strategic Risk Management (DACGER), with direct disaster preparedness responsibilities within the Ministry of Public Works, Transport, Housing and Urban Development.</p> <p>Peru: The Emergency Operations sectorial Plan of the Ministry of Transport and Communications, of December 12, 2008, approved by Ministerial Resolution N° 900-2008-MTC 01, defines the sector's disaster preparedness activities and responsibilities. It is in force indefinitely. (NOTE: The text of the Plan is integrated into the resolution).</p> <p>Dominican Republic: Departmental Order No. 76/01 of the Ministry of Public Works and Communications, which created the Department of Environmental and Risk Management, of August 21, 2001, stipulates in Article 4, that the Risk Section is responsible for: "d) <i>Ensuring implementation of the operational manual for disasters, especially in PMR actions</i>"; e) "Directing the tasks of updating the operational disaster emergency manual of the SEOPC."</p> <p>Mexico: The sectorial Program of Communications and Transport 2007-2012, of January 18, 2008, stipulates for the transport sector, specifically in highway and trucking infrastructure, the disaster preparedness responsibilities, in what they call emergency programs. Namely, the lines of action under Objective 1.1.2, of Strategy I "To improve the reconstruction works, the periodic and routine conservation of the toll free federal network, with the support of conservation management systems in order to optimize resources and improve the quality of the works," for Highway Infrastructure, and the lines of action under Strategy 2: "To develop capacities in federal trucking to adapt to adverse climate effects in a spontaneous and and orderly fashion."</p>

Code: DP 1B-10**Closed-ended question**

10. Do the water and sanitation sector regulations (or equivalent) define the responsibility to carry out Disaster Preparedness activities in the scope of its powers?

General description of the indicator

Disaster Risk Management (DRM) requires the permanent collaboration and contribution of the different sectors of national, central or federal public administration, of all other levels of government, and of the social and private sectors. This indicator values that the sectors' different regulatory frameworks stipulate competences and functions so that DP activities are carried out from each sector's area of focus. This is explicit acknowledgement that responsibilities in this DP process do not solely belong to the national body responsible for DRM or DP.

This indicator is justified due to the benefits of having the water and sanitation sector (or equivalent) authorized by its legal framework to perform DP activities, in light of the sector needs that would arise from future emergencies or disasters.

Steps to follow to obtain the required information

1. Identify the regulations of the country's water and sanitation sector (or equivalent).
2. Verify whether that regulatory framework stipulates competencies so that the water and sanitation sector conducts DP actions in its field.
3. Additionally, verify whether the water and sanitation sector has a formally-approved disaster preparedness sectorial plan in force.

Description of the minimum required situation for positive conditions

In order for the condition in this question to be fulfilled, the regulatory framework of the water and sanitation sector (or equivalent) must stipulate the competencies and functions to conduct DP activities in its field.

Examples of positive conditions in countries in the Region

Peru: Resolution of the Board of Directors of the National Superintendence of Sanitation Services N° 011-2007-SUNASS-CD, of February 2, 2007, stipulates the "Regulation of Quality in Sanitation Services Provision" in which annex 5 specifies the measures that Service Providers must adopt during risk and disaster situations, mandating companies to have a contingency plan based on a previous assessment as well as preventive actions. Additionally, Supreme Decree 004-2013-VIVIENDA establishes a support network of water and sanitation service providers, with the purpose of fostering cooperation among these entities during disaster situations or contingencies. This network is likewise the means through which support from the Ministry would be directed for such matters.

Jamaica: The National Water Commission (NWC) has developed a Hurricane Preparation Plan for companies that describe the disaster preparedness procedures that they must adopt in order to reduce disaster risks. The Plan also specifies the roles and responsibilities of the different individuals and departments.

Colombia: Decree 3571 of 2011, which establishes the objectives, structure and functions of the Ministry of Housing, City and Territory and integrates the Administrative Sector of Housing, City and Territory, sets forth the functions of the Vice-Ministry of Water and Sanitation in Article 19, number 16: *"To support the management of the risk associated with the public service of drinking water and basic sanitation, within the framework of the National Disaster Prevention and Relief System (today SNGRD)."* It subsequently defines a series of specific actions for carrying out this responsibility. Additionally, the technical standard of the drinking water and basic sanitation sector, RAS-2000, approved through Resolution N° 1096 of November 17, 2000, requires compulsory compliance. It defines vulnerability analysis and the concept of risk scenarios as foundations for the formulation of "contingency plans" for the drinking water and basic sanitation systems (contingency plans are mandated in Article 201).

Closed-ended question
<i>11. Do the telecommunication sector regulations (or equivalent) define the responsibility to carry out Disaster Preparedness activities in the scope of its powers?</i>
General description of the indicator
<p>Disaster Risk Management (DRM) requires the permanent collaboration and contribution of the different sectors of national, central or federal public administration, of all other levels of government, and of the social and private sectors. This indicator values that the sectors' different regulatory frameworks stipulate competences and functions so that disaster DP activities are carried out from each sector's area of focus. This is explicit acknowledgement that responsibilities in this DP process do not solely belong to the national body responsible for DRM or DP.</p> <p>This indicator is justified due to the benefits of having the telecommunications sector (or equivalent) authorized by its legal framework to perform DP activities, in light of the sector needs that would arise from future emergencies or disasters.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the country's regulatory framework of the telecommunications sector (or equivalent). 2. Verify whether that regulatory framework stipulates competencies so that the telecommunications sector (or equivalent) conducts DP actions in its field. 3. Additionally, verify whether the telecommunications sector has a formally-approved disaster preparedness sectorial plan in force.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulatory framework of the telecommunications sector (or equivalent) must stipulate the competencies and functions to conduct DP activities in its field.
Examples of positive conditions in countries in the Region
<p>Panama: Executive Decree No. 73, of April 9, 1997, regulating Law No. 31 of February 8, 1996 and establishing regulations for the telecommunications sector in the Republic of Panama, stipulates the development of operations and business continuity plans in the event of disaster.</p> <p>Costa Rica: In the National Telecommunications Development Plan (PNDT) 2009-2014, of the Ministry of Environment, Energy and Telecommunications, Section 4.4.3, Focuses of the PNDT, includes the following: "Telecommunications... a.7 To secure a telecommunications platform with environmental quality, as minimal an impact on the environment as possible, and that contributes to the conservation of the environment and the prevention and mitigation of the effects of natural disasters." Moreover, "Environmental Focus 5.1.3. Objective 3. To guarantee the possibilities offered by Information and Communications Technologies (ICTs) to improve the country's environmental quality, which includes measures on the prevention and mitigation of, and adaptation to, natural disasters". Objectives for the development of an information society: "To develop platforms for the electronic management of disaster processes and to create emergency response systems, in order to provide medical and humanitarian assistance." Lines of Strategy: Telecommunications Security: "a. To create the Master Plan for Operations Continuity, which will dictate the physical and logical security measures of networks and services. Specific Objective No. 2: To ensure continuity of service. Actions and Measures "a. Have alternative telecommunications services to the networks in operation, in order to address instances of national emergency. b. Guarantee the availability of the 9-1-1 emergency service. c. Establish the procedures by which the Government shall communicate the usage measures of, or assume temporarily, telecommunications services or the use of networks, in emergency situations."</p> <p>Chile: Law No. 20478, On recovery and continuity in critical and emergency conditions within the public telecommunications system (2010), from the Ministry of Transportation and Telecommunications, states in Article 39"A. The Ministry, by means of the Undersecretary of Telecommunications, shall develop a protection plan for the country's critical telecommunications infrastructure, in order to ensure continuity of communications in emergency situations resulting from natural phenomena, generalized electrical failures or other disaster situations....".</p>

Closed-ended question
12. Do the energy sector regulations (or equivalent) define the responsibility to carry out Disaster Preparedness activities in the scope of its powers?
General description of the indicator
<p>Disaster Risk Management (DRM) requires the permanent collaboration and contribution of the different sectors of national, central or federal public administration, of all other levels of government, and of the social and private sectors. This indicator values that the sectors' different regulatory frameworks stipulate competences and functions so that disaster DP activities are carried out from each sector's area of focus. This is explicit acknowledgement that responsibilities in this DP process do not solely belong to the national body responsible for DRM or DP.</p> <p>This indicator is justified due to the benefits of having the energy sector (or equivalent) authorized by its legal framework to perform DP activities, in light of the sector needs that would arise from future emergencies or disasters.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations of the country's energy sector (or equivalent). 2. Verify whether that regulatory framework stipulates competencies so that the energy sector (or equivalent) conducts DP actions in its field. 3. Additionally, verify whether the energy sector has a formally-approved disaster preparedness sectorial plan in force.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulatory framework of the energy sector (or equivalent) must stipulate the competencies and functions to conduct DP activities in its field.
Examples of positive conditions in countries in the Region
<p>Colombia: Resolution 180398, of April 7, 2004, by means of which the Ministry of Mines and Energy adopts the Technical Regulations for Electrical Installations (RETIE) of the Republic of Colombia, last updated on August 30, 2013 (Resolution 90708). The RETIE stipulates in Article 7 that all companies of the Colombian electrical sector must comply with a series of security regulations, including: <i>"to organize and develop an Emergency Plan covering the following branches: (i) preventive, (ii) passive or structural and (iii) active or of emergency monitoring."</i></p> <p>Dominican Republic: Law No. 125-01, General Law of Electricity, of July 26, 2001 and modified by Law No. 186-07, of August 6, 2007, stipulates in Article 102 that in the event of <i>"... public calamity and/or national emergency, the State may assume responsibility for the administration of the electrical companies, provisionally, for the duration of the situation that led to such intervention, paying the concessionaire an indemnification or compensation, that shall be determined based on the average profits the company would have earned."</i> Decree No. 555-02, Regulation for the Application of Law No. 125-01, General of Electricity, the 19 of July of the 2002, and modified by the Decree No 494-07, of August 30, 2007, establishes in Article 106 that <i>"The Electrical Companies are required to provide the SIE and the OC, before March 30th of each year, with their contingency plans for addressing the possible atmospheric phenomena that could occur during the hurricane season, which lasts from June first (1st) until November thirtieth (30th) each year"...</i> <i>"PARAGRAPH. The OC shall develop the procedures for the emergency operations system during the hurricane season, taking the aforementioned contingency plans into consideration. This procedure, after being agreed upon by all MEM Agents, shall be sent to the SIE by April 30th of each year, for approval."</i></p> <p>Peru: Supreme Decree N° 29-94-EM, Environmental Protection Regulations on Electrical Activities, of June 8, 1994, Article 23 point F, indicates the elements that an Environmental Adjustment and Management Program (PAMA) must contain, including that in section <i>"f) a contingency plan for preventing or monitoring environmental risks, possible accidents and disasters that can occur in the electrical systems."</i></p>

Code: DP 1B-13

Closed-ended question
<p>13. Do the regulations that govern public service providers of water and sanitation, require the formulation and implementation of business or operations continuity plans in the event of disaster?</p>
General description of the indicator
<p>A fundamental objective of Disaster Risk Management (DRM), specifically of Disaster Preparedness (DP), is to detect, immediately following a disaster and as fast as possible, which functions and services have been partially or totally suspended and which are critical to restore, due to their nature and importance. This indicator values that the regulatory frameworks of the sectors and entities include the development of Business (or Operations) Continuity Plans (BCP), and that such plans result from a vulnerability analysis and ensuing protocol for achieving the expeditious recovery of the functions of the provider companies in the event of disaster, prioritizing those functions considered to be critical for their continuity and the fulfillment of their objectives.</p> <p>This indicator values that the legislation regulating water and sanitation providers, given their strategic importance in helping society at large to regain normalcy after a disaster, requires these companies to formulate and implement a BCP, thus equipping companies with due resilience.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulation governing the country's water and sanitation providers. 2. Verify whether the regulation stipulates the formulation and implementation of operations and business continuity plans in the event of disaster.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the regulation governing the sector of water and sanitation service providers must establish the responsibility of developing a BCP.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The Regulations of the General Law on Sanitation Services, approved by Supreme Decree N° 09-1995-PRES, of August 28, 1995 (PR 1B-13a), stipulates in its Article 23: "<i>In anticipation of an act of nature or of force majeure, such as disasters that cause interruptions, restrictions or rationing, the EPS must have plans for overcoming or at least mitigating their effects on the population.</i>"</p> <p>Chile: Decree N° 1199 of the Ministry of Public Works (2005), approving the Regulations on the sanitation concessions that produce and distribute drinking water and that collect and dispose of waste and on the standards of customer service quality for users of these services, stipulates in section 7, Emergency Assistance, Article 122, that "<i>The concessionaires shall have a special (and permanent) procedure that enables them to promptly respond to emergencies, according to the standards defined in the respective pricing processes. These standards must be made public and available to customers on the information panels in the providers' customer service offices.</i>"</p>

Closed-ended question
14. Do the regulations that govern public service providers of telecommunications, require the development of business or operations continuity plans in the event of disaster?
General description of the indicator
<p>A fundamental objective of Disaster Risk Management (DRM), specifically of Disaster Preparedness (DP), is to detect, immediately following a disaster and as fast as possible, which functions and services have been partially or totally suspended and which are critical to restore, due to their nature and importance. This indicator values that the regulatory frameworks of the sectors and entities include the development of Business (or Operations) Continuity Plans (BCP), and that such plans result from a vulnerability analysis and ensuing protocol for achieving the expeditious recovery of the functions of the provider companies in the event of disaster, prioritizing those functions considered to be critical for their continuity and the fulfillment of their objectives.</p> <p>This indicator values that the legislation regulating telecommunications providers, given their strategic importance in helping society at large to regain normalcy after a disaster, requires these companies to formulate and implement a BCP, thus equipping companies with due resilience.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulation governing the country's telecommunications providers. 2. Verify whether the regulation requires the formulation and implementation of a BCP in the event of disaster.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulation governing telecommunications sector providers must establish the responsibility of developing a BCP.
Examples of positive conditions in countries in the Region
<p>Chile: Law 18168, General Telecommunications Law, the Ministry of Transport and Telecommunications (1982), stipulates in Title VIII, Critical Telecommunications Infrastructure, in Article 39 A, that "<i>The Ministry, by means of the Office of the Undersecretary of Telecommunications, shall develop a plan for protecting the country's critical telecommunications infrastructure, with the intention of ensuring the continuity of communications in emergency situations resulting from natural phenomena, widespread electrical failures or other disaster situations.</i>"</p> <p>Peru: The Ministry of Transport and Communications mandates through Ministerial Resolution N° 568-2007-MTC, of October 4, 2007, on the Contract Type for the Regime of Sole Concession of Telecommunications Provision, the one that in clause 6, number 12 establishes that "... <i>the obligations of telecommunications provider companies in the event of emergency or crisis</i> "and specifies activities to guarantee service continuity.</p>

Closed-ended question
15. Do the regulations that govern public service providers of energy require the development of business or operations continuity plans in the event of disaster?
General description of the indicator
<p>A fundamental objective of Disaster Risk Management (DRM), specifically of Disaster Preparedness (DP), is to detect, immediately following a disaster and as fast as possible, which functions and services have been partially or totally suspended and which are critical to restore, due to their nature and importance. This indicator values that the regulatory frameworks of the sectors and entities include the development of Business (or Operations) Continuity Plans (BCP), and that such plans result from a vulnerability analysis and ensuing protocol for achieving the expeditious recovery of the functions of the provider companies in the event of disaster, prioritizing those functions considered to be critical for their continuity and the fulfillment of their objectives.</p> <p>This indicator values that the legislation regulating energy providers, given their strategic importance in helping society at large to regain normalcy after a disaster, requires these companies to formulate and implement a BCP, thus equipping companies with due resilience.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulation governing the country's energy providers. 2. Verify whether the regulation requires the formulation and implementation of a BCP in the event of disaster.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulation governing energy sector providers must establish the responsibility of developing a BCP.
Examples of positive conditions in countries in the Region
<p>Mexico: The Institutional Manual of Administrative Procedures for Disaster Assistance and/or Acts of Nature and/or of Force Majeure. (Formalized Oct-11-2009) establishes the responsibilities of all sub-departments (generation, transmission and distribution). For example, in compliance with this regulation, the National Energy Control Center (CENACE) has electrical system restoration plans that prioritize customer services and loads that have been predefined to be of human, social, strategic and public importance. Additionally, when a disaster occurs in the National Energy Control Center facilities, the office coordination and Interconnected National System operation is automatically transferred to the National Alternate Control Center located in another city of the country.</p>

Closed-ended question
16. Are there regulations that mandate development and implementation of emergency or contingency plans associated with transport, handling or processing of hazardous substances?
General description of the indicator
The most recurrent events that occur during emergency relief and contingencies in the region include those related to spills, contamination or explosions of hazardous substances. The lack of regulation on their transport, manipulation and processing is one of the main causes of the recurrence. Furthermore, this anthropic hazard interacts with natural hazards and leads to heightened risk levels. Given that the actors participating in response efforts to this type of phenomenon are usually the same that respond to emergencies and disasters, the existence of regulations that govern these processes is considered a quality attribute.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Look for current legislation that specifically regulates the transport, manipulation or processing of hazardous substances. 2. Identify whether this legislation specifies the requirement to elaborate specific emergency or contingency plans in the event of anthropic accidents or disasters related to the transport, manipulation or processing of these hazardous substances.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled there must exist specific legislation that requires the formulation and implementation of emergency or contingency plans associated with the transport, manipulation and processing of hazardous substances.
Examples of positive conditions in countries in the Region
<p>Peru: Law N° 28256, Law Regulating the Ground Transport of Hazardous Materials and Waste, of June 18, 2004, contains in its Article 9, Contingency Plans, that <i>"The owners of the activity using hazardous materials are obliged to develop -- or require the contracting companies that participate in the production, storage, packaging, transport, manipulation, use, reuse, treatment, recycling and final disposal of hazardous materials and waste -- a contingency plan that shall be approved by the corresponding Sector, for the purposes of environmental control and auditing."</i></p> <p>Mexico: The Official Mexican Standard NOM-005-STPS-1998, approved March 2, 1999, related to the safety and hygiene conditions in the workplace for the handling, transport and storage of hazardous chemical substances, in its section 5.12, establishes the obligation <i>"To Develop a Specific Safety and Hygiene Program for the Management, Transport and Storage of Hazardous Chemical Substances."</i> This program must contain a workplace emergency plan, to include the following content (Chapter 8):</p> <ol style="list-style-type: none"> 1) the safety procedures in the event of a leak, spill, fumes or fire; 2) the first aid manual pursuant to that established in section 5.6; 3) the evacuation procedure; 4) the procedures for restoring normal conditions, 5) the procedures for confined space rescue. <p>Additionally, the Regulation for the Land Transport of Hazardous Materials and Waste, published on April 7, 1993, mentions all the preventive measures that must be taken in order to minimize risk during the transportation of these products.</p> <p>Costa Rica: The Regulation for handling hazardous industrial waste, approved according to executive Decree N° 27001 of the Ministry of Environment, Energy and Oceans of Costa Rica (MINAE), of April 29, 1998, stipulates in Section 14, number 14.6, that <i>"In the stages of treatment and final disposal, just as in the rest of the handling stages, there must be contingency plans for both emergency situations and natural disasters."</i> Furthermore, the Safety Guide for the Land Transport of Cargo 2013, from MINAE, contains diverse procedural elements related to relief for different types of emergencies.</p>

Colombia: Decree 1609 of 2002, regulating the motor vehicle land transport and handling of hazardous merchandise by highway, stipulates in Article 1 the following objective: *"to establish the technical and safety requirements for the handling and transport of hazardous merchandise by highway in motor vehicles in all the national territory, in order to minimize the risks, guarantee the safety and protect life and the environment, pursuant to the definitions and classifications established in Colombian Technical Standards NTC 1692, Transport of Hazardous Goods. Classification, Labelling and Marking, second update - annex N° 1."* Additionally, it stipulate in Article 11, on the obligations of the transport chain actors, in section "J," the following obligation: *"To design a Contingency Plan for accidents that occur during the transport of hazardous goods, when they take place in company vehicles, following the stipulations listed on the NTC 4532 Emergency Card. -Annex No. 3- and the guidelines established in the National Contingency Plan against hydrocarbon spills, their derivatives and noxious substances in ocean, river and lake waters, established by means of Decree 321 of February 17, 1999 or the other provisions issued on the subject. These plans may be part of the company's general or comprehensive contingency plan."*

Closed-ended question
17. Are there regulations that mandate the development and implementation of emergency or contingency plans in the event of hydrocarbon spill, combustion or pollution?
General description of the indicator
A long chain of effects and the prolongation over time of the negative effects caused by accidents related to hydrocarbon spills, combustion or contamination, together with the onerous recovery process this entails, and a recurrence rate similar to that of accidents caused by hazardous substances, requires national governments to develop emergency and contingency plans. Given their nature, this may be done in conjunction with several sectors, as these anthropic accidents or disasters not only concern the national oil authority, but also the environmental, energy, health and transport sectors, in addition to the services of firemen, etc. Hence, this indicator values, in the Disaster Preparedness (DP) process, the issuance of emergency plans related to these types of accidents, primarily due to the coordination that it requires.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Look for whether there is a specific law that regulates hydrocarbon spills, combustion or contamination. 2. Identify the regulations of the sectors that could be involved in hydrocarbon spills, combustion or contamination: national oil, environmental, energy, health, transport, firefighting entities, etc., and verify whether there is a requirement for developing emergency or contingency plans related to this type of accident. 3. Review, if applicable, the national DRM or DP regulations, in the event that this requirement exists.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled there must exist specific legislation that requires the formulation and implementation of emergency or contingency plans associated with hydrocarbon spills, combustion or contamination.
Examples of positive conditions in countries in the Region
<p>Peru: Environmental Protection Regulations for Hydrocarbon Activities, approved by Supreme Decree N° 015 - 2006 - EM, states in Article 86: <i>"The ground transportation units for liquid products derived from hydrocarbons must have equipment and materials to address emergencies caused by spills, leaks, rollovers and fires, which shall include equipment and means for communicating with the cargo owners and emergency response services as well as an instruction card on their use. The cargo owners are required to contribute, under liability, during the emergency response. The personnel in charge of these units must have received training on the use of such equipment and materials. The Supervisory Body, OSINERG, shall verify that there is available emergency response equipment and materials and trained personnel before granting operation authorization."</i> And it adds <i>"The National Police of Peru, in the event that OSINERG so requires, may check for the availability of emergency response equipment and materials on the roadways. The ground transportation unit must have a copy of the Contingency Plan"</i> and in Annex 2 it states the <i>"Terms of Reference to develop contingency plans."</i></p> <p>Panama: Executive Decree No. 75, of June 4, 2008, whereby the primary environmental quality standard and levels of quality for the inland waters of recreational use with and without direct contact is issued, in Chapter VIII, Article 33 stipulates that <i>"The procedure for assistance in emergency situations shall be that established in the Decontamination Plan developed by the National Environmental Authority according to the nature of the emergency situation."</i> This Executive Decree applies all to inland waters, as it stipulates in Article 4. Additionally, Agreement No. 65 of the Board of Directors of the Panama Canal Authority, of April 22, 2003, modifying the Regulation for Navigation in Panama Canal Waters, introduces the standards and procedures that establish the obligation, responsibility and actions that correspond to the ships that enter Canal waters, through the requirement of Contingency Plans, in order to prevent and respond to the hydrocarbon spills that occur in or from ships; such plans are subject to verification by the Authority. Additionally, Law N° 36, of May 17, 1996, establishing the controls needed to prevent environmental contamination caused by fuels and lead.</p> <p>Mexico: The National Contingency Plan to Combat and Control Hydrocarbon and other Noxious Substances Spills at Sea, published on February 8, 1999, establishes liabilities and forms a response organization in order to ensure a timely and adequate response to contamination caused by hydrocarbon spills, in coordination with the agencies that form it.</p>

Code: DP 1C-1

Closed-ended question
<i>1. Do the regulations that govern the Disaster Preparedness process provide instances of coordination in the territory?</i>
General description of the indicator
<p>This indicator values that the Disaster Preparedness (DP) regulations require the existence of disaster preparedness coordinating bodies on a local level, assisting territories in regulating and standardizing preparedness actions and operations, which thus contributes to shortening delays and reducing improvisation in the response efforts.</p> <p>As a quality criterion of the express DP standard, the existence of concrete agencies in the territory is added value since it implies a greater proximity of the coordination to local DRM efforts.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Work with the regulations identified in indicator DP 1A-1. 2. Verify whether this regulation establishes coordinating bodies in the territory to carry out DP processes.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the regulation must explicitly designate the coordinating bodies that will carry out the DP processes in the territory.</p>
Examples of positive conditions in countries in the Region
<p>Centralized Countries</p> <p>Costa Rica: Law N. 8488, National Emergencies and Risk Prevention Law, of October 27, 2005, stipulates in Chapter II, Article 10, that <i>"The following coordinating bodies are designated: sectorial - institutional, technical - operational, regional - municipal, territorial thematic networks, national risk forum, subsystem monitoring committees."</i></p> <p>Peru: The Regulations of the SINAGERD Law, approved by means of Supreme Decree N° 048-2011-PCM, of May 25, 2011, stipulates in Article 43 the <i>"Emergency levels and coordinating bodies in the territory according to the level of the emergency."</i></p> <p>Federal Country</p> <p>Mexico: The General Law of Civil Protection, of June 6, 2012, stipulates in Article 33 that <i>"The National Committee shall be constituted by owners or by a representative of the agencies and entities of the public federal administration, with a rank no lower than general director or the equivalent. In accordance with their specialty, they shall assume the responsibility of advising, supporting and contributing to the National System, within their functions, emergency programs and plans and human and material resources. The Committee shall also include the representative appointed for that purpose by the governor(s) of the affected state(s) or by the head of the Federal District government, when applicable."</i></p>

Code: DP 1C-2

Closed-ended question
2. Do the regulations that govern the Disaster Preparedness processes establish subsidiary assistance criteria among the different government levels?
General description of the indicator
This indicator recognizes a quality criterion if the national Disaster Preparedness (DP) regulation in a specific country establishes subsidiary assistance criteria for the different levels of government in disaster response tasks. This means that it will govern a type of principle of graduality, in which the regulation stipulates that in the event of an emergency or disaster, the lower territorial level will initially be responsible for performing the response tasks that correspond to its capacities, and the subsidiarity criterion will be applied in the event that those territorial capacities are exceeded by the situation. If this occurs, the higher territorial level will take those tasks over, subsequently, until the territorial levels have been exhausted (according to the administrative political model of the country in question), after which the central, national or federal government will take action.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Work with the regulations identified in indicator DP 1A-1. 2. Verify whether these regulations adopt the subsidiarity criterion at the different levels of government. 3. Verify whether the regulations governing the DP process establish relief activities or mechanisms among the levels of government.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the DP regulations must establish subsidiary assistance criteria among the different levels of government.
Examples of positive conditions in countries in the Region
<p>Centralized Countries</p> <p>Uruguay: In Law 18,621 of October 25, 2009, creating the National Emergency System, Article 3, appendix D, where the principle of decentralization of management and subsidiarity in the actions is established.</p> <p>Costa Rica: Law No. 147-02, on Risk Management, of September 22, 2002, indicates in Article 1 the general principles behind risk management policy. And it is the principle included in section 3, Scope of Competencies, which sustains the positive valuation of this indicator, in stating: "<i>In performing disaster prevention, mitigation and disaster preparedness activities, within the purview of the respective competencies, the observance of criteria of institutional coordination, concurrence, complementarity and subsidiarity shall be considered...</i>". Using that same logic, Article 14 states that the "<i>Regional, Provincial and Municipal Disaster Prevention, Mitigation and Response Committees, in each of their geographic areas, the National District and each of the Municipalities in the country, which shall be presided over by the Ministry of the Interior, Ministry of Civil Defense and the President of the local Red Cross, and at the provincial level, in the National District and municipal level...</i>," clarifying in Paragraph IV that "<i>Applying the principles of subsidiarity and complementarity, the highest levels in the State organization shall be facilitators and support for the lower levels.</i>"</p> <p>Peru: Law N. 29664, of February 8, 2011, creating the National Disaster Risk Management System (SINAGERD), establishes the principle of subsidiarity in Article 4, number 3.</p> <p>Federal Country</p> <p>Mexico: Article 21 of the General Law of Civil Protection, published on June 6, 2012, establishes the criteria of subsidiarity assistance among the different levels of government in the event of an emergency, starting from the first authority that is informed of the situation, and then passing to the different specialized civil defence agencies, until arriving to the state and federal levels, for cases in which the response capacities are exceeded.</p>

Code: DP 1C-3

Closed-ended question
3. Do the regulations that govern Disaster Preparedness processes establish the formulation of emergency or contingency plans at territorial levels?
General description of the indicator
This indicator recognizes the importance of developing emergency plans from the territorial level, with the understanding that local risk management will always be more accurate and efficient, in addition to contributing better components for coordination with the national or central agency. To this effect, the indicator requires that DP regulations mandate the development of such emergency or contingency plans at the territorial level.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Work with the regulations identified in indicator DP 1A-1. 2. Verify whether this specific regulation mandates the development of territorial emergency or contingency plans, or whether it does so with respect to the plans for all DRM processes.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulation must stipulate the obligation or responsibility to develop emergency or contingency plans at the territorial level. It is also applicable if the regulation stipulates the development of plans for all DRM processes.
Examples of positive conditions in countries in the Region
<p>Federal Countries</p> <p>Brazil: Law nº 12.608, of April 10, 2012. Art. 7. Stipulates that it is a competency of the States to support the Municipalities in developing Contingency and Civil Defense Plans.</p> <p>Mexico: The General Law of Civil Protection, of June 6, 2012, stipulates in its Article 37 that "<i>In the development of federal, municipal and delegation civil defense programs, the general approach established by the National Program ought to be taken into consideration, in addition to the stages of Comprehensive Risk Management and pursuant to that set forth in local planning regulations.</i>"</p> <p>Centralized Countries</p> <p>Uruguay: In Law 18,621 of October 25, 2009, creating the National Emergency System, Article 15, appendix (a), establishing departmental emergency coordinating centers to encourage the participatory development of emergency and contingency plans for each type of threat.</p> <p>Panama: Executive Decree No. 177 of April 30, 2008, regulating Law 7 of February 11, 2005, states in its Article 3 that the National Civil Protection System will be responsible for "<i>...the execution of disaster prevention, mitigation, preparedness, intervention and recovery policies and plans.</i>" Moreover, Article 6 of the same Executive Decree stipulates that the Provincial, Regional and Comarca authorities "<i>...shall develop the actions necessary for bringing risk management efforts to the population, pursuant to National Policy and the National Risk Management Plan.</i>"</p>

Code: DP 1C-4

Closed-ended question
<p>4. Are there regulations (other than those of DRM or preparedness) that define the Disaster Preparedness competencies for the territorial management units?</p>
General description of the indicator
<p>The scope of Disaster Risk Management (DRM) must be coordinated with the different models of political-administrative organization, particularly in distinguishing between national and central governments, and that corresponding to the Territorial Management Units (TMU). In this case, the indicator highly values the existence of designated DP competencies for TMUs, within the regulatory framework governing the general competencies of TMUs, given that this contributes to express DRM or Disaster Preparedness (DP) regulations.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Look for, in the case of centralized governments, the existence of a specific national regulation on a matter other than DRM or DP, that governs the competencies of the TMUs. 2. Verify whether this specific regulation establishes DP competencies for the TMUs. Possible verifiers may be: municipal codes, municipal laws, decentralization laws, national territorial laws or regional planning standards, etc. 3. Look for, in the case of federal governments, the existence of a specific local regulation that governs the functions of the TMUs. Or, look for a federal regulation on a matter other than DRM or DP, that stipulates competencies in DP.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, there must be a regulation in force on a matter other than DRM or DP that stipulates competencies in DP for the TMUs.</p>
Examples of positive conditions in countries in the Region
<p>Centralized Countries</p> <p>Peru: Law N° 27972, Organic Law of Municipalities, of May 26, 2003, mandates in Article 20, Responsibilities of the mayor, number 30, that of "<i>Presiding over the civil defense committee of their jurisdiction;</i>" and in Article 85, number 3, Specific functions exclusive of the district municipalities, section 3.2, that of "<i>Coordinating with the district Civil Defense Committee the actions necessary for providing relief to the populations affected by natural or other types of disasters.</i>" Additionally, the Organic Law of Regional Governments, Law N° 27867, of November 16, 2002, establishes in Article 61 the "Civil Defense" functions that support preparedness and disaster processes for regional governments. The condition is considered completely fulfilled as of 2003 when the responsibility was also assigned to the municipalities.</p> <p>Bolivia: The "Andrés Báñez" Autonomies and Decentralization Framework Law of July 17, 2010. Article 100 on risk management and natural disaster relief. III. The municipal governments have the following exclusive competencies:</p> <ol style="list-style-type: none"> 1. To be part of the National System for Risk Reduction and Disaster and Emergency Response (SISRADE), which at the municipal level constitutes the organic and coordinated set of structures, functional relations, methods and procedures among municipal, public and private entities and citizen organizations, as well as the physical, technical, scientific, financial and human resources required for risk reduction and disaster and/or emergency relief. 2. Regulate, form and lead municipal committees on risk reduction and disaster relief. (There are 13 functions).

Closed-ended question
5. Are there regulations that enable municipalities to use their own resources outside their jurisdiction in situations of emergency?
General description of the indicator
In centralized countries, legislation often limits municipalities from using the resources under their jurisdiction in another municipality's territory. This indicator seeks to verify whether there are regulations allowing a certain municipality to provide support with resources to other municipalities, in the event it is needed. Resources are not only financial, but also refer to in-kind items. In the case of federal countries, it is necessary to verify that the handling of its property has no restrictions on using the resources under its jurisdiction in another municipality's territory.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulation that stipulates the municipal responsibilities or one that regulates the territorial investment processes. 2. Look for the existence of a specific regulation that permits the use of economic or in-kind resources for disaster response in other municipalities.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, there must be a regulation that permits the use of economic or in-kind resources for disaster response in other municipalities.
Examples of positive conditions in countries in the Region
<p>Colombia: Law 80 of 1993, by which the General Statute for Public Administration Contracts is issued, stipulates in Article 42, on manifest urgency, that this exists "... <i>when the continuity of service demands the provision of goods or the rendering of services or the construction of building works in the immediate future, when a situation related to States of Exception arises, when there is a need to solve exceptional situations related to calamity, force majeure or disaster that require immediate action and; in general, when dealing with similar situations that prevent accessing selection procedures or public contests.</i>" This Article 42 permits municipalities to provide support to other municipalities when an emergency is declared. Additionally, Law 1523 of 2012, by which the national disaster risk management policy is adopted and the National Disaster Risk Management System is established and other regulations are passed, stipulates in Article 60, Solidarity, that "<i>The departments, autonomous corporations, districts and municipalities may collaborate with other territorial entities of their same level or with those of lower or higher levels when such entities are in situations of declared disaster or public calamity. The collaboration may include the sending of teams of people and materials, physical resources through essential networks, joint building works, complementary handling of the public order, exchange of information on the disaster or its imminent occurrence and, in general, everything that makes the principles of concurrence and positive subsidiarity effective in situations of extreme public interest.</i>"</p> <p>Costa Rica: Law N° 7794, Municipal Code, of April 27, 1998, considers in its Article 3* that "<i>The municipality may exercise municipal competencies and invest public funds with other municipalities and institutions of the Public Administration for the fulfillment of local, regional or national aims, or for the construction of public works for the common benefit, pursuant to the agreements subscribed to that effect.</i>" Article 62. - The municipality may use or arrange its assets through all types of acts or contracts permitted by this Code and the Administrative Hiring Law that are appropriate for fulfilling its objectives. Donations of any type of resources or property, and the extension of guaranties in favor of other people, will only be possible when a special law expressly authorizes them. Nevertheless, the municipalities, through the favorable vote of two thirds of the total number of members that constitute the council, may directly donate personal or real estate, as long as these donations are directed to State bodies and autonomous or semi-autonomous institutions that are authorized to donate directly to municipalities. (*) Article 3 was reformed by Law N° 8801, General Law of Transference of Competencies from the Executive Branch to the Municipalities, of April 28, 2010.</p>

Code: DP 2-1**Closed-ended question**

1. Has the national entity responsible for Disaster Preparedness coordination received funding for these functions in the last fiscal period?

General description of the indicator

There must be certainty that the actions related to Disaster Preparedness (DP) will be carried out. In this context, the allocation of resources to the national body responsible for the coordination of disaster preparedness (DP) actions is a good indication. Nevertheless, this sort of operating budgetary allocation is insufficient, it is also necessary to verify whether the national entity has received resources for this purpose.

Steps to follow to obtain the required information

1. Identify the national entity responsible for DP coordination.
2. Verify that resources have been allocated to the national entity responsible for the coordination of DP, in either the national budget or in the budget execution and expenditure reports, or the entity management reports.
3. Consult the fiscal, economy or finance authority, and specifically with their areas responsible for budgetary matters.
4. Consult with the national entity responsible for coordinating DP, particularly with the area responsible for the budget.
5. Review, if applicable, the webpage of the entity responsible for DP coordination.
6. Look at the last country report presented before the Hyogo Framework for Action for the activities performed by the country on disaster preparedness matters.

Description of the minimum required situation for positive conditions

Evidence of the allocation of resources to the national entity responsible for DP coordination, whether they are resources originating from the national budget or from that same entity. Evidence of such activities will also be considered, such as simulations, as long as they have been performed with resources originating from the budget of those organizations.

Examples of positive conditions in countries in the Region

Colombia: The 2012 management report of Colombia's National Disaster Risk Management Unit (UNGRD) shows that the UNGRD allocated budgetary resources for performing hurricane evacuation drills: (i) Hurricane "SARA," San Andrés, Providencia and Santa Catalina, July 22-28, 2012 and (ii) Hurricane "WAWAY," Manaure, La Guajira, August 17, 2012. Likewise, it allocated resources to the national earthquake evacuation drill (21 Departments and 117 municipalities). Furthermore, it carried out the National Volcanic Evacuation Drill - Nevado del Ruiz Volcano (2 Departments, 17 municipalities). Additionally, under budgetary heading 3 2 1 5 resources were allocated for "*disaster and emergency assistance in national territory - the National Calamity Fund - SNPAD.*" The aforementioned is demonstrated in the Decree Annex "*By which the General Budget of the Nation for the fiscal period 2013 is liquidated, the appropriations are itemized and the expenditures are classified and defined.*"

Peru: Law N° 29951, on the Public Sector Budget for the 2013 Fiscal Year, of November 30, 2012, in Annex 5, pages 70 and 72, shows the allocation of resources to the National Institute of Civil Defense (INDECI).

Mexico: The General Law of Civil Protection, of June 6, 2012, stipulates that SINAPROC bears primary responsibility for the coordination of disaster preparedness and response, this is done specifically by SINAPROC's operative arm, the Ministry of the Interior (SEGOB), through the National Civil Protection Coordination (CNPC), for which mechanisms such as the National Committee of Emergencies are used. The CNPC, as well as its deconcentrated body, the National Center for Disaster Prevention (CENAPRED), and its risk management financial instruments, were allocated resources in the Federation Budget Extracts Decree (FBE 2013), as demonstrated in ANNEX 15.

Code: DP 2-2

Closed-ended question
2. <i>Has at least one national firefighter service received funding for Disaster Preparedness activities in the last fiscal period?</i>
General description of the indicator
There must be certainty that the actions related to Disaster Preparedness (DP) will be carried out. In this context, the allocation of resources to at least one national fire service is a good indication. Nevertheless, this sort of operating budgetary allocation is insufficient, it is also necessary to verify whether the DP activities of that specific fire service have been financed.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the different national fire services. 2. Determine whether at least one national fire service was allocated resources for DP activities, in either the national budget execution and expenditure reports, or the entity management reports. 3. Consult directly with the different national fire services, particularly with the respective budget areas. 4. Review, if applicable, the webpages of the different national fire services. 5. Look at the last country report presented before the Hyogo Framework for Action for the activities performed by the country on disaster preparedness matters.
Description of the minimum required situation for positive conditions
Evidence of resources allocated to at least a national fire service to finance DP activities in the last fiscal period. Evidence of such activities will also be considered, as long as they have been performed with resources originating from the budget of those organizations.
Examples of positive conditions in countries in the Region
<p>Peru: In Annex 5 of Law N° 29951 of the Public Sector Budget for the 2013 fiscal year, of November 30, 2012, there is evidence that Firemen were allocated resources for: "<i>(i) well-equipped operational departments and modern infrastructure with continuous service; (ii) emergency prevention capacities developed in civil society</i> (pg. 85) <i>and for Civil Protection for disaster relief and support to rehabilitation and reconstruction</i>" (pg. 70).</p> <p>Jamaica: In the 2013-2014 Budget, Head 6400 of Ministry of Housing, Environment, Water and Local Government, Budget 1 - Recurrent, Function 10 - Community Amenity Services, SubFunction 01 - Community Development Programme 475 - Fire Protection Services. Sub Programme, 20 Jamaica Fire Brigade.</p> <p>Panama: Pursuant to the Performance Report of Non-Financial Public Investments for the first semester of 2012, in Chapter IV, Budgetary Performance of the Non-Financial Investments at the sector level, section M, Citizen Protection Sector, the Ministry of Government carries out investment projects aimed at citizen protection, including: Transportation Equipment of Fire Department of Panama, Technological Innovation of the Fire Department and Equipment for Support of the Fire Department of the Republic.</p> <p>Chile: Law N° 20641, Year 2013 Public Sector Budget, of December 22, 2012, allocates resources to the Firemen of Chile, within the budget of the Ministry of the Interior and Public Security.</p>

Code: DP 2-3**Closed-ended question**

3. Has the national entity responsible for forest fire prevention and control received funding for Disaster Preparedness activities in the last fiscal period?

General description of the indicator

There must be certainty that the Disaster Preparedness (DP) actions programed for the current fiscal period will be carried out. In this context, the allocation of resources is a first indication. Nevertheless, the headings and concepts of the national budget are often modified and adjusted during the fiscal year. Therefore, such an allocation is insufficient; there must also be verification that the DP activities have been financed and carried out. This indicator questions whether the national entity responsible for forest fire prevention and control in the country, has not only been allocated resources in the operating budget, but also whether the specific DP activities have been financed and carried out.

Steps to follow to obtain the required information

1. Identify the national entity responsible for forest fire prevention and control.
2. Verify whether the national entity has been allocated resources for performing DP activities, in the national budget, as well as in the budget performance and expenditure reports.
3. Consult, if applicable, with the national entity, and specifically with its area responsible for the budget.
4. Consult, if applicable, with the budget area of the highest or supervisory authority of the national entity.
5. Review the information available on the national entity's webpage.

Description of the minimum required situation for positive conditions

Evidence of resource allocation to the national entity responsible for forest fire prevention and control, to finance DP activities in the last fiscal period. Carrying out such activities will be considered evidence, as long as they have been performed with resources originating from the budget.

Examples of positive conditions in countries in the Region

Costa Rica: SINAC. National Fire Management Program. In the weekly report to May 5, 2013, there is evidence of preparedness actions for forest fire suppression.

Chile: Law 20641, Year 2013 Public Sector Budgets, of December 22, 2012, allocates resources to the National Forest Corporation (CONAF). This institution has assigned firefighting competencies, through Decree 733 of June 11, 1982, that revokes Supreme Decrees N°s. 1.027 of 1976, and 1.040 of 1979, and approves regulations, establishing "*Article 1°*. - *Forest fire prevention and control shall constitute a normal and fundamental task and responsibility of the Ministry of Agriculture, which will carry it out through the National Forest Corporation...*". Therefore, their operating budgets shall be implicitly directed to disaster prevention, training, acquisition of provisions, monitoring, salaries, communications, equipment, etc., which are preparedness actions.

Code: DP 2-4**Closed-ended question**

4. Does the environmental sector have a National Emergency Plan (or any contingency or continuity of operations or equivalent plan) which has been formally approved at least in the last 5 years?

General description of indicator

Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide to a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved *ex-ante*. Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management is considered to have a factor of quality when the different sectors of public administration -- whether national, central or federal, depending on the country in question -- include this responsibility of planning in their scope. This indicator is particularly interested in the environmental sector, valuing that at least once in the last 5 years, a National Emergency or Contingency Plan (NEP) or a Business (or Operations) Continuity Plan (BCP) has been developed and has received the corresponding formal approval. With the understanding that an NEP is the framework of institutional action on DRM, specifying, among other things, its procedures, functions and responsibilities. And a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the sector vulnerability analysis, aiming to, when applicable, facilitate an expeditious recovery of its functions, prioritizing those considered critical for its continuity and the fulfillment of its objectives.

Steps to follow to obtain the required information

1. Consult the environmental sector authority (or equivalent entity) with respect to whether an NEP or BCP has been developed and formally approved in the last 5 years.
2. Consult the DRM authority with respect to that same matter.
3. Review the information available on the webpages of the agencies consulted on the existence of such plans.
4. Verify the material existence of such sectorial plans.

Description of the minimum required situation for positive conditions

Evidence of an NEP or BCP approved for the environmental sector in the last 5 years (or that is still in force). If such a plan was approved more than 5 years ago, but at the time of approval no term was established, the indicator will not be considered fulfilled.

Examples of positive conditions in countries in the Region

It has not been possible to find an example in the region, therefore a hypothetical situation is suggested: In a country of the region, there is an emergency plan for managing river basins that are shared by several municipalities, during flood situations.

Code: DP 2-5

Closed-ended question
5. Does the agricultural sector have a National Emergency Plan (or any contingency or continuity of operations or equivalent plan) which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received funding for disaster preparedness activities in the last fiscal period?
General description of the indicator
Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide to a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved <i>ex-ante</i> . Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management is considered to have a factor of quality when the different sectors of public administration -- whether national, central or federal, depending on the country in question -- include this responsibility of planning in their scope. This indicator is particularly interested in the agriculture sector, valuing that at least once in the last 5 years, a National Emergency or Contingency Plan (NEP) or a Business (or Operations) Continuity Plan (BCP) has been developed and has received the corresponding formal approval. With the understanding that an NEP is the framework of institutional action for DRM, specifying, among other things, its procedures, functions and responsibilities. And a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the sector, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for its continuity and the fulfilment of its objectives. Additionally, this indicator recognizes the importance that the coordinating or governing entity of the agriculture sector received resources for disaster preparedness actions during the last fiscal year or period.
Steps to follow to obtain the required information
<p><i>With respect to the emergency or contingency plans or continuity of business plans (or equivalent):</i></p> <ol style="list-style-type: none"> 1. Consult the agriculture sector authority (or equivalent entity) with respect to whether an NEP or BCP (or equivalent) has been developed and formally approved in the last 5 years. 2. Consult the DRM authority with respect to that same matter. 3. Review the information available on the webpages of the agencies consulted on the existence of such plans. 4. Verify the material existence of such sectorial plans. <p><i>With respect to resource allocation:</i></p> <ol style="list-style-type: none"> 1. Identify the allocated resources, in the last fiscal period, to the agriculture sector entity responsible for DP activities. 2. Review the national budget, the budgetary reports, expenditure reports or related documents of an official nature. 3. Consult, if applicable, the agriculture sector authority's budget area. 4. Consult, if applicable, the fiscal, economic or financial authority's (or equivalent entity) budget area.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the agriculture sector must have an NEP or a BCP, formally approved in the last 5 years (or that is still in force), and evidence of at least one DP project from the sector, which confirms the allocation of resources to the sector's governing entity during the last fiscal year or period.</p> <p>If such a plan was approved more than 5 years ago, but at the time of approval no term was established, the indicator will not be considered fulfilled.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The Emergency Operations Plan of the agriculture sector, approved by Supreme Resolution N° 059-2008-AG on November 10, 2008. Additionally, as a second condition, the Ministry of Agriculture has received budgetary resources for disaster preparedness, as can be seen in Annex 5 of Law N° 29951 of the Public Sector Budget for the 2013 Fiscal Year, of November 30, 2012, where resources are allocated for: (i) the population and its livelihoods for capacities for flood resistance; (ii) the population and its livelihoods with capacities for resistance to flows in ravines and hillsides, through products from 3000444 to 3000448.</p>

Code: DP 2-6**Closed-ended question**

6. Does the health sector have a National Emergency Plan (or any contingency or continuity of operations or equivalent plan) which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received funding for Disaster Preparedness activities in the last fiscal period?

General description of the indicator

Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide to a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved *ex-ante*. Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management is considered to have a factor of quality when the different sectors of public administration -- whether national, central or federal, depending on the country in question -- include this responsibility of planning in their scope. This indicator is particularly interested in the health sector, valuing that at least once in the last 5 years, a National Emergency or Contingency Plan (NEP) or a Business (or Operations) Continuity Plan (BCP) has been developed and has received the corresponding formal approval. With the understanding that an NEP is the framework of institutional action for DRM, specifying, among other things, its procedures, functions and responsibilities. And a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the sector, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for its continuity and the fulfilment of its objectives. Additionally, this indicator recognizes the importance that the coordinating or governing entity of the health sector received resources for disaster preparedness actions during the last fiscal year or period.

Steps to follow for obtaining the required information

With respect to the emergency or contingency plans or continuity of business plans (or equivalent):

1. Consult the health sector authority (or equivalent entity) with respect to whether an NEP or BCP has been developed and formally approved in the last 5 years.
2. Consult the DRM authority with respect to that same matter.
3. Review the information available on the webpages of the agencies consulted on the existence of such plans.
4. Verify the material existence of such sectorial plans.

With respect to resource allocation:

1. Identify the allocated resources, in the last fiscal period, to the health sector entity responsible for DP activities.
2. Review the national budget, the budgetary reports, expenditure reports or related documents of an official nature.
3. Consult, if applicable, the health sector authority's budget area.
4. Consult, if applicable, the fiscal, economic or financial authority's (or equivalent entity) budget area.

Description of the minimum required situation for positive conditions

In order for the condition in this question to be fulfilled, the health sector must have an NEP or a BCP, formally approved in the last 5 years (or one that is still in force), and evidence of at least one DP project from the sector, which confirms the allocation of resources to the sector's governing entity during the last fiscal year or period.

If such a plan was approved more than 5 years ago, but at the time of approval no term was established, the indicator will not be considered fulfilled.

Examples of positive conditions in countries in the Region
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<p>Peru: The sector has the Sectorial Emergency Operations Plan of the Health Sector 2010-2011, approved with Ministerial Resolution N° 247-2010-MINSA, of April 6, 2010. The plan establishes preparedness activities for the sector. The sector also has the "Sectorial Plan for Health Sector Emergency and Disaster Prevention and Relief," approved by Supreme Resolution N°. 009-2004-SA, of June 16, 2004, which is in force until 2014. Chapter 7 of the Resolution stipulates: "<i>Strategy 1: Incorporation of risk management and emergency and disaster relief actions in the strategic and operational sectorial plans at the different levels...</i>" and "<i>Strategy 2: Improvement of the processes to prevent and address emergencies and disasters generated by emergent and re-emergent adverse events...</i>" And lastly, the condition is fulfilled since the Ministry of Health received budgetary resources for disaster preparedness, pursuant to Annex 5 of Law N° 29951, from the Public Sector Budget for the 2013 Fiscal Year, of November 30, 2012. The budget contains document 011, Ministry of Health, in which page 236, product 3000169, allocates the aforementioned resources.</p>
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Code: DP 2-7**Closed-ended question**

7. Does the housing sector have a National Emergency Plan (or any contingency or continuity of operations or equivalent plan) which has been formally approved at least in the last 5 years?

General description of the indicator

Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide to a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved *ex-ante*. Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management is considered to have a factor of quality when the different sectors of public administration -- whether national, central or federal, depending on the country in question -- include this responsibility of planning in their scope. This indicator is particularly interested in the housing sector, valuing that at least once in the last 5 years, a National Emergency or Contingency Plan (NEP) or a Business (or Operations) Continuity Plan (BCP) has been developed and has received the corresponding formal approval. With the understanding that an NEP is the framework of institutional action for DRM, specifying, among other things, its procedures, functions and responsibilities. And a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the sector, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for its continuity and the fulfilment of its objectives.

Steps to follow for obtaining the required information

1. Consult the housing sector authority (or equivalent entity) with respect to whether an NEP or BCP has been developed and formally approved in the last 5 years.
2. Consult the DRM authority with respect to that same matter.
3. Review the information available on the webpages of the agencies consulted on the existence of such plans.
4. Verify the material existence of such sectorial plans.

Description of the minimum required situation for positive conditions

In order for the condition in this question to be fulfilled, the housing sector must at least have an NEP or BCP formally approved within the last 5 years (or one that is still in force for the plan's duration).

If such a plan was approved more than 5 years ago, but at the time of approval no term was established, the indicator will not be considered fulfilled.

Examples of positive conditions in countries in the Region

Peru: The Emergency Operations Plan of the Housing, Construction and Sanitation Sector, approved by Ministerial Resolution N° 026-2010-VIVIENDA on February 11, 2010.

Code: DP 2-8**Closed-ended question**

8. *Does the education sector have a National Emergency Plan (or any contingency or continuity of operations or equivalent plan) which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received funding for Disaster Preparedness activities in the last fiscal period?*

General description of the indicator

Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide to a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved *ex-ante*. Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management is considered to have a factor of quality when the different sectors of public administration -- whether national, central or federal, depending on the country in question -- include this responsibility of planning in their scope. This indicator is particularly interested in the education sector, valuing that at least once in the last 5 years, a National Emergency or Contingency Plan (NEP) or a Business (or Operations) Continuity Plan (BCP) has been developed and has received the corresponding formal approval. With the understanding that an NEP is the framework of institutional action for DRM, specifying, among other things, its procedures, functions and responsibilities. And a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the sector, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for its continuity and the fulfilment of its objectives. Additionally, this indicator recognizes the importance that the coordinating or governing entity of the education sector received resources for disaster preparedness actions during the last fiscal year or period.

Steps to follow for obtaining the required information

With respect to the emergency or contingency plans or continuity of business plans (or equivalent):

1. Consult the education sector authority (or equivalent entity) with respect to whether an NEP or BCP (or equivalents) has been developed and formally approved in the last 5 years.
2. Consult the DRM authority with respect to that same matter.
3. Review the information available on the webpages of the agencies consulted on the existence of such plans.
4. Verify the material existence of such sectorial plans.

With respect to resource allocation:

1. Identify the allocated resources, in the last fiscal period, to the education sector entity responsible for DP activities.
2. Review the national budget, the budgetary reports, expenditure reports or related documents of an official nature.
3. Consult, if applicable, the education sector authority's budget area.
4. Consult, if applicable, the fiscal, economic or financial authority's (or equivalent entity) budget area.

Description of the minimum required situation for positive conditions

In order for the condition in this question to be fulfilled, the education sector must have an NEP or BCP formally approved in the last 5 years (or one that is still in force), and evidence of at least one DP project from the sector, which confirms the allocation of resources to the sector's governing entity during the last fiscal year or period.

If such a plan was approved more than 5 years ago, but at the time of approval no term was established, the indicator will not be considered fulfilled.

Examples of positive conditions in countries in the Region

Peru: The sector's Earthquake Prevention Education Plan 2010, approved by Directorial Resolution N° 463-2010-ED, of June 2, 2010, mandates the obligation to develop the Risk Management Plan for earthquake preparedness in each educational institution (result 1). Moreover, the condition is fulfilled since the Ministry, as the governing body, has received resources for disaster preparedness in the last fiscal period. See Annex 5 of Law N° 29951 of the Public Sector Budget for the 2013 Fiscal Year, of November 30, 2012, which allocates, on page 73, resources for decentralized educational management agencies prepared for emergency and disaster response and rehabilitation of education services - reinforcement of the pedagogical support for disaster and emergency response.

Code: DP 2-9**Closed-ended question**

9. Does the tourism sector have a National Emergency Plan (or any contingency or continuity of operations or equivalent plan) which has been formally approved at least in the last 5 years?

General description of the indicator

Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide to a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved *ex-ante*. Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management is considered to have a factor of quality when the different sectors of public administration -- whether national, central or federal, depending on the country in question -- include this responsibility of planning in their scope. This indicator is particularly interested in the tourism sector, valuing that at least once in the last 5 years, a National Emergency or Contingency Plan (NEP) or a Business (or Operations) Continuity Plan (BCP) has been developed and has received the corresponding formal approval. With the understanding that an NEP is the framework of institutional action for DRM, specifying, among other things, its procedures, functions and responsibilities. And a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the sector, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for its continuity and the fulfilment of its objectives.

Steps to follow for obtaining the required information

1. Consult the tourism sector authority (or equivalent entity) with respect to whether an NEP or BCP (or equivalent) has been developed and formally approved in the last 5 years.
2. Consult the DRM authority with respect to that same matter.
3. Review the information available on the webpages of the agencies consulted on the existence of such plans.
4. Verify the material existence of such sectorial plans.

Description of the minimum required situation for positive conditions

In order for the condition in this question to be fulfilled, the tourism sector must at least have an NEP or BCP formally approved within the last 5 years (or one that is still in force for the plan's duration).

If such a plan was approved more than 5 years ago, but at the time of approval no term was established, the indicator will not be considered fulfilled.

Examples of positive conditions in countries in the Region

Peru: The Ministry of Foreign Trade and Tourism (MINCETUR) mandated that the Sectorial Plan of Emergency Operations, approved by Ministerial Resolution N° 054-2008 MINCETUR-DM, of March 31, 2008, establish the disaster preparedness activities that must be carried out in the foreign trade and tourism sector.

Code: DP 2-10**Closed-ended question**

10. Does the transport sector have a National Emergency Plan (or any contingency or continuity of operations or equivalent plan) which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received resources for Disaster Preparedness activities in the last fiscal period?

General description of the indicator

Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide to a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved *ex-ante*. Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management is considered to have a factor of quality when the different sectors of public administration -- whether national, central or federal, depending on the country in question -- include this responsibility of planning in their scope. This indicator is particularly interested in the transport sector, valuing that at least once in the last 5 years, a National Emergency or Contingency Plan (NEP) or a Business (or Operations) Continuity Plan (BCP) has been developed and has received the corresponding formal approval. With the understanding that an NEP is the framework of institutional action for DRM, specifying, among other things, its procedures, functions and responsibilities. And a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the sector, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for its continuity and the fulfilment of its objectives. Additionally, this indicator recognizes the importance that the coordinating or governing entity of the transport sector received resources for disaster preparedness actions during the last fiscal year or period.

Steps to follow for obtaining the required information

With respect to the emergency or contingency plans or continuity of business plans (or equivalent):

1. Consult the transport sector authority (or equivalent entity) with respect to whether an NEP or BCP (or equivalent) has been developed and formally approved in the last 5 years.
2. Consult the DRM authority with respect to that same matter.
3. Review the information available on the webpages of the agencies consulted on the existence of such plans.
4. Verify the material existence of such sectorial plans.

With respect to resource allocation:

1. Identify the allocated resources, in the last fiscal period, to the transport sector entity responsible for DP activities.
2. Review the national budget, the budgetary reports, expenditure reports or related documents of an official nature.
3. Consult, if applicable, the transport sector authority's budget area.
4. Consult, if applicable, the fiscal, economic or financial authority's (or equivalent entity) budget area.

Description of the minimum required situation for positive conditions

In order for the condition in this question to be fulfilled, the transport sector must have an NEP or a BCP, formally approved in the last 5 years (or one that is still in force for the plan's duration), and evidence of at least one DP project from the sector, which confirms the allocation of resources to the sector's governing entity during the last fiscal year or period.

If such a plan was approved more than 5 years ago, but at the time of approval no term was established, the indicator will not be considered fulfilled.

Examples of positive conditions in countries in the Region
<p>For want of examples in the Region, the following is a hypothetical situation that would fulfil this indicator: A country's transport sector has several contingency plans for different sector activities: ground transportation, transport of hazardous materials, etc., demonstrating that the sector is prepared to address emergencies in the scope of its powers. Moreover, it has the budget to train contractors of the road sector so that they can develop response activities in their plans, following the guidelines established by the sector.</p>

Code: DP 2-11

Closed-ended question
<i>11. Does the water and sanitation sector have a National Emergency Plan (or any contingency or continuity of operations or equivalent plan) which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received resources for Disaster Preparedness activities in the last fiscal period?</i>
General description of the indicator
Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide to a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved <i>ex-ante</i> . Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management is considered to have a factor of quality when the different sectors of public administration -- whether national, central or federal, depending on the country in question -- include this responsibility of planning in their scope. This indicator is particularly interested in the water and sanitation sector, valuing that at least once in the last 5 years, a National Emergency or Contingency Plan (NEP) or a Business (or Operations) Continuity Plan (BCP) has been developed and has received the corresponding formal approval. With the understanding that an NEP is the framework of institutional action for DRM, specifying, among other things, its procedures, functions and responsibilities. And a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the sector, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for its continuity and the fulfilment of its objectives. Additionally, this indicator recognizes the importance that the coordinating or governing entity of the water and sanitation sector received resources for disaster preparedness actions during the last fiscal year or period.
Steps to follow for obtaining the required information
<p><i>With respect to the emergency or contingency plans or continuity of business plans (or equivalent):</i></p> <ol style="list-style-type: none"> 1. Consult the water and sanitation sector authority (or equivalent entity) with respect to whether an NEP or BCP (or equivalent) has been developed and formally approved in the last 5 years. 2. Consult the DRM authority with respect to that same matter. 3. Review the information available on the webpages of the agencies consulted on the existence of such plans. 4. Verify the material existence of such sectorial plans. <p><i>With respect to resource allocation:</i></p> <ol style="list-style-type: none"> 1. Identify the resources allocated, in the last fiscal period, to the water and sanitation sector entity responsible for DP activities. 2. Review the national budget, the budgetary reports, expenditure reports or related documents of an official nature. 3. Consult, if applicable, the water and sanitation sector authority's budget area. 4. Consult, if applicable, the fiscal, economic or financial authority's (or equivalent entity) budget area.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the water and sanitation sector must have an NEP or a BCP, formally approved in the last 5 years (or that is still in force), and evidence of at least one DP project from the sector, which confirms the allocation of resources to the sector's governing entity during the last fiscal year or period.</p> <p>If such a plan was approved more than 5 years ago, but at the time of approval no term was established, the indicator will not be considered fulfilled.</p>
Examples of positive conditions in countries in the Region
For want of examples in the Region, the following is a hypothetical situation that would fulfil this indicator: A country's water and sanitation sector has an Emergency Operations Manual for the entities responsible for river basins that establishes the competencies and responsibilities with regard to response and continuity of operations, for situations of hydrometeorological risks, approved in the last fiscal period. Additionally, in the last fiscal period the budget included a heading for the acquisition of water tankers, which will make it possible to deliver water to the population that could be affected by a disaster.

Code: DP 2-12

Closed-ended question
<p>12. Does the energy sector have a National Emergency Plan (or any contingency or continuity of operations or equivalent plan) which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received funding for Disaster Preparedness activities in the last fiscal period?</p>
General description of the indicator
<p>Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide to a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved <i>ex-ante</i>. Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management is considered to have a factor of quality when the different sectors of public administration -- whether national, central or federal, depending on the country in question -- include this responsibility of planning in their scope. This indicator is particularly interested in the energy sector, valuing that at least once in the last 5 years, a National Emergency or Contingency Plan (NEP) or a Business (or Operations) Continuity Plan (BCP) has been developed and has received the corresponding formal approval. With the understanding that an NEP is the framework of institutional action for DRM, specifying, among other things, its procedures, functions and responsibilities. And a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the sector, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for its continuity and the fulfilment of its objectives. Additionally, this indicator recognizes the importance that the coordinating or governing entity of the energy sector received resources for disaster preparedness actions during the last fiscal year or period.</p>
Steps to follow for obtaining the required information
<p><i>With respect to the emergency or contingency plans or continuity of business plans (or equivalent):</i></p> <ol style="list-style-type: none"> 1. Consult the energy sector authority (or equivalent entity) with respect to whether an NEP or BCP (or equivalent) has been developed and formally approved in the last 5 years. 2. Consult the DRM authority with respect to that same matter. 3. Review the information available on the webpages of the agencies consulted on the existence of such plans. 4. Verify the material existence of such sectorial plans. <p><i>With respect to resource allocation:</i></p> <ol style="list-style-type: none"> 1. Identify the allocated resources, in the last fiscal period, to the energy sector entity responsible for DP activities. 2. Review the national budget, the budgetary reports, expenditure reports or related documents of an official nature. 3. Consult, if applicable, the energy sector authority's budget area. 4. Consult, if applicable, the fiscal, economic or financial authority's (or equivalent entity) budget area.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled, the energy sector must have an NEP or a BCP formally approved in the last 5 years (or one that is still in force), and evidence of at least one DP project from the sector, which confirms the allocation of resources to the sector's governing entity during the last fiscal year or period.</p> <p>If such a plan was approved more than 5 years ago, but at the time of approval no term was established, the indicator will not be considered fulfilled.</p>

Examples of positive conditions in countries in the Region
For want of examples in the Region, the following is a hypothetical situation that would fulfil this indicator: The energy sector of a country in the region has an Emergency Operations Manual for the entities responsible for energy distribution that establishes competencies and responsibilities with regard to response and continuity of operations efforts in the event of a hurricane, approved in the last 5 years. Additionally, in the last fiscal period the budget included a heading for performing simulations to test the Manual's effectiveness.

Closed-ended question
13. Does the country's largest national water and sanitation company have any emergency, contingency or continuity operation plans in the event of disaster?
General description of the indicator
Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide for a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved ex-ante. Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management (DRM) is considered to have a factor of quality when its public service providers include the responsibility of planning in their scope. This indicator is particularly interested in the largest water and sanitation provider company in the country, valuing that it has developed an Emergency or Contingency Plan (EP) or a Business (or Operations) Continuity Plan (BCP). With the understanding that an NEP is the company's framework of action for DRM, specifying, among other things, its procedures, functions and responsibilities; and a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the company, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for the continuity of its services.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the largest water and sanitation provider in the country. 2. Verify whether the company has an EP or BCP in the event of disaster. 3. Review, if applicable, the information available on the company's webpage. 4. Look for the company's management reports. 5. Consult the company on this matter, if necessary. 6. Establish the existence of such plans by consulting with the sector's regulating bodies or with the entity responsible for the concession awarding process.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the largest water and sanitation provider in the country must have an EP or BCP .
Examples of positive conditions in countries in the Region
<p>Peru: The Drinking Water and Sewerage Service of Lima (SEDAPAL) has an Emergency Plan for disaster situations, created in 2002, that includes its prevention, preparedness, response and rehabilitation measures. It covers the entire supply system.</p> <p>Jamaica: The National Water Commission (NWC) developed a Hurricane Response Plan in 2010 that establishes the disaster preparedness procedures for hurricane contingencies. Such a plan establishes the company's roles and responsibilities.</p> <p>Colombia: The Water and Sewerage Company of Bogota (EAAB) is a public company aligned to the "Bogotá Humana" Development Plan, as stated in the introduction of the 2012 Management Report. In fact, its General Strategic Plan 2012-2016 was developed taking the "Bogotá Humana" District Development Plan into account. The Plan consists of three components, one of which is "A territory confronted with climate change and located around water," which presents the Comprehensive Risk Management Program, which, in turn, contains the priority project, "Territories less vulnerable to risks and climate change through comprehensive actions." The General Strategic Plan of EAAB is now aligned with the goal referred to as "21 critical sites of hillside gorges and alluvial areas with total intervention for the prevention of flash floods and avalanches."</p>

Code: DP 2-14

Closed-ended question
<i>14. Does the country's largest energy (generation, transmission and distribution) company have any emergency, contingency or continuity operation plans in the event of disaster? (NOTE: In the event of multiple companies, the same question applies to each)</i>
General description of the indicator
Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide for a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved ex-ante. Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management (DRM) is considered to have a factor of quality when its public service providers include the responsibility of planning in their scope. This indicator is particularly interested in the largest energy generation, transmission and distribution company in the country, valuing that it has developed an Emergency or Contingency Plan (EP) or a Business (or Operations) Continuity Plan (BCP). With the understanding that an NEP is the company's framework of action for DRM, specifying, among other things, its procedures, functions and responsibilities; and a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the company, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for the continuity of its services.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the largest energy generation, transmission and distribution company in the country. 2. Verify whether the company has an EP or BCP in the event of disaster. 3. Review, if applicable, the information available on the company's webpage. 4. Look for the company's management reports. 5. Consult the company on this matter, if necessary. 6. Establish the existence of such plans by consulting with the sector's regulating bodies or with the entity responsible for the concession awarding process.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the largest energy generation, transmission and distribution company in the country must have an NEP or BCP.
Examples of positive conditions in countries in the Region
<p>Mexico: The Federal Electricity Commission (CFE) has emergency plans for electric generation, transmission and distribution infrastructure. There is a National Plan for Emergency Assistance for Transmission Lines, which is part of the Early Response System for Hurricanes Impact (SIRETIH). SIRETIH is supported by Mutual Assistance Groups (MAGs), which seek to integrate the capacities of local governments and civil defense units, of the private sector and of CFE. There is also an Emergency Response Plan for Electricity Distribution. Lastly, there are emergency plans for their thermoelectric plants, evidenced by the example of the Hurricane Emergency Procedure at the President "Adolph Lopez Mateos" Thermoelectric Complex. In addition, the CFE has created special plans based on different scenarios: firstly, for crucial infrastructure (such as hospitals and airports), and, secondly, for the metropolitan area of Mexico City, due to its demographic concentration and the potentially destabilizing effect that a power outage could have.</p> <p>Guatemala: The Electric Company of Guatemala (EEGSA), the transmission and distribution company that serves 60% of the customers in the country, has an Emergency Plan that is applied during large-scale alerts, emergencies and social events. Additionally, the National Institute of Electricity (INDE) has preparedness plans for emergencies affecting the country's principal hydroelectric plants, which contribute the largest percentage of electricity to Guatemala's power grid. This includes the Emergency Preparedness Plan of the Chixoy Hydroelectric Plant, located between the Departments of Quiché, Baja and Alta Verapaz, which contributes approximately 30% of the country's electrical grid and is the country's largest source of power generation.</p>

Code: DP 2-15

Closed-ended question
15. Does the country's largest telecommunication service provider have any emergency, contingency or continuity operation plans in the event of disaster?
General description of the indicator
Of all the Disaster Preparedness (DP) activities, planning is one of the most important, given that it not only provides a guide for a future probable event, but is also a reflective exercise that makes it possible to reach a certain degree of anticipation and to discover weaknesses and deficiencies that can be resolved ex-ante. Planning draws on valuable input: the information generated during the risk assessment, the knowledge on vulnerability and hazards; the historical information on past disasters; the outcomes of actions aimed at risk reduction, etc. For that reason a country's Disaster Risk Management (DRM) is considered to have a factor of quality when its public service providers include the responsibility of planning in their scope. This indicator is particularly interested in the largest telecommunications provider company in the country, valuing that it has developed an Emergency or Contingency Plan (EP) or a Business (or Operations) Continuity Plan (BCP). With the understanding that an NEP is the company's framework of action for DRM, specifying, among other things, its procedures, functions and responsibilities; and a Business (or Operations) Continuity Plan (BCP) is the protocol resulting from the vulnerability analysis of the company, aiming to, when applicable, facilitate the expeditious recovery of its functions, prioritizing those considered critical for the continuity of its services.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the largest telecommunications provider company in the country. 2. Verify whether the company has an EP or BCP in the event of disaster. 3. Review, if applicable, the information available on the company's webpage. 4. Look for the company's management reports. 5. Consult the company on this matter, if necessary. 6. Establish the existence of such plans by consulting with the sector's regulating bodies or with the entity responsible for the concession awarding process.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the largest telecommunications provider in the country must have an EP or BCP .
Examples of positive conditions in countries in the Region
Chile: The 2011-2012 Biennial Sustainability Report from ENTEL, the company with the highest revenues, states the following in its "Continuity of Service in Emergency Situations" section: "... 188 critical points have been established, in which signal transmission during a minimum of 48 hours is guaranteed, even when the electric supply is cut off."

Code: DP 3-1

Closed-ended question
<i>1. Do the regulations that govern the Disaster Preparedness processes establish mechanisms of civil society participation in all units of territorial management?</i>
General description of the indicator
Community participation in Disaster Preparedness (DP) processes is important in order to ensure a maximum of autonomous capacities from the territories. The express regulation must have a specific paragraph on community participation and social or non-governmental organizations.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Use the regulations identified in indicator DP 1A-1. 2. Verify whether this specific regulation establishes mechanisms of community participation, social or non-governmental organizations in the DP processes. 3. If the express regulation is more than three years old and does not include these processes, verify the existence of later regulations, such as decrees or national DP plans, that identify or establish these processes. Bear in mind that a national plan is a valid verifier only if it has been approved by a decree or another instrument that makes it binding.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the regulation must establish mechanisms of community participation, social or non-governmental organizations in the DP processes.
Examples of positive conditions in countries in the Region
<p>Colombia: In Colombia there are mechanisms in place for social and community participation in governmental affairs (Law 472 of 1998 on class actions, Law 850 of 2003 on citizen oversight, Law 393 of 1997 on Enforcement Actions of Administrative Acts, Law 134 of 1994 on popular legislative and normative initiatives, referenda, popular consults, removal of officials, plebiscites and open town meetings). All these mechanisms are applicable to disaster risk management, but they do not make a direct reference to DRM in the body of their text. The conditions is partially met through Decree 267 of 2000, which issues regulations on the organization and operation of the Office of the General Comptroller of the Republic, establishes its organic structure, dictates the functions of its offices and issues other provisions, and in Article 55, item 8, it establishes the functions of the Office of the Delegated Comptroller for Citizen Participation <i>"To promote the special monitoring, with the support of the other delegated comptrollers, of the state resources for citizen participation in emergencies and disasters."</i> Subsequently, with Law 1523 of 2012, by which the national disaster risk management policy was adopted and the National Disaster Risk Management System was established and other regulations were passed, the condition is wholly fulfilled. This is owed to Article 3 of the Law, section 5, where the participatory principle is set forth and defined in the following way: <i>"... It is the duty of the authorities and agencies of the National Disaster Risk Management System to recognize, facilitate and promote the organization and participation of ethnic communities and civic, community, neighborhood, charity, volunteer and public service associations. It is the obligation of all people to participate in the risk management process in their community."</i></p> <p>Peru: The Regulations of the Law of SINAGERD, approved through Supreme Decree N° 048-2011-PCM, of May 25, 2011, establishes in Article 19, the Civil Defense Platforms, defined as permanent spaces for participation, coordination and combined efforts. And it stipulates that: <i>"19.4 The participation of social organizations through their representatives is required"</i> and <i>"19.5 The humanitarian organizations tied to disaster risk management shall support and participate in the Civil Defense Platforms."</i></p> <p>Dominican Republic: Law No. 147-02, on Risk Management, of September 22, 2002, contains several articles that emphasize the participation of the social or private sector: <i>"Article 5. ... This National System is open, dynamic and functional, and is comprised of the following components... 2. Community and non-governmental organizations whose risk and disaster activities are related to prevention, mitigation, assistance and recovery of the population... Article 109. National Council for Prevention, Mitigation and Response to Disaster... 26. Three representatives from Civil Society, appointed by the President of the Republic, from representative Business, Professional, Labor or Community Associations... Article 14. Regional, Provincial and Municipal Disaster Prevention, Mitigation and Response Committees... Paragraph 1. These regional, provincial and municipal committees shall be comprised of the highest provincial and municipal authorities....In addition, two selected representatives of organized Civil Society from trade, professional or community associations shall attend...."</i></p>

Code: DP 3-2

Closed-ended question
2. Has the national controlling entity performed at least one assessment on Disaster Preparedness in the last 5 years?
General description of the indicator
<p>Just like indicators GF 3-3, RI 3-5, and RR 3-2, this indicator aims to determine whether any control or oversight body, superior auditor, comptroller's office, etc. (or their representatives in the country) has conducted a specific verification or assessment of Disaster Preparedness (DP) at least once in the last 5 years. Do not confuse this assessment with the condition that indicator DP 3-3 seeks to measure, related to the government's disaster response performance.</p> <p>The assessment referenced in this indicator, DP 3-2, may be the same one presented as a positive condition in indicators GF 3-3, RI 3-5 or RR 3-2, as long as its content includes the specific matter of disaster preparedness (not the response to a specific disaster or set of disasters).</p>
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Identify the specific entity responsible for conducting this type of assessments, whether it is a control or oversight body, superior auditor, comptroller's office, or other similar entity. 2. Investigate whether there has been at least one verification or assessment of compliance with the disaster preparedness regulations in the last 5 years in the country. 3. Possible verifiers include comptroller reports on disaster management following a catastrophic situation. 4. Directly contact the entity in charge or the one responsible of the preparedness process as it can be difficult to find this type of assessment online.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled at least one assessment report of disaster preparedness regulations compliance must have been carried out in the last 5 years by the national control entity.</p> <p>Careful: Do not confuse this with the assessment of the response to a specific disaster (which is what is asked in indicator DP 3-3). Indicator DP 3-2 specifically refers to the assessment of compliance with disaster preparedness regulations.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: Decree 267 of 2000, by which regulations on the organization and operation of the General Comptroller of the Republic are issued, its organic structure is established, functions of its agencies are stipulated and other regulations are passed, mandates a decentralized National Monitoring System for this purpose, thus, there are delegations of the comptroller in each department. In an interview with the General Comptroller of the Republic on September 6, 2013, it was reported that assessments had been made in several departments on compliance with Law 1523 of 2012. There was a case in which the General Comptroller of Santander issued the 004 Warning Function on March 13, 2013 to the Department Governor and all the Municipal Mayors, under the following subject heading: "<i>Promote and maintain active Contingency and Emergency Plans in order to prevent and address natural disasters caused by the winter wave, such as landslides and floods, among others, and to prevent and control forest fires,</i>" urging them to: "<i>Form and organize the risk management council and the committees... Create, form and organize the disaster risk management fund. This fund must be set up as a special account with technical and financial autonomy, in order to: invest, earmark and execute resources for the adoption of knowledge measures, disaster risk reduction, preparedness, response, rehabilitation and reconstruction.</i>" In other departments these types of actions were performed during the first semester of 2013, which has generated 10 Warning Functions related to risk management.</p> <p>Mexico: Performance Audit 09-0-04100-07-0141, Ministry of the Interior, Civil Defense, included in numeral II.4.1.1.3 of the 2009 Report on the Outcome of the Superior Audit of the 2009 Public Account, aimed to: "<i>Audit the financial management of the public federal resources applied by the Ministry of the Interior, in order to verify fulfilment of the objectives and goals of civil defense to anticipate and prevent damages caused by natural phenomena and to verify the professional competence of the public servants responsible for these actions...</i>". The report contents confirm that the audit included the assessment of activities pertaining to the scope of disaster preparedness.</p> <p>Costa Rica: Report No. DFOE-PGAA-IF-15-2009. Report on the Management of the National Commission for Risk Prevention and Emergency Response, on the matter of prevention. The report makes an exhaustive analysis of CNE mandates on all processes, including preparedness.</p>

Code: DP 3-3

Closed-ended question
<p>3. <i>Has the national controlling entity carried out at least one ex-post assessment on the government's response performance during one of the last 5 nationally-declared major disasters or during those when international assistance was requested?</i></p>
General description of the indicator
<p>In several cases, this type of mechanism has helped to improve the response processes and national strategies (government performance refers to the performance of any governmental institution involved in disaster management).</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the specific entity responsible for conducting this type of assessments, whether it is a control or oversight body, superior auditor, comptroller's office, or other similar entity. 2. Investigate whether at least one verification or assessment has been made on the response quality during one of the last 5 declared disasters. 3. Possible verifiers include the national controlling entity reports on disaster management following a catastrophic situation. 4. Directly contact the entity in charge or the one responsible of the preparedness process as it can be difficult to find this type of assessment online.
Description of the minimum required situation for positive conditions
<p>In order for the condition in this question to be fulfilled there must be at least one ex-post assessment of the government's response performance during one of the last 5 nationally-declared disasters.</p>
Examples of positive conditions in countries in the Region
<p>Chile: National Emergency Office Final Report, Report N°: 150/10 (December 15, 2010) - General Comptroller of the Republic, on the response to the February 27, 2010 earthquake and tsunami, considers among other things that: "<i>....evaluations of the processes of reception, monitoring and distribution of the emergency elements to the victims were carried out in the Regional Offices of Valparaíso, Rancagua, Talca, Bio Bio and La Araucanía, requiring the supervision of this process in some municipalities of the respective regions...</i>".</p> <p>Costa Rica: Report N° DFOE-PGAA-IF-15-2009, Report on the Limitations Presented by the Management of the National Commission for Risk Prevention and Emergency Response (CNE) in the Coordination, Supervision and Monitoring of Emergency Response in the Rehabilitation and Reconstruction Phases, of July 15, 2010 (DP-3-3a). The Report states on its page 4 that the scope of the report included the coordination, supervision and monitoring activities developed by CNE in the relief process of Emergency Decrees in force, pursuant to the regulations governing this matter.</p>

Code: DP 3-4

Closed-ended question
<i>4. Has the national entity responsible for coordinating Disaster Preparedness and response carried out at least one assessment on the quality of their process in the last 3 years?</i>
General description of the indicator
Conducting this type of assessment is considered an element that approximates the concrete implementation of that which is stipulated in the regulations. This exercise of internal control does not include those related to general administrative processes, but to essential disaster preparedness processes.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Analyze the structure of the National DRM System, as well as the structure of the country's monitoring and assessment system. 2. Investigate whether at least one quality assessment of the disaster preparedness processes was conducted in the last 3 years in the country by the national coordinating entity.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, there must be at least one exercise of internal control on the quality of the disaster preparedness response processes in the last 3 years by the national authority.
Examples of positive conditions in countries in the Region
<p>Mexico: The National Coordination of Civil Protection of the Ministry of the Interior generated and published on the online "Prevention Web" page, the National Report on Advances in the Implementation of the Hyogo Framework for Action (2011-2013), a document evaluating the progress, through the HFA Monitor mechanism, that has been made in Priority 5, which focuses on disaster preparedness.</p> <p>Chile: National Report on Progress in the Implementation of the Hyogo Framework for Action (2009-2011).</p>

Code: DP 3-5

Closed-ended question
<i>5. Has the national entity responsible for Disaster Preparedness adopted quality standards in humanitarian assistance at least in relation to water, sanitation, nutrition and temporary shelter?</i>
General description of the indicator
A criterion that approximates the improvement of the quality of the disaster preparedness processes is the formal recognition of principles such as the Humanitarian Charter and Minimum Standards in Humanitarian Response in cases of disaster (The Sphere Project), or equivalent minimum standards, with the purpose of establishing basic standards of post-disaster humanitarian aid.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Conduct interviews with the people responsible for the humanitarian assistance processes. 2. Identify whether there are reports from international bodies on this subject in the country. 3. Identify if some type of resolution or agreement has been issued adopting the minimum standards.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, the national entities responsible for disaster preparedness must have adopted quality standards in humanitarian assistance , at least with regard to water, sanitation, nutrition and temporary shelter.
Examples of positive conditions in countries in the Region
Peru: INDECI Logistic Plan AF-2013 (DP 3-6a), approved by Administrative Resolution 006-2013 of January 16, 2013, for humanitarian aid in emergencies or disasters. Number. 3: Concept of logistical support. C. Establishes the purchase of food and the assistance "taking into account the international guides and manuals, such as those from PAHO, WFP and the UN."

Code: DP 3-6

Closed-ended question
6. Was any mechanism of community participation activated in response to at least one of the last 5 nationally declared disasters or when international assistance was requested?
General description of the indicator
Some regulations establish the principle of participation, even identifying specific mechanisms of civil society participation; nevertheless, the concrete application of these principles is not always evident. Identifying the real existence of these mechanisms in practice is an approximation to fulfilling the established regulations.
Steps to follow for obtaining the required information
<ol style="list-style-type: none"> 1. Investigate whether the existing regulations include the development of participation and consultation mechanisms. 2. If such mechanisms exist in the law, verify that they are integrated and include community, civil society and private sector bodies. 3. Investigate whether the processes for encouraging participation, such as round tables, national discussions or consultations, that are not created in an express fashion, have been validated by DRM authorities as consultation mechanisms (the HFA report elaboration processes can be a source of information). 4. Investigate whether any of these participation mechanisms were implemented in one of the last five disaster situations.
Description of the minimum required situation for positive conditions
In order for the condition in this question to be fulfilled, there must be at least one mechanism of community participation and of social or non-governmental organizations in the response in one of the last 5 national disaster situations or one in which international aid was requested.
Examples of positive conditions in countries in the Region
<p>Colombia: Decree 267 of 2000, which issues regulations on the organization and operation of the Office of the General Comptroller of the Republic, establishes its organic structure, dictates the functions of its offices and issues other provisions, and in Article 55, item 8, it establishes the functions of the Office of the Delegated Comptroller for Citizen Participation, particularly the following one: "To promote the special monitoring, with the support of the other delegated comptrollers, of the state resources for citizen participation in emergencies and disasters." In compliance with this mandate, and in the context of the national disaster declared at the beginning of 2011 due to the so-called "winter wave" (La Niña Phenomenon), the CGR of Colombia has activated, as a participation mechanism, a "program for the special monitoring of the resources for disaster prevention and assistance." Two types of communitarian participation have been anticipated: (i) through the website where one publishes in "real time" everything related to the public expenditure and management (see the CGR website for citizen participation: http://186.116.129.19/web/guest/emergencia-internal); Additionally, there is the (ii) citizen hearings; according to the last special report of the CGR on the governmental management of the "winter wave;" there have been 35 hearings (18 departmental and 17 national hearings) attended by more than 2,100 people.</p> <p>Panama: Report on the Community Preparedness and Response System activated in the 2010 floods of the Rio Chucunaque river basin. During the floods, which affected a large portion of the national territory and led to a declaration of national emergency, the community disaster preparedness system in the river basin of the Chucunque river was activated, in the Province of Darién.</p> <p>Costa Rica: Executive Decree N° 34993-MP, of January 12, 2009, establishes the General Plan of the 6.2 Richter Earthquake Emergency, Earthquake of Cinchona, that states in its Point 5 - Actions for emergency Assistance "<i>Section 5.1. The initial impact or response phase efforts were led by the CNE and the work carried out by the institutions affiliated with the Emergency Operations Center (COE) and the emergency committees. Nevertheless, it is important to emphasize the participation of municipalities with their own functional structure and the voluntary participation of private companies and of individuals.</i>"</p>

Code: RC 1A-1

Closed-Ended Question
1. Are there regulations on post-disaster recovery which define the responsibility of the State in this process?
General description of indicator
Post-Disaster Recovery (RC) refers to the process to re-establish acceptable and sustainable life conditions through the rehabilitation, repair or reconstruction of infrastructure, assets and services that were destroyed, interrupted or deteriorated in the affected area, and the reactivation of or boost to the economic and social development of the community under conditions of lower risk than their pre-disaster levels. RC is a Disaster Risk Management (DRM) process, given that by carrying out its activities, one attempts to not recreate the pre-existing risk conditions. This indicators aims to identify the definition of the State's responsibility to address RC within the legal framework of the country.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the DRM regulations. 2. Determine if the RC process has been integrated into these regulations (this can be as an activity or area of action). 3. Determine if the regulations establish a framework of responsibilities for the State with regard to the RC process.
Description of the minimum required situation for positive conditions
<p>Verify the presence of regulations for the actions of the State with regard to RC processes.</p> <p>If a specific country only has regulations for the rehabilitation phase (meaning, the reestablishment of critical vital services that were interrupted or deteriorated by the disaster), but not for the other phases of the process (reconstruction of destroyed infrastructure, assets and services and reactivation or stimulation of economic and social development), then the condition is not met.</p> <p>NOTE: this is asking for permanent regulations for this process, <i>ad hoc</i> regulations that were created to carry out reconstruction after a specific disaster and that will not continue after the recovery process has been carried out (such as when special temporary reconstruction funds or programs are created) are not applicable.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law No. 29664, which created the National Disaster Risk Management System (SINAGERD), of February 8, 2011, lists the Guidelines for the National Disaster Risk Management Policy, including letter "i," which states <i>"public entities at all levels of government should evaluate their corresponding financial and budgetary capacity for disaster response and the subsequent reconstruction phase within the framework of current legal provisions."</i> Additionally, the Regulations for the SINAGERD Act, approved via Supreme Decree No. 048-2011-PCM, of May 25, 2011, establish the responsibilities of the National Disaster Risk Estimation, Prevention and Reduction Center (CENEPRED) with regard to reconstruction (Articles 5 and 6).</p> <p>Costa Rica: Law No. 8488, The National Emergency and Risk Prevention Act, of October 27, 2005, establishes the risk management policy, which should <i>"...be a central part of the work of the Costa Rican State, coordinating public tools, programs and resources in ordinary and extraordinary institutional and sector activities to avoid the occurrence of disasters and provide disaster response during all phases,"</i> as described in Article 5. Additionally, Article 30 establishes the Phases for emergency response: <i>"a) Response phase: ... b) Rehabilitation phase: ... c) Reconstruction phase: This is the phase aimed at restoring the normal operation of affected public services. It includes the reconstruction and restoration of damaged public infrastructure and social interest projects, as well as the implementation of measures to regulate land use in order to prevent later damage. The Commission shall have a maximum period of five years to conclude the reconstruction phase."</i></p>

Dominican Republic: Law No. 147-02, On Risk Management, of September 22, 2002, describes coordination plans for recovery in the following fashion: *"Article 24. Specific Action Plan for Post-Disaster Recovery and Response. Once a disaster situation has been declared and the National Emergency Plan has been activated, the National Emergency Commission shall create a specific action plan to return to normalcy, and recover and rebuild the affected areas, which shall be mandatory for all public or private entities that contribute to its implementation pursuant to the decree issuing it and its amendments."*

Guatemala: The Regulations of Law No. 109-96, the National Coordinator for Reduction of Natural or Man-made Disasters Act (CONRED), adopted through Governmental Agreement No. 49-2012, of March 14, 2012, Chapter VIII, Recovery and Reconstruction, states: *"Article 106... During the recovery and reconstruction phases, all CONRED offices shall ensure compliance with all applicable manuals, standards and codes in order to apply disaster risk reduction, prevention and mitigation measures,"* and *"Article 107...CONRED shall create a Post-Disaster Recovery Protocol, which shall be made up of activities and projects validated by members of the Office of the Executive Secretariat provided the necessary funds for implementation have been found, allocated and made available."*

Code: RC 1A-2

Closed-Ended Question
2. Are there regulations that establish the recovery of livelihoods as a purpose of post-disaster recovery?
General description of indicator
<p>This indicator is a quality attribute for the regulations described in the previous indicator (RC 1A-1). Attempts to verify if the country has explicitly emphasized the importance and relevance of recovering livelihoods (i.e. means of production and subsistence within affected communities).</p> <p>The spirit of this indicator lies in the recognition that Post-Disaster Recovery (RC) should go beyond simple restoration of affected housing or infrastructure, meaning, that it should also consider political, social and economic processes within the RC phase.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations on RC. 2. Identify the purposes, objectives or goals (or equivalent) of the RC regulations. 3. Determine if the recovery of livelihoods is actually considered to be one of the purposes, objectives or goals (or equivalent) of the RC regulations.
Description of the minimum required situation for positive conditions
<p>The objectives, purposes or goals (including justifications) of RC regulations should consider the recovery of livelihoods (economic and social recovery) and not only the physical restoration of affected housing and infrastructure.</p> <p>NOTE: this is asking for permanent regulations for this process, <i>ad hoc</i> regulations that were created to carry out reconstruction after a specific disaster and that will not continue after the recovery process has been carried out (such as when special temporary reconstruction funds or programs are created) are not applicable.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law No. 29664, which creates the National Disaster Risk Management System (SINAGERD), of February 8, 2011, states in number 6.2, letter d, that the reconstruction process is "<i>Actions carried out to created sustainable development conditions in affected areas by reducing previous disaster risk and ensuring the physical, economic and social recovery of the affected communities.</i>" Additionally, Supreme Decree No. 048-2011-PCM, which approves the Regulations of Law No. 29664, which creates the National Disaster Risk Management System (SINAGERD), of May 25, 2011, states in number 34.2 that a recovery sub-process is the "<i>progressive normalization of livelihoods.</i>"</p> <p>Mexico: Article 2 of the General Civil Protection Act, of June 6, 2012, defines reconstruction as "<i>The transitory action aimed at achieving the social and economic normalcy of the population before suffering the effects of a disruptive agent in a specific area or jurisdiction...</i>" There are various federal programs that incorporate this principle into their rules of operation and that provide public funding for post-disaster economic recovery processes. One example is the Temporary Employment Program (PET), which includes the following among its general objectives: "<i>2.1 Contribute to the economic well-being of those affected by emergencies or other adverse situations that decrease their income through support provided through participation in social or community benefit programs.</i>" The Agricultural-Related Trusts (FIRA) are another example. They are managed by the Bank of Mexico and include the Permanent Support Program for Areas Affected by Natural Disasters, the purpose of which is "<i>To accelerate institutional response to helping businesses and economic reactivation in regions affected by natural disasters.</i>" This Special Program is automatically activated once the Department of Governance issues the Declaration of Natural Disaster, or, if applicable, based on the weather forecast issued by the National Water Commission (CONAGUA). FIRA support includes short-term loans for the reactivation of the regional economy through the creation of rehabilitation projects and support for businesses located in affected areas, among other items.</p> <p>Guatemala: The National Disaster Risk Reduction Policy, issued via Agreement No. 06-2011, Minutes 03-2011, of the National Council of the National Coordinating Office for the Reduction of Natural or Man-made Disasters (CONRED), of July 15, 2011, includes the following within its objectives: "... <i>Plan and implement actions in a coordinated and systematic fashion to reestablish, in a relevant, timely, safe and sustained way, conditions and livelihoods and to recover balance with nature, in the event that families, productive systems and the social fabric have been lost as a consequence of a socio-natural event, preventing the recreation of risk factors.</i>"</p>

Code: RC 1A-3

Closed-Ended Question
3. Are there regulations that mandate institutional arrangements for coordinating post-disaster reconstruction?
General description of indicator
<p>This indicator aims to determine if there are current DRM regulations in the country that establish institutional plans for the RC process.</p> <p>It looks to determine if the country has considered the importance of having RC (including reconstruction) carried out within the regulatory or institutional framework of DRM in the country, at least in those cases when the magnitude of the disaster is not greater than the capacities of the participating institutions. This indicator is based on the understanding that the <i>ad hoc</i> organizations that are often created in disaster situations often carry out their management without leaving behind any installed capacity within the state to face subsequent new recovery processes and, like in RC, prospective risk management is at stake, meaning the capacity to avoid preserving pre-existing risks or creating new ones.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations on RC. 2. Determine if these regulations establish institutional plans or procedures for RC.
Description of the minimum required situation for positive conditions
<p>The RC regulations should consider institutional plans for reconstruction coordination that avoid or limit the creation of <i>ad hoc</i> institutions.</p> <p>NOTE: this is asking for permanent regulations for this process; <i>ad hoc</i> regulations that were created to carry out reconstruction after a specific disaster and that will not continue after the recovery process has been carried out (such as when special temporary reconstruction funds or programs are created) are not applicable.</p>
Examples of positive conditions in countries in the Region
<p>Dominican Republic: Law No. 147-02, On Risk Management, of September 22, 2002, describes coordination plans for recovery in the following fashion: "<i>Article 24. Specific Action Plan for Post-Disaster Recovery and Response. Once a disaster situation has been declared and the National Emergency Plan has been activated, the National Emergency Commission shall create a specific action plan to return to normalcy, and recover and rebuild the affected areas, which shall be mandatory for all public or private entities that contribute to its implementation pursuant to the decree issuing it and its amendments.</i>" Paragraph I also describes the corresponding areas for inter-institutional coordination and the procedures to follow for regional, provincial or municipal situations.</p> <p>Mexico: The General Civil Protection Act of June 6, 2012, defines a disaster (article 2, section XVI) and a declaration of disaster (articles 7, section IV, and 19, section XI). Then, in Chapter XII, On Financial Instruments for Risk Management, it establishes a financial management regime and, for the same, sets the <i>sine qua non</i> requirements to issue a disaster condition declaration (under very specific legal and technical conditions) in order to access the disaster fund resources. The foregoing is a standard process that permanently repeats. In this chapter, Article 63 makes the regulation of procedures, formulas for financing and co-financing and other requirements for access to and use of resources for post-disaster reconstruction subject to administrative regulations, meaning the General Rules of the Natural Disaster Fund (FONDEN) and the Specific Operational Guidelines for FONDEN</p> <p>Guatemala: The Regulations of Law No. 109-96, the Office of National Coordination for the Reduction of Disasters of Natural or Man-made Origin Act (CONRED), adopted via Governmental Agreement No. 49-2012, of March 14, 2012, establishes in Article 43 that "<i>the Department of Recovery is in charge of</i></p>

establishing the strategy and plans for rehabilitation and reconstruction with transformation in affected areas in accordance with the guidelines and directives issued by the central government, the Department of Planning and Scheduling of the Presidency (SEGEPLAN) and other related national offices, as well as the corresponding validation..." The specific responsibilities defined for this Department in Article 43 include: *"f. Coordinate and direct the rehabilitation and reconstruction strategy for areas affected by natural or man-made disasters, in a rapid fashion with the appropriate level of quality, coordinating support with the various state and non-state institutions in accordance with the legal mandate of the institution as a whole and with the institutions and sectors with authority in the area."* Additionally, Article 107 of the Regulations, on the Post-Disaster Recovery Protocol, state: *"CONRED shall create a Post-Disaster Recovery Protocol, which shall be made up of activities and projects validated by members of the Office of the Executive Secretariat provided the necessary funds for implementation have been found, allocated and made available..."* The Post-Disaster Recovery Protocol, the last update of which was published by SE-CONRED in November 2012, details how the activation of the recovery process, strategic management and guidance and preparation of the conditions and start of recovery will be carried out. At the strategic management and guidance level, the Protocol details the sub-processes, responsibilities and tools of the process, and states that the Presidency is in charge of its implementation of this phase. Finally, within the framework of the National Roundtable for Dialogue, a Multisectorial Roundtable for Post-Disaster Recovery was created in order to coordinate actions and allow for the representation of all actors or sectors participating in national recovery processes.

Closed-Ended Question
4. Are there regulations that mandate the performing of studies on the causes of disasters to guide recovery in such a way to prevent the return of the pre-existing risk conditions?
General description of indicator
<p>One recent advance in the area of Disaster Risk Management (DRM) is a methodology known as "forensic investigation" of disasters. This is research on the causes of disasters in order to guide recovery in such a way as to prevent the return of pre-existing risk conditions.</p> <p>This indicator is based on the understanding that risk is a process that always has causal factors (dynamic pressures and root causes) that can often be the fundamental cause for losses. Normally, the causal agents of disasters are political, social or economic in nature, since natural events act as "detonators" for pre-existing conditions that determine disaster risk. Therefore, this indicator evaluates if DRM regulations, or those that apply to RC processes, establish the requirement of studying the causes of disasters, such that pre-existing risks are not recreated during the reconstruction process.</p> <p>NOTE: The concept of "dynamic pressures and root causes" refers to the <i>Disaster Pressure and Release Model</i> (Blaikie, et al, 1994).</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations that apply to RC processes. 2. Determine if they establish the requirement of conducting studies to determine the causes of disasters.
Description of the minimum required situation for positive conditions
<p>The regulations should establish the carrying out of studies on the causes of the disaster, which should not be confused with evaluations on the impact of the disaster (such as ex post evaluations conducted by ECLAC). This indicator refers to the analysis of underlying risk factors (for example: inadequate land use, environmental degradation, social marginalization and exclusion, accelerated urban growth, lack of application of prevention standards in construction, etc.)</p> <p>NOTE: <i>this indicator is asking for permanent regulations for this process; ad hoc regulations that were created to carry out reconstruction after a specific disaster and that will not continue after the recovery process has been carried out (such as when special temporary reconstruction funds or programs are created) are not applicable.</i></p>
Examples of positive conditions in countries in the Region
<p>Peru: The Regulations of Law No. 29664, which creates the National Disaster Risk Management System (SINAGERD), approved via Supreme Decree No. 048-2011-PCM, of May 25, 2011, establishes the sub-processes for Reconstruction in article 36, including number 36.4 on impact assessment, which consists of "<i>Conduct an assessment of socioeconomic impact in the scene of disaster, identifying dynamic pressures and root causes.</i>" This is supplemented by the participatory planning sub-process, which, per number 36.7 aims to "<i>Actively create a comprehensive reconstruction plan that does not recreate pre-existing risks, defining the scope, implementation strategies, activities and responsibilities, budgets and monitoring and evaluation indicators.</i>"</p> <p>Mexico: The General Rules of the Natural Disaster Funds (RGFONDEN), of December 3, 2010, list the goals of FONDEN in Article 4, section I, second paragraph, and state: "<i>...with the understanding that the office or entity of the Federal Public Administration responsible for the sector should evaluate and, as appropriate, validate the technical arguments and documents for the improvements and additions for the actions included in the damage restoration program, in order to guarantee that the assets will operate within the recommended margins of safety.</i>" Additionally, the General Civil Protection Act of June 6, 2012, general describes the reconstruction process (Article 2, section XLIII), especially in its second section: "<i>Reconstruction: ...This process aims to reduce existing risks as much as possible by ensuring that new risks are not created and improving pre-existing conditions.</i>"</p>

Code: RC 1A-5

Closed-Ended Question
5. Are there regulations mandating the development of post-disaster recovery plans that explicitly seek to reduce pre-existing vulnerability?
General description of indicator
This is a quality element for post-disaster recovery: the creation of a reconstruction plan that explicitly aims to reduce pre-existing vulnerability.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations that apply to RC processes. 2. Identify if these regulations establish the <i>ex-post</i> creation of recovery or reconstruction plans. 3. Determine if the regulations explicitly state that the plan should essentially aim to reduce pre-existing vulnerability.
Description of the minimum required situation for positive conditions
<p>The regulatory framework for RC establishes the <i>ex-post</i> formulation of recovery plans that explicitly have the objective of reducing pre-existing vulnerability.</p> <p>NOTE: this is asking for permanent regulations for this process; <i>ad hoc</i> regulations that were created to carry out reconstruction after a specific disaster and that will not continue after the recovery process has been carried out (such as when special temporary reconstruction funds or programs are created) are not applicable.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Law No. 29664, which creates the National Disaster Risk Management System (SINAGERD), of February 8, 2011, number 6.2 states that the implementation of the National Disaster Risk Management Policy is achieved through planning, organization, management and oversight of activities and actions. Later, the process described in section d defines the objective of reconstruction as "...<i>establishing sustainable development conditions in the affected areas, reducing the risk from before the disaster and ensuring the physical, economic and social recovery of the affected communities.</i>" Additionally, article 35 of Supreme Decree No. 048-2011-PCM, which approves the Regulations of Law No. 29664, of May 25, 2011, states that one of the objectives of the reconstruction process is "<i>reducing the risk from before the disaster.</i>" With regard to the creation of post-disaster plans, Law No. 29664, article 10 on the responsibilities of the Presidency of the Council of Ministers (PCM), item j, proposes that this entity should, in situations of large scope disasters, should, together with the Ministry of Economy and Finance, "...<i>propose the institutional and financial reconstruction plan to the National Disaster Risk Management Council based on an analysis of vulnerabilities, damages and needs.</i>" Finally, article 36, number 7 of the Regulations state that part of the reconstruction process is: "...to actively create a comprehensive reconstruction plan that does not recreate pre-existing risks."</p> <p>Costa Rica: The 2010-2015 National Risk Management Plan from the National Commission for Risk Prevention and Emergency Response, states the following in Thematic Item 7, Disaster recovery and reconstruction, Policy guideline 1: "<i>Guarantee the recovery of populations in areas affected by emergencies and disasters, through the execution of actions and measures that guarantee the safety of life, and access to and continuity of basic and vital services. This should be considered within a gradual stabilization and emotional, social and economic reconstruction process and should aim to not promote the recreation of vulnerability.</i>"</p> <p>Mexico: Article 4, section I, second paragraph of the Operating Rules for the Natural Disaster Fund (ROFONDEN), of December 3, 2010, state: "<i>The reconstruction or restitution projects for assets should include, to the extent possible, individual mitigation measures for future damages, through design or construction standards that reduce vulnerability to future threats...</i>"</p>

Code: RC 1A-6

Closed-Ended Question
6. Are there regulations mandating the <i>ex-ante</i> development of post-disaster recovery plans?
General description of indicator
<p>This indicator looks to determine a quality criterion for RC regulations on the reconstruction process, specifically on the moment when recovery plans should be created.</p> <p>Normally, countries (even without legislation in this regard) only concern themselves with recovery after the occurrence of a disaster, even in those that have possible damage scenarios and that have disaster preparedness and public service recovery processes.</p> <p>For the purposes of response planning, it is considered best practice to create post-disaster recovery plans in advance. These are plans based on scenarios of damages, losses and needs that contain, among others: (i) a plan for information and capacity generation (based on the deficits identified in the analysis of scenarios, including such actions as training and investments to have databases for recovery planning), (ii) a plan to identify those inter-institutional agreements for recovery that should be created (including agreements with the private sector), (iii) a recovery financing plan, and (iv) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations that apply to RC processes. 2. Determine if they mandate the creation of recovery or reconstruction plans. 3. Determine if this creation should be carried out in an <i>ex ante</i> fashion (at least at a basic or general planning level).
Description of the minimum required situation for positive conditions
<p>Existence of regulations that mandate the <i>ex ante</i> creation of post-disaster recovery plans, at least at the general or schematic level (planning of prior activities that could be carried out before the disaster condition is confirmed).</p> <p>NOTE: this is asking for permanent regulations for this process, <i>ad hoc</i> regulations that were created to carry out reconstruction after a specific disaster and that will not continue after the recovery process has been carried out (such as when special temporary reconstruction funds or programs are created) are not applicable.</p>
Examples of positive conditions in countries in the Region
<p>Mexico: This concept is incorporated into the Operational Continuity Plans in the General Civil Protection Act, of June 6, 2012, which states in article 3, section XII, that "<i>The planning, documentation, and implementation process that guarantees that the main activities of public, private and social institutions affected by a disruptive agent can be recovered and returned to normal in the shortest amount of time. This planning should be contained in a document or series of documents focused on prevention, immediate response, recovery and restoration, all supported by constant training sessions and the performance of simulations...</i>"</p> <p>Costa Rica: Law No. 8488, the National Risk Prevention and Emergencies Act, of October 27, 2005, describes the national risk management plan in Article 7, stating "<i>...In order to apply the risk management policy, the Commission must design and implement the national risk management plan as a strategic planning tool, which allows for the systematic and comprehensive coordination of the programs within the subsystems and the delineation of institutional competencies, allocation of resources, organization and verification and oversight mechanisms.</i>"</p>

Code: RC 1A-7**Closed-Ended Question**

7. Are there regulations mandating that post-disaster recovery plans define the duration of the phase that will support the restoration of livelihood, during the transition between the response and reconstruction?

General description of indicator

Like previous indicators, this is a quality criterion for RC regulations, especially with regard to determining the responsibility of the State to define the duration of the livelihood recovery phase, and that the same be carried out during "the transition" between response (humanitarian aid) and infrastructure reconstruction.

If the recovery phase for the livelihoods affected or destroyed is not addressed in due time and is not tied to the humanitarian aid phase immediately following impact, the families affected by disasters may experience decapitalization (and therefore impoverishment) and possibly a forced migration to zones with greater economic activity.

This indicator also aims to avoid situations in which new infrastructure is built to shelter affected populations in a zone that has not seen the parallel development of economic activity in order to ensure the permanence of said population in the new area of residence (erg, the initial relocation experience for the affected populations of Tegucigalpa, Honduras in the Amaranth valley after hurricane Mitch. This situation was partially corrected later by encouraging entrepreneurial activities among the resident population).

Steps to follow to obtain the required information

1. Identify the regulations that apply to RC processes.
2. Analyze if said regulations state that reasonable (maximum) time limits should be set to carry out recovery plans (these can vary depending on the complexity of the disaster scenario).
3. Determine if the livelihood recovery phase is included within the transition between response and reconstruction of housing or infrastructure.

Description of the minimum required situation for positive conditions

Verify that there are current regulations that mandate that post-disaster recovery plans should define the duration of the phase that will support the restoration of livelihoods, and that this process should be carried out during the transition between response and reconstruction.

NOTE: this is asking for permanent regulations for this process, *ad hoc* regulations that were created to carry out reconstruction after a specific disaster and that will not continue after the recovery process has been carried out (such as when special temporary reconstruction funds or programs are created) are not applicable.

Examples of positive conditions in countries in the Region

Given the lack of examples in the region, a hypothetical situation is proposed for compliance with this indicator, which is the existence of regulations tied to the general regulatory framework for the post-disaster recovery process that specifically establish the duration (can be a period of time) of the phase for restoring livelihoods and also states that this process should be carried out during the transition between response and reconstruction.

Code: RC 1A-8**Closed-Ended Question**

8. *Are there regulations mandating that post-disaster recovery plans define the period in which affected homes are repaired or rebuilt?*

General description of indicator

Like indicator RC 1A-7, this indicator looks to see if the regulations for the RC process state that recovery plans should define the period in which affected housing that is the fiscal responsibility of the State should be repaired or rebuilt.

The establishment of goals associated with reasonable periods of time within reconstruction plans is considered best practice in order to reduce uncertainty in the affected population and improve the image and performance of the State in this Disaster Risk Management (DRM) process.

Steps to follow to obtain the required information

1. Identify the regulations that apply to RC processes.
2. Analyze if said regulations state that recovery plans should establish a reasonable (maximum) period of time for the housing repair or reconstruction phase.

Description of the minimum required situation for positive conditions

Current regulations that state that RC plans should define the duration of the period in which affected housing (that is the fiscal responsibility of the state, per regulations) should be repaired or rebuilt. In the Latin America and Caribbean region, the State is usually wholly or partially responsible for the cost of rebuilding affected housing for the poorest socio-economic levels.

Examples of positive conditions in countries in the Region

Mexico: The Operational Guidelines for the Natural Disaster Fund (LOFONDEN) (2010) establish that reconstruction tasks shall have calendars for projects and actions (article 20), even before resources are authorized. Appendix IV "Housing aid," item 1, On scope, states that once the emergency phase is over, the housing aid actions will be carried out in two phases, immediate response or reconstruction. Number 2, Specific considerations for methods, states that based on the scope of affected housing, it will be ranked in one of four levels of damage, and number 3.7 defines the methods for terminating housing support. Finally, number 7 of Appendix IV of item 7.5 states that the project calendars can only be modified twice.

Costa Rica: Law No. 8488, the National Emergency and Risk Prevention Act, of October 27, 2005, states in Article 30 that the phases for emergency response are: a) Response phase, b) Rehabilitation phase and c) Reconstruction phase, and in the last one, it states: *"The Commission shall have a maximum period of five years to conclude the reconstruction phase."*

Code: RC 1B-1

Closed-Ended Question
<i>1. Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the environmental sector regulations?</i>
General description of indicator
<p>This indicator assess if the environmental sector regulations establish the responsibility of carrying out Post-Disaster Recovery (RC) preparations in advance as part of its competency, meaning those preparation actions carried out, at least partially, in an <i>ex ante</i> fashion against the occurrence of disasters, and not just those <i>ex post</i> actions (which is the most common practice in the region).</p> <p>These RC preparations can include: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) the creation a plan for information and capacity generation (based on the capacity deficits identified in the analysis of recovery scenarios, including such actions as training and investments to have <i>ex ante</i> databases for recovery planning), (iii) the creation and implementation of inter-institutional agreements for recovery (including agreements with the private sector), (iv) the creation and implementation of a recovery financing plan (which shall include financial protection tools and options for reorienting the budget and programs) and (v) the creation of an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for expected scenarios. And these are within the scope of competencies of the environmental sector.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the environmental sector regulations related to Disaster Risk Management (DRM) processes or similar items. 2. Determine if said regulations define the responsibility of carrying out <i>ex ante</i> RC preparations against the occurrence of disasters as within the scope of its competencies.
Description of the minimum required situation for positive conditions
Environmental sector regulations that establish the responsibility to carry out <i>ex ante</i> RC preparations against disasters.
Examples of positive conditions in countries in the Region
<p>Given the lack of examples in the region, a hypothetical situation of compliance for this indicator is proposed in which a regulatory framework exists for the sector that establishes responsibilities with regard to recovery preparation (ex ante actions) within the scope of its own sector competencies. The type of activities that should be planned in an ex ante fashion for the environmental sector could include (depending on the specific competencies assigned to the sector in each country): (i) handling of rubble created by the disaster, (ii) promotion of recovery that incorporates environmental considerations and environmentally-sustainable livelihoods and (iii) recovery of ecosystems (Adapted from Guidance Note on Recovery: Environment, ISDR, IRP, UNDP, 2010)</p>

Code: RC 1B-2

Closed-Ended Question
2. Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the agriculture sector regulations?
General description of indicator
<p>This indicator assess if the agriculture sector regulations establish the responsibility of carrying out Post-Disaster Recovery (RC) preparations in advance as part of its competency, meaning those preparation actions carried out, at least partially, in an ex ante fashion against the occurrence of disasters, and not just those ex post actions (which is the most common practice in the region).</p> <p>These RC preparations can include: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) the creation a plan for information and capacity generation (based on the capacity deficits identified in the analysis of recovery scenarios, including such actions as training and investments to have ex ante databases for recovery planning), (iii) the creation and implementation of inter-institutional agreements for recovery (including agreements with the private sector), (iv) the creation and implementation of a recovery financing plan (which shall include financial protection tools and options for reorienting the budget and programs) and (v) the creation of an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for expected scenarios. And these are within the scope of competencies of the agriculture sector.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the agriculture sector regulations related to Disaster Risk Management (DRM) processes or similar items. 2. Determine if said regulations define the responsibility of carrying out ex ante RC preparations against the occurrence of disasters as within the scope of its competencies.
Description of the minimum required situation for positive conditions
Agriculture sector regulations that establish the responsibility to carry out <i>ex ante</i> RC preparations against disasters.
Examples of positive conditions in countries in the Region
<p>An example of these regulations would be the regulatory framework of the sector that establishes responsibilities with regard to recovery preparation (ex ante actions) within the framework of their sector competencies, which for agriculture could include provisions to reactivate agricultural production, identifying irrigation systems (critical areas) and production infrastructure (silos, storehouses, warehouses) that could be affected and creating financial protection mechanisms to fund recovery.</p> <p>Argentina: Law No. 26.509, which creates the National Agricultural Emergency and Disaster Prevention and Mitigation System (Agricultural Emergency), of August 27, 2009, states in Article 12 that "<i>The resources allocated in the general budget act for prevention actions and resources from the Fund created by this law to mitigate and/or repair the damages caused by agricultural emergencies and disasters shall include: 1. Investment and operating expenses for public organizations that will develop systems for prevention, land organization, and mitigation and preparation measures for agricultural producers in order to reduce vulnerability; 2. Investment and operating expenses for the direct beneficiaries arising from the mitigation measures or those to reduce the vulnerability of their productive units at greater risk of possible agricultural emergencies and/or disasters. 3. Specific permanent programs for prevention and mitigation of agricultural emergencies and/or disasters that are developed by the Department of Agriculture, Livestock, Fishing and Food.</i>" Article 13 indicates those resources aimed for public organizations: "<i>The resources allocated in the general budget act for prevention actions and resources from the Fund created by this law to mitigate and/or repair the damages caused by agricultural emergencies and disasters for public entities shall include: a) one-time subsidies for the creation of projects, organization of the beneficiary community, monitoring and information transfer systems, protection projects, creation of maps of risk, among other preparation actions against the possible occurrence of adverse events; b) subsidies for operating expenses of alert systems created during the first three (3) years.</i>"</p>

Chile: The legal framework of the agriculture sector gives the Agricultural Development Institute (INDAP) the functions and resources to allow it to plan and support recovery actions in the agricultural sector after disasters, such as those below: Law No. 18,910, Ministry of Agriculture (1990), Organic Law for the Agricultural Development Institute (INDAP), states: *"Article 3. In order to achieve the indicated objectives, the Institute may development, especially, the following functions... 5) Provide subsidies pursuant to law for productive purposes, rural development projects or to address emergency situations in the rural sector... 7) The provision of credits and subsidies, rural development programs and credit assistance, as well as any benefits provided by the Institute to individuals, companies or communities, should be granted based on previously-regulated objective parameters, except in emergency situations. All the potential beneficiaries of the Institute shall have access to said information..."* Exempt Resolution No. 1049, Agricultural Development Institute (2010), establishes the operational procedures for the granting of emergency incentives, and includes the following in its objectives: *"a) Seek the survival of livestock, b) Seek the replenishment of agricultural and/or veterinary supplies needs to protect productive systems, c) allow for the restoration of damaged harvests, property infrastructure and productive projects... affected by the Emergency situation... and d) Rehabilitate, within the context of the emergency situation and, as opportunity allows...agricultural producers and rural farmers..."*

Dominican Republic: Resolution No. 34-11 of the Ministry of Agriculture, of June 13, 2011, states in Article 5 *"The mission of the department shall be to organize management and coordinate with the office of the National Prevention, Mitigation and Response System in order to apply the prevention and reduction of risks and facilitate the organization of preparations for emergency response, rehabilitation and reconstruction in the event of disaster, incorporating Disaster Risk Management into planning for the Dominican agricultural sector..."*

Code: RC 1B-3

Closed-Ended Question
3. Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the health sector regulations?
General description of indicator
<p>This indicator assess if the health sector regulations establish the responsibility of carrying out Post-Disaster Recovery (RC) preparations in advance as part of its competency, meaning those preparation actions carried out, at least partially, in an <i>ex ante</i> fashion against the occurrence of disasters, and not just those <i>ex post</i> actions (which is the most common practice in the region).</p> <p>These RC preparations can include: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) the creation a plan for information and capacity generation (based on the capacity deficits identified in the analysis of recovery scenarios, including such actions as training and investments to have <i>ex ante</i> databases for recovery planning), (iii) the creation and implementation of inter-institutional agreements for recovery (including agreements with the private sector), (iv) the creation and implementation of a recovery financing plan (which shall include financial protection tools and options for reorienting the budget and programs) and (v) the creation of an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for expected scenarios. And these are within the scope of competencies of the health sector.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the health sector regulations related to Disaster Risk Management (DRM) processes or similar items. 2. Determine if said regulations define the responsibility of carrying out <i>ex ante</i> RC preparations against the occurrence of disasters as within the scope of its competencies.
Description of the minimum required situation for positive conditions
<p>Health sector regulations that establish the responsibility to carry out <i>ex ante</i> RC preparations against disasters. For the health sector, the regulations could be on the pre-identification of health infrastructure that is vulnerable to disasters (e.g., through the application of the hospital safety index), defining protocols to guide and streamline the re-establishment of affected health infrastructure, protocols for the treatment of patients in conditions suffering from prolonged lack of resources (medicine, staff), plans for healthcare for populations relocated to temporary housing solutions, plans for psychological care for populations affected by a possible disaster, databases with resources and staff trained for the recovery phase, and the <i>ex ante</i> creation of financial strategies for recovery.</p> <p>(Information adapted from Guidance Note on Recovery: Health , ISDR, IRP, UNDP, 2010)</p>
Examples of positive conditions in countries in the Region
<p>Dominican Republic: Decree No. 213-09, which establishes the Regulations for the State Department of Public Health and Social Welfare for the Prevention, Mitigation and Response to Emergencies and Disasters, of March 10, 2009, provides for the performance of post-disaster recovery preparation activities: "<i>17. The Health Emergencies Committee (CES) is created, which shall be responsible for developing health policies, carrying out prevention, mitigation, preparation, response and rehabilitation actions to reduce the impact of disasters...</i>" And in the case of territorial management units "<i>Article 24. The functions of the Provincial Health Committee and the Municipal Health Committee for Emergencies and Disasters (CPSED) are the following... 5. Develop and update emergency and contingency plans for the preparation, response and rehabilitation of the health sector in the event of a disaster...</i>" And finally, in addition to the creation of committees, specific actions are created through planning: "<i>34. State Department of Public Health and Social Welfare shall create a National Emergency Plan for the Health Sector, which shall describe the prevention, preparation, mitigation, response and rehabilitation activities for emergency and disaster situations.</i>"</p>

Code: RC 1B-4

Closed-Ended Question
4. Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the housing sector regulations?
General description of indicator
<p>This indicator assess if the housing sector regulations establish the responsibility of carrying out Post-Disaster Recovery (RC) preparations in advance as part of its competency, meaning those preparation actions carried out, at least partially, in an <i>ex ante</i> fashion against the occurrence of disasters, and not just those <i>ex post</i> actions (which is the most common practice in the region).</p> <p>These RC preparations can include: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) the creation a plan for information and capacity generation (based on the capacity deficits identified in the analysis of recovery scenarios, including such actions as training and investments to have <i>ex ante</i> databases for recovery planning), (iii) the creation and implementation of inter-institutional agreements for recovery (including agreements with the private sector), (iv) the creation and implementation of a recovery financing plan (which shall include financial protection tools and options for reorienting the budget and programs) and (v) the creation of an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for expected scenarios. And these are within the scope of competencies of the housing sector.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the housing sector regulations related to Disaster Risk Management (DRM) processes or similar items. 2. Determine if said regulations define the responsibility of carrying out ex ante RC preparations against the occurrence of disasters as within the scope of its competencies.
Description of the minimum required situation for positive conditions
Housing sector regulations that establish the responsibility to carry out ex ante RC preparations against disasters. One example of these regulations would be the regulatory framework of the sector establishing responsibilities regarding the preparation of recovery (ex ante actions) within the framework of its own sector competencies. For the housing sector, provisions should be made for the ex ante identification of at-risk housing and those places where it would be possible to carry out housing reconstruction processes that require relocation, as well as the creation of protocols to guide and streamline the implementation of housing recovery and relocation processes.
Examples of positive conditions in countries in the Region
<p>Mexico: Article 82 of the Housing Act of June 27, 2006 states: "<i>The Commission shall promote the creation of agreements and contracts with producers of basic materials for the construction of housing at preferential prices for: I. Aiding housing programs developed to help those affected by Disasters...</i>"</p>

Code: RC 1B-5

Closed-Ended Question
5. Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the education sector regulations?
General description of indicator
<p>This indicator assess if the education sector regulations establish the responsibility of carrying out Post-Disaster Recovery (RC) preparations in advance as part of its competency, meaning those preparation actions carried out, at least partially, in an <i>ex ante</i> fashion against the occurrence of disasters, and not just those <i>ex post</i> actions (which is the most common practice in the region).</p> <p>These RC preparations can include: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) the creation a plan for information and capacity generation (based on the capacity deficits identified in the analysis of recovery scenarios, including such actions as training and investments to have <i>ex ante</i> databases for recovery planning), (iii) the creation and implementation of inter-institutional agreements for recovery (including agreements with the private sector), (iv) the creation and implementation of a recovery financing plan (which shall include financial protection tools and options for reorienting the budget and programs) and (v) the creation of an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for expected scenarios. And these are within the scope of competencies of the education sector.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the education sector regulations related to Disaster Risk Management (DRM) processes or similar items. 2. Determine if said regulations define the responsibility of carrying out <i>ex ante</i> RC preparations against the occurrence of disasters as within the scope of its competencies.
Description of the minimum required situation for positive conditions
<p>Education sector regulations that establish the responsibility to carry out <i>ex ante</i> RC preparations against disasters. One example of these regulations would be the regulatory framework of the sector establishing responsibilities regarding the preparation of recovery (<i>ex ante</i> actions) within the framework of its own sector competencies. For the education sector, provisions should be made for the <i>ex ante</i> identification of at-risk educational infrastructure (e.g. through the application of school safety indexes), definition of protocols to guide and streamline the re-establishment of affected educational infrastructure, preparation strategies (human resources, educational materials, etc.) in order to provide educational coverage to populations relocated to temporary housing solutions and the <i>ex ante</i> creation of financial strategies to address recovery.</p>
Examples of positive conditions in countries in the Region
<p>Given the lack of examples in the region, the following is a proposed hypothetical situation of compliance with this indicator:</p> <p>Mexico: The General Law on Educational Physical Infrastructure, of February 1, 2008, defines the responsibilities of the National Educational Infrastructure Institute (INFE) with regard to all DRM phases. Specifically, Article 11 of this Act indicates the following responsibilities: <i>"In the planning of programs and projects for the construction, equipment, maintenance, refurbishing, rehabilitation, strengthening, reconstruction and modification of INFE...the application of sustainable systems and technologies shall be ensured, and the climate conditions and probability of contingencies caused by natural, technological or human disasters shall be taken into account, working to satisfy the individual and social needs of the population"</i>.</p>

Code: RC 1B-6**Closed-Ended Question**

6. Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the tourism sector regulations?

General description of indicator

This indicator assess if the tourism sector regulations establish the responsibility of carrying out Post-Disaster Recovery (RC) preparations in advance as part of its competency, meaning those preparation actions carried out, at least partially, in an *ex ante* fashion against the occurrence of disasters, and not just those *ex post* actions (which is the most common practice in the region).

These RC preparations can include: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) the creation a plan for information and capacity generation (based on the capacity deficits identified in the analysis of recovery scenarios, including such actions as training and investments to have *ex ante* databases for recovery planning), (iii) the creation and implementation of inter-institutional agreements for recovery (including agreements with the private sector), (iv) the creation and implementation of a recovery financing plan (which shall include financial protection tools and options for reorienting the budget and programs) and (v) the creation of an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for expected scenarios. And these are within the scope of competencies of the tourism sector.

Steps to follow to obtain the required information

1. Identify the tourism sector regulations related to Disaster Risk Management (DRM) processes or similar items.
2. Determine if said regulations define the responsibility of carrying out *ex ante* RC preparations against the occurrence of disasters as within the scope of its competencies.

Description of the minimum required situation for positive conditions

Tourism sector regulations that establish the responsibility to carry out *ex ante* RC preparations against disasters.

Examples of positive conditions in countries in the Region

Given the lack of examples in the region, a hypothetical situation of compliance for this indicator is proposed in which a regulatory framework exists for the sector that establishes responsibilities with regard to recovery preparation (*ex ante* actions) within the scope of its own sector competencies. For the tourism sector, the provisions that should exist are those related to the *ex ante* identification and creation of databases of tourism zones with increased risk, the creation of protocols to guide and streamline the re-establishment of critical infrastructure used by the sector and that could be affected, including the creation of temporary sources of employment (possibly in coordination with other ministries), recovery of ecosystems tied to tourism (in coordination with the environmental sector) and the *ex-ante* creation of financial strategies for recovery.

Code: RC 1B-7

Closed-Ended Question
7. Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the transport sector regulations (or equivalent)?
General description of indicator
<p>This indicator assess if the transportation sector regulations establish the responsibility of carrying out Post-Disaster Recovery (RC) preparations in advance as part of its competency, meaning those preparation actions carried out, at least partially, in an <i>ex ante</i> fashion against the occurrence of disasters, and not just those <i>ex post</i> actions (which is the most common practice in the region).</p> <p>These RC preparations can include: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) the creation a plan for information and capacity generation (based on the capacity deficits identified in the analysis of recovery scenarios, including such actions as training and investments to have <i>ex ante</i> databases for recovery planning), (iii) the creation and implementation of inter-institutional agreements for recovery (including agreements with the private sector), (iv) the creation and implementation of a recovery financing plan (which shall include financial protection tools and options for reorienting the budget and programs) and (v) the creation of an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for expected scenarios. And these are within the scope of competencies of the transportation sector.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the transportation sector regulations related to Disaster Risk Management (DRM) processes or similar items. 2. Determine if said regulations define the responsibility of carrying out <i>ex ante</i> RC preparations against the occurrence of disasters as within the scope of its competencies.
Description of the minimum required situation for positive conditions
Transportation sector regulations that establish the responsibility to carry out <i>ex ante</i> RC preparations against disasters.
Examples of positive conditions in countries in the Region
<p>Colombia: Decree 2056 of 2003, which modifies the structure of the National Highway Institute (INVÍAS) and issues other provisions, establishes in Article 2, Powers of the National Highway Institute, number 2.2, that it should "<i>create, together with the Ministry of Transportation, the plans, programs and projects for the construction, reconstruction, improvement, rehabilitation, preservation, emergency response and other projects that require the infrastructure under its responsibility,</i>" and in number 2.5 that it should "<i>...advise and provide technical support to states or their decentralized organizations in charge of the construction, maintenance and emergency response for the infrastructure under their responsibility, when so requested.</i>" Finally, Article 11, Office for Emergency Response and Prevention, lists a series of responsibilities derived from the National Disaster Risk Management System (SNGRD), including "<i>comprehensively managing the emergency response and prevention processes.</i>" In compliance with Decree 2056 of 2003, INVÍAS has procedures and protocols that were designed in an <i>ex ante</i> fashion for the recovery (rehabilitation and reconstruction) of disasters during the rainy season (the main risks that affects the sector are landslides and floods).</p>

Code: RC 1B-8**Closed-Ended Question**

8. Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the water and sanitation sector regulations (or equivalent)?

General description of indicator

This indicator assess if the water and sanitation sector regulations establish the responsibility of carrying out Post-Disaster Recovery (RC) preparations in advance as part of its competency, meaning those preparation actions carried out, at least partially, in an *ex ante* fashion against the occurrence of disasters, and not just those *ex post* actions (which is the most common practice in the region).

These RC preparations can include: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) the creation a plan for information and capacity generation (based on the capacity deficits identified in the analysis of recovery scenarios, including such actions as training and investments to have *ex ante* databases for recovery planning), (iii) the creation and implementation of inter-institutional agreements for recovery (including agreements with the private sector), (iv) the creation and implementation of a recovery financing plan (which shall include financial protection tools and options for reorienting the budget and programs) and (v) the creation of an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for expected scenarios. And these are within the scope of competencies of the water and sanitation sector.

Steps to follow to obtain the required information

1. Identify the water and sanitation sector regulations related to Disaster Risk Management (DRM) processes or similar items.
2. Determine if said regulations define the responsibility of carrying out *ex ante* RC preparations against the occurrence of disasters as within the scope of its competencies.

Description of the minimum required situation for positive conditions

Water and sanitation sector regulations that establish the responsibility to carry out *ex ante* RC preparations against disasters.

Examples of positive conditions in countries in the Region

Given the lack of examples in the region, a hypothetical situation of compliance for this indicator is proposed in which a regulatory framework exists for the sector that establishes responsibilities with regard to recovery preparation (*ex ante* actions) within the scope of its own sector competencies. For the water and sanitation sector, the key actions to be regulated are: (i) identify the cost of recovery for exposed infrastructure that is expected to be severely affected in a possible disaster scenario due its level of vulnerability; (ii) identify the basic actions to carry out a recovery process with transformation of critical points; (iii) set protocols to guide and streamline the re-establishment of affected infrastructure; (iv) strategies to provide water and sanitation to people in temporary housing; and (v) set required financing strategies.

Code: RC 1B-9

Closed-Ended Question
9. Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the telecommunication sector regulations (or equivalent)?
General description of indicator
<p>This indicator assess if the telecommunications sector (or equivalent) regulations establish the responsibility of carrying out Post-Disaster Recovery (RC) preparations in advance as part of its competency, meaning those preparation actions carried out, at least partially, in an <i>ex ante</i> fashion against the occurrence of disasters, and not just those <i>ex post</i> actions (which is the most common practice in the Region).</p> <p>These RC preparations can include: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) the creation a plan for information and capacity generation (based on the capacity deficits identified in the analysis of recovery scenarios, including such actions as training and investments to have <i>ex ante</i> databases for recovery planning), (iii) the creation and implementation of inter-institutional agreements for recovery (including agreements with the private sector), (iv) the creation and implementation of a recovery financing plan (which shall include financial protection tools and options for reorienting the budget and programs) and (v) the creation of an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for expected scenarios. And these are within the scope of competencies of the telecommunications sector (or equivalent).</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the telecommunications sector (or equivalent) regulations related to Disaster Risk Management (DRM) processes or similar items. 2. Determine if said regulations define the responsibility of carrying out <i>ex ante</i> RC preparations against the occurrence of disasters as within the scope of its competencies.
Description of the minimum required situation for positive conditions
<p>Telecommunications sector (or equivalent) regulations that establish the responsibility to carry out <i>ex ante</i> RC preparations against disasters. One example of these regulations would be the regulatory framework of the sector establishing responsibilities regarding the preparation of recovery (<i>ex ante</i> actions) within the framework of its own sector competencies. For the telecommunications sector, the key actions to be regulated are: (i) identify the cost of recovery for exposed infrastructure that is expected to be severely affected in a possible disaster scenario due its level of vulnerability; (ii) identify the basic actions to carry out a recovery process with transformation of critical points; (iii) set protocols to guide and streamline the re-establishment of affected infrastructure; and (iv) set required financing strategies.</p>
Examples of positive conditions in countries in the Region
<p>Chile: Law No. 20478, On recovery and continuity in critical and emergency conditions within the public telecommunications system (2010), from the Ministry of Transportation and Telecommunications, states in Article 39 A that "<i>The Ministry, by means of the Undersecretary of Telecommunications, shall develop a protection plan for the country's critical telecommunications infrastructure, in order to ensure continuity of communications in emergency situations resulting from natural phenomena, generalized electrical failures or other disaster situations. For this purpose, it shall have the following attributions: a) Coordinate with the various government bodies and institutions and with private agents in the design, implementation, development and maintenance of the policy and plan to protect critical telecommunications infrastructure...</i>"</p>

Code: RC 1B-10

Closed-Ended Question
10. Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the energy sector regulations (or equivalent)?
General description of indicator
<p>This indicator assess if the energy sector (or equivalent) regulations establish the responsibility of carrying out Post-Disaster Recovery (RC) preparations in advance as part of its competency, meaning those preparation actions carried out, at least partially, in an <i>ex ante</i> fashion against the occurrence of disasters, and not just those <i>ex post</i> actions (which is the most common practice in the Region).</p> <p>These RC preparations can include: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) the creation a plan for information and capacity generation (based on the capacity deficits identified in the analysis of recovery scenarios, including such actions as training and investments to have <i>ex ante</i> databases for recovery planning), (iii) the creation and implementation of inter-institutional agreements for recovery (including agreements with the private sector), (iv) the creation and implementation of a recovery financing plan (which shall include financial protection tools and options for reorienting the budget and programs) and (v) the creation of an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for expected scenarios. And these are within the scope of competencies of the energy sector (or equivalent).</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the energy sector (or equivalent) regulations related to Disaster Risk Management (DRM) processes or similar items. 2. Determine if said regulations define the responsibility of carrying out ex ante RC preparations against the occurrence of disasters as within the scope of its competencies.
Description of the minimum required situation for positive conditions
Energy sector (or equivalent) regulations that establish the responsibility to carry out ex ante RC preparations against disasters.
Examples of positive conditions in countries in the Region
Given the lack of examples in the Region, a hypothetical situation of compliance for this indicator is proposed in which a regulatory framework exists for the sector that establishes responsibilities with regard to recovery preparation (ex ante actions) within the scope of its own sector competencies. For the energy sector, the key actions to be regulated are: (i) identify the cost of recovery for exposed infrastructure that is expected to be severely affected in a possible disaster scenario due its level of vulnerability; (ii) identify the basic actions to carry out a recovery process with transformation of critical points; (iii) set protocols to guide and streamline the re-establishment of affected infrastructure; and (iv) set required financing strategies.

Code: RC 1C-1

Closed-Ended Question
<i>1. Are there regulations that govern the assessment, review or update of development plans after a disaster has affected the territorial management units?</i>
General description of indicator
<p>The occurrence of disasters offers opportunities to correct development processes that have demonstrated problems or imbalances. Therefore, it's considered best practice for development plans (at any level of government) to be able to be updated after a disaster in order to reduce preexisting risk. The review of these development plans becomes an opportunity to integrate different sectors in a planning process that contributes to reducing vulnerabilities brought to light by a disaster.</p> <p>This should be explicitly regulated in order to guarantee the proper integration of Disaster Risk Management (DRM) in development planning.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations for the procedures for the creation, review and updating of development plans in the country (national, regional or local) or equivalent tools. 2. Identify if said regulations establish procedures and circumstances to update or review development plans. 3. Determine if the occurrence of disasters is established as a cause for review, update or evaluation of development plans.
Description of the minimum required situation for positive conditions
<p>The regulations for the creation, review, updating or evaluation of development plans (at any level of government, especially the local level) state that the occurrence of disasters can be one of the reasons to initiate ordinary or extraordinary adjustment or review processes for the plans.</p>
Examples of positive conditions in countries in the Region
<p>Chile: Law No. 16282, Ministry of Treasury (1965), creates provisions for earthquakes or catastrophes, sets regulations for the reconstruction of areas affected by the earthquake of March 28, 1965 and modifies Law No. 16.250, states: "<i>Article 1- In the event of earthquakes or catastrophes that cause considerable damage to people or assets, the President of the Republic shall issue a justified supreme decree, indicating the communes that were affected. In the event the earthquakes or catastrophes have occurred in a foreign country, the President of the Republic may, through a justified supreme decree, provide for the collection of supplies and provision of foreign aid as a humanitarian act of international solidarity. The provisions of this title only go into effect, when applicable, as of the date of the decree in question.</i>" And in "<i>ARTICLE C- Within a term of 180 days after of the publication of the decree mentioned in article 1 of this Law, the Office for National Planning and the Offices that make up the National Planning System created through Supreme Decree 180, of February 2, 1971, by the Ministry of the Interior, the regional reconstruction and development plans for each of the regions mentioned in the aforementioned decree should be submitted to the President of the Republic...</i>"</p>

Code: RC 1C-2

Closed-Ended Question
2. Are there regulations that govern the assessment, review or update of land use plans after a disaster has affected the territorial management units?
General description of indicator
<p>The occurrence of disasters offers opportunities to correct occupation and land use processes that have demonstrated problems or imbalances. The following is required after a disaster: (i) review of zoning regulations; (ii) verify if the existing Plan for Territorial Organization (POT) appropriately identified the risk shown by the disaster; (iii) adjust the zoning related to construction codes, and (iv) include the new conditions created by the disaster in the new zoning, such as new settlements or the declaration of zones with risks which cannot be mitigated.</p> <p>Therefore, it's considered best practice for POT's (or equivalent for each country) to be able to be updated after a disaster in order to reduce preexisting risk. This should be explicitly regulated in order to guarantee the proper integration of Disaster Risk Management (DRM) in development planning.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations for the procedures for the creation, review and updating of POT's in the country (national, regional or local) or equivalent tools. 2. Identify if said regulations establish procedures and circumstances to update or review POTs. 3. Determine if the occurrence of disasters is established as a cause for review, update or evaluation of POTs.
Description of the minimum required situation for positive conditions
<p>The regulations that establish procedures for the review and updating of POTs should consider the occurrence of disasters in the area in question as a cause for possible document adjustment.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: Decree 4002 of 2004, which regulates articles 15 and 28 of Law 388 of 1997, establishes in the sole paragraph of article 5, Review of Plans for Territorial Organization the following as exceptional reasons for the review of Plans for Territorial Organization, "<i>a) The declaration of a public disaster or calamity as per articles 18 or 48 of Legal Decree 919 of 1989 due to the sudden occurrence of natural or man-made disasters... b) The results of detailed technical studies on threats, risks and vulnerabilities that justify the reclassification of areas with risks which can not be mitigated and other restriction conditions that are different from those originally adopted in the current Plans for Territorial Organization.</i>" Additionally, Article 221 of Law 1450 (National Development Plan) states: "<i>In order to guarantee that disaster risk conditions are not created or recreated, the National Government may make the allocation of resources for reconstruction processes in municipalities affected by natural disasters conditional to the exceptional review of the Plans for Territorial Organization, pursuant to article 5 of Decree 4002 of 2004.</i>"</p> <p>Costa Rica: Decree No. 34361-MP, Regulations of the National Emergency and Risk Prevention Act, of November 21, 2007, states the following in Article 25, Manner in which project reconstruction should be carried out, "<i>...In order to not recreate the vulnerability, those projects to be carried out during the emergency should be executed using a preventive approach, such that an equal state of emergency does not occur again in the future. Should there not be a municipal regulatory plan in the affected cantons, the CNE shall recommend, through the different offices of the National Prevention and Emergency Response System, measures for land use and other regulations related to the prevention of future disasters, which shall be incorporated as an update of said legal document.</i>"</p> <p>Chile: Law No. 16,282, which creates provisions for earthquakes or catastrophes, sets standards for the reconstruction of the areas affected by the earthquake on March 28, 1965 and modifies Law No. 16,250</p>

(1965), from the Ministry of Treasury, states: "*ARTICLE F. The Ministry of Housing and Urban Planning shall, within a period of 90 days following the receipt of the corresponding agreement, rule on the amendments approved by Municipalities affected by an earthquake or disasters that were made to their corresponding regulatory plans, and issue the corresponding supreme decree immediately, if the amendments were approved. The modification of regulatory plans agreed upon by the Municipality should be approved by the anti-earthquake specialist who advised on it or who was appointed for this purpose by the Chilean Engineering Board to provide free aid. When said communes lack defined regulatory plans, the President of the Republic may, within two years following the earthquake or disaster, approve partial projects or drafts of regulatory plans created by the corresponding Municipality or by the Department of Urban Development Planning of the Ministry of Housing and Urban Planning. For all legal purposes, these partial projects or drafts shall be considered regulatory plans and their approval shall be pursuant to the previous sections. These plans shall be created at no cost for the corresponding Municipality. The Municipalities in areas affected by an earthquake or disaster may exchange those lands or buildings necessary to carry out the remodeling plan.*"

Code: RC 2-1**Closed-Ended Question**

1. Does the Ministry of Environment (or guiding entity or environmental coordinator) have an *ex-ante* post-disaster recovery plan for the sector that has been formally approved in at least the last 5 years?

General description of indicator

This indicator aims to determine if the guiding or coordinating entity for the environmental sector has created and had formally approved within the scope of its competencies, an *ex ante* Post-Disaster Recovery (RC) plan during the last 5 years.

The recovery plan could include the following: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) a plan of capacity development (based on the capacity deficits identified in the analysis of recovery scenarios), (iii) identification of existing inter-institutional agreements that must be developed for recovery (including agreements with the private sector), (iv) a plan for recovery financing (that shall include financial protection tools, among others, and that may also include options for reorienting the budget and programs) and (v) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question. These protocols shall include a basic plan that facilitates, at the time of emergency, rapid identification and organized implementation of the essential actions to be undertaken.

Steps to follow to obtain the required information

1. Identify the area, office or department within the guiding or coordinating entity for the environmental sector that has responsibilities with regard to Disaster Risk Management (DRM).
2. Verify if it has an *ex ante* plan that was formally approved to guide the RC process.
3. Determine if it was created more than 5 years ago.

Description of the minimum required situation for positive conditions

The guiding or coordinating entity for the environmental sector has created, within the last 5 years, a formally-approved *ex ante* plan, that sets the basic actions and strategies that should be carried out during an RC process.

NOTE: this plan should not be confused with an emergency or contingency plan, or operations in the event of a disaster (response).

Examples of positive conditions in countries in the Region

Normally, sectors create these plans in an *ex post* fashion. However, this indicator is looking for the *ex ante* creation of these tools. It denotes an advanced level of responsibility in Disaster Risk Management for the sector. No examples of positive conditions were identified in the Region. As a hypothetical example, the type of activities that should be included in an *ex ante* plan for the recovery of the environmental sector could include (depending on the specific competencies assigned to the sector in each country): (i) handling of rubble created by the disaster, (ii) promotion of recovery that incorporates environmental considerations and environmentally-sustainable livelihoods and (iii) recovery of ecosystems (Adapted from Guidance Note on Recovery: Environment, ISDR, IRP, UNDP, 2010)

Code: RC 2-2**Closed-Ended Question**

2. Does the Ministry of Agriculture (or equivalent) have an *ex-ante* post-disaster recovery plan for the sector that has been formally approved in at least the last 5 years?

General description of indicator

This indicator aims to determine if the guiding or coordinating entity for the agriculture sector has created and had formally approved within the scope of its competencies, an *ex ante* Post-Disaster Recovery (RC) plan during the last 5 years.

The recovery plan for the sector could include the following: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) a plan of capacity development (based on the capacity deficits identified in the analysis of recovery scenarios), (iii) identification of existing inter-institutional agreements that must be developed for recovery (including agreements with the private sector), (iv) a plan for recovery financing (that shall include financial protection tools, among others, and that may also include options for reorienting the budget and programs) and (v) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question. These protocols shall include a basic plan that facilitates, at the time of emergency, rapid identification and organized implementation of the essential actions to be undertaken.

Steps to follow to obtain the required information

1. Identify the area, office or department within the guiding or coordinating entity for the agriculture sector that has responsibilities with regard to Disaster Risk Management (DRM).
2. Verify if it has an *ex ante* plan that was formally approved to guide the RC process.
3. Determine if it was created more than 5 years ago.

Description of the minimum required situation for positive conditions

The guiding or coordinating entity for the agriculture sector has created, within the last 5 years, a formally-approved *ex ante* plan, that sets the basic actions and strategies that should be carried out during an RC process.

NOTE: this plan should not be confused with an emergency or contingency plan, or operations in the event of a disaster (response).

Examples of positive conditions in countries in the Region

Normally, sectors create these plans in an *ex post* fashion. However, this indicator is looking for the *ex ante* creation of these tools. It denotes an advanced level of responsibility in Disaster Risk Management for the sector.

No examples of positive conditions were identified in the Region. As a hypothetical example, some of the items that could be included in an *ex ante* recovery plan for the sector are provisions to reactivate agricultural production, identification of irrigation systems (critical points) and production infrastructure (silos, storehouses, warehouses, etc.) that could be affected, and establishing financial protection mechanisms to fund recovery.

Code: RC 2-3

Closed-Ended Question
3. Does the Ministry of Health (or equivalent) have an <i>ex-ante</i> post-disaster recovery plan for the sector that has been formally approved in at least the last 5 years?
General description of indicator
<p>This indicator aims to determine if the guiding or coordinating entity for the health sector has created and had formally approved within the scope of its competencies, an <i>ex ante</i> Post-Disaster Recovery (RC) plan during the last 5 years.</p> <p>The recovery plan for the sector could include the following: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) a plan of capacity development (based on the capacity deficits identified in the analysis of recovery scenarios), (iii) identification of existing inter-institutional agreements that must be developed for recovery (including agreements with the private sector), (iv) a plan for recovery financing (that shall include financial protection tools, among others, and that may also include options for reorienting the budget and programs) and (v) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question. These protocols shall include a basic plan that facilitates, at the time of emergency, rapid identification and organized implementation of the essential actions to be undertaken.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the area, office or department within the guiding or coordinating entity for the health sector that has responsibilities with regard to Disaster Risk Management (DRM). 2. Verify if it has an <i>ex ante</i> plan that was formally approved to guide the RC process. 3. Determine if it was created more than 5 years ago.
Description of the minimum required situation for positive conditions
<p>The guiding or coordinating entity for the health sector has created, within the last 5 years, a formally-approved <i>ex ante</i> plan, that sets the basic actions and strategies that should be carried out during an RC process. This plan should not be confused with an emergency or contingency plan, or operations in the event of a disaster (response).</p> <p>Some items that could be included in an <i>ex ante</i> recovery plan for the sector could include the pre-identification of health infrastructure that is vulnerable to disasters (e.g., through the application of the hospital safety index), defining protocols to guide and streamline the re-establishment of affected health infrastructure, protocols for the treatment of patients in conditions suffering from prolonged lack of resources (medicine, staff), plans for healthcare for populations relocated to temporary housing solutions, plans for psychological care for populations affected by a possible disaster, databases with resources and staff trained for the recovery phase, and the <i>ex ante</i> creation of financial strategies for recovery. (Information adapted from Guidance Note on Recovery: Health, ISDR, IRP, UNDP, 2010)</p>
Examples of positive conditions in countries in the Region
<p>Mexico: The Mexican Social Security Institute (IMSS), which is the largest social security and health institute in Mexico, together with the Department of Governance (SEGOB), evaluated all the hospitals in the Health Sector, an effort that created the Comprehensive Civil Protection Information System (SIIPC). This effort, and the development of a computer tool, entitled the Virtual Disaster and Emergency Operations Center (CVOED), created the Institutional Emergency and Disaster Plan, published in 2011. This plan considered three planning phases: before, during and after a crisis situation, as well as three different levels: national (strategic), state (tactical) and municipal (operational). The "after" process is related to recovery or return to normalcy, which is a "...recovery process that should be planned from the moment of recognizing the threats that could affect the organization to the moment in which reconstruction will be started and there is a return to activity..."</p>

Code: RC 2-4

Closed-Ended Question
<p>4. Does the Ministry of Housing (or equivalent) have an <i>ex-ante</i> post-disaster recovery plan for the sector that has been formally approved in at least the last 5 years?</p>
General description of indicator
<p>This indicator aims to determine if the guiding or coordinating entity for the housing sector has created and had formally approved within the scope of its competencies, an <i>ex ante</i> Post-Disaster Recovery (RC) plan during the last 5 years.</p> <p>The recovery plan could include the following: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) a plan of capacity development (based on the capacity deficits identified in the analysis of recovery scenarios), (iii) identification of existing inter-institutional agreements that must be developed for recovery (including agreements with the private sector), (iv) a plan for recovery financing (that shall include financial protection tools, among others, and that may also include options for reorienting the budget and programs) and (v) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question. These protocols shall include a basic plan that facilitates, at the time of emergency, rapid identification and organized implementation of the essential actions to be undertaken.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the area, office or department within the guiding or coordinating entity for the housing sector that has responsibilities with regard to Disaster Risk Management (DRM). 2. Verify if it has an <i>ex ante</i> plan that was formally approved to guide the RC process. 3. Determine if it was created more than 5 years ago.
Description of the minimum required situation for positive conditions
<p>The guiding or coordinating entity for the housing sector has created, within the last 5 years, a formally-approved <i>ex ante</i> plan, that sets the basic actions and strategies that should be carried out during an RC process.</p> <p>NOTE: this plan should not be confused with an emergency or contingency plan, or operations in the event of a disaster (response).</p>
Examples of positive conditions in countries in the Region
<p>Normally, sectors create these plans in an <i>ex post</i> fashion. However, this indicator is looking for the <i>ex ante</i> creation of these tools. It denotes an advanced level of responsibility in Disaster Risk Management for the sector.</p> <p>No examples of positive conditions were identified in the Region. As a hypothetical example, some items that could be included in an <i>ex ante</i> recovery plan for the sector would be the <i>ex ante</i> identification of at-risk housing and those places where it would be possible to carry out housing reconstruction processes that require relocation, as well as the creation of protocols to guide and streamline the implementation of housing recovery and relocation processes.</p>

Code: RC 2-5

Closed-Ended Question
<p>5. Does the Ministry of Education (or equivalent) have an <i>ex-ante</i> post-disaster recovery plan for the sector that has been formally approved in at least the last 5 years?</p>
General description of indicator
<p>This indicator aims to determine if the guiding or coordinating entity for the education sector has created and had formally approved within the scope of its competencies, an <i>ex ante</i> Post-Disaster Recovery (RC) plan during the last 5 years.</p> <p>The recovery plan could include the following: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) a plan of capacity development (based on the capacity deficits identified in the analysis of recovery scenarios), (iii) identification of existing inter-institutional agreements that must be developed for recovery (including agreements with the private sector), (iv) a plan for recovery financing (that shall include financial protection tools, among others, and that may also include options for reorienting the budget and programs) and (v) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question. These protocols shall include a basic plan that facilitates, at the time of emergency, rapid identification and organized implementation of the essential actions to be undertaken.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the area, office or department within the guiding or coordinating entity for the education sector that has responsibilities with regard to Disaster Risk Management (DRM). 2. Verify if it has an <i>ex ante</i> plan that was formally approved to guide the RC process. 3. Determine if it was created more than 5 years ago.
Description of the minimum required situation for positive conditions
<p>The guiding or coordinating entity for the education sector has created, within the last 5 years, a formally-approved <i>ex ante</i> plan, that sets the basic actions and strategies that should be carried out during an RC process.</p> <p>NOTE: this plan should not be confused with an emergency or contingency plan, or operations in the event of a disaster (response).</p>
Examples of positive conditions in countries in the Region
<p>Normally, sectors create these plans in an <i>ex post</i> fashion. However, this indicator is looking for the <i>ex ante</i> creation of these tools. It denotes an advanced level of responsibility in Disaster Risk Management for the sector.</p> <p>No examples of positive conditions were identified in the Region. As a hypothetical example, some items that could be included in an <i>ex ante</i> recovery plan for the sector would be the <i>ex ante</i> identification of at-risk educational infrastructure (e.g. through the application of school safety indexes), definition of protocols to guide and streamline the re-establishment of affected educational infrastructure, preparation strategies (human resources, educational materials, etc.) in order to provide educational coverage to populations relocated to temporary housing solutions and the <i>ex ante</i> creation of financial strategies to address recovery.</p>

Code: RC 2-6

Closed-Ended Question
6. Does the Ministry of Tourism (or equivalent) have an <i>ex-ante</i> post-disaster recovery plan for the sector that has been formally approved in at least the last 5 years?
General description of indicator
<p>This indicator aims to determine if the guiding or coordinating entity for the tourism sector has created and had formally approved within the scope of its competencies, an <i>ex ante</i> Post-Disaster Recovery (RC) plan during the last 5 years.</p> <p>The recovery plan could include the following: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) a plan of capacity development (based on the capacity deficits identified in the analysis of recovery scenarios), (iii) identification of existing inter-institutional agreements that must be developed for recovery (including agreements with the private sector), (iv) a plan for recovery financing (that shall include financial protection tools, among others, and that may also include options for reorienting the budget and programs) and (v) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question. These protocols shall include a basic plan that facilitates, at the time of emergency, rapid identification and organized implementation of the essential actions to be undertaken.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the area, office or department within the guiding or coordinating entity for the tourism sector that has responsibilities with regard to Disaster Risk Management (DRM). 2. Verify if it has an <i>ex ante</i> plan that was formally approved to guide the RC process. 3. Determine if it was created more than 5 years ago.
Description of the minimum required situation for positive conditions
<p>The guiding or coordinating entity for the tourism sector has created, within the last 5 years, a formally-approved <i>ex ante</i> plan, that sets the basic actions and strategies that should be carried out during an RC process.</p> <p>NOTE: this plan should not be confused with an emergency or contingency plan, or operations in the event of a disaster (response).</p>
Examples of positive conditions in countries in the Region
<p>Normally, sectors create these plans in an <i>ex post</i> fashion. However, this indicator is looking for the <i>ex ante</i> creation of these tools. It denotes an advanced level of responsibility in Disaster Risk Management for the sector.</p> <p>No examples of positive conditions were identified in the Region. As a hypothetical example, some of the items that could be included in an <i>ex ante</i> recovery plan for the sector would be the <i>ex ante</i> identification and creation of databases of tourism zones with increased risk, the creation of protocols to guide and streamline the re-establishment of critical infrastructure used by the sector and that could be affected, including the creation of temporary sources of employment (possibly in coordination with other ministries), recovery of ecosystems tied to tourism (in coordination with the environmental sector) and the <i>ex-ante</i> creation of financial strategies for recovery.</p>

Code: RC 2-7**Closed-Ended Question**

7. Does the Ministry of Transportation (or equivalent) have an *ex-ante* post-disaster recovery plan for the sector that has been formally approved in at least the last 5 years?

General description of indicator

This indicator aims to determine if the guiding or coordinating entity for the transportation sector has created and had formally approved within the scope of its competencies, an *ex ante* Post-Disaster Recovery (RC) plan during the last 5 years.

The recovery plan could include the following: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) a plan of capacity development (based on the capacity deficits identified in the analysis of recovery scenarios), (iii) identification of existing inter-institutional agreements that must be developed for recovery (including agreements with the private sector), (iv) a plan for recovery financing (that shall include financial protection tools, among others, and that may also include options for reorienting the budget and programs) and (v) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question. These protocols shall include a basic plan that facilitates, at the time of emergency, rapid identification and organized implementation of the essential actions to be undertaken.

Steps to follow to obtain the required information

1. Identify the area, office or department within the guiding or coordinating entity for the transportation sector that has responsibilities with regard to Disaster Risk Management (DRM).
2. Verify if it has an *ex ante* plan that was formally approved to guide the RC process.
3. Determine if it was created more than 5 years ago.

Description of the minimum required situation for positive conditions

The guiding or coordinating entity for the transportation sector has created, within the last 5 years, a formally-approved *ex ante* plan, that sets the basic actions and strategies that should be carried out during an RC process.

NOTE: this plan should not be confused with an emergency or contingency plan, or operations in the event of a disaster (response).

Examples of positive conditions in countries in the Region

No examples of positive conditions were identified in the Region. A hypothetical example of compliance would be if the transportation sector, based on information about critical stretches of road network, created recovery scenarios, and based on this, planned *ex ante* recovery actions (set pre-agreements with contractors, progressive solutions, etc.).

Closed-Ended Question

8. Does the guiding entity or coordinator for the water and sanitation sector have an *ex-ante* post-disaster recovery plan for the sector that has been formally approved in at least the last 5 years?

General description of indicator

This indicator aims to determine if the guiding or coordinating entity for the water and sanitation sector has created and had formally approved within the scope of its competencies, an *ex ante* Post-Disaster Recovery (RC) plan during the last 5 years.

The recovery plan could include the following: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) a plan of capacity development (based on the capacity deficits identified in the analysis of recovery scenarios), (iii) identification of existing inter-institutional agreements that must be developed for recovery (including agreements with the private sector), (iv) a plan for recovery financing (that shall include financial protection tools, among others, and that may also include options for reorienting the budget and programs) and (v) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question. These protocols shall include a basic plan that facilitates, at the time of emergency, rapid identification and organized implementation of the essential actions to be undertaken.

Steps to follow to obtain the required information

1. Identify the area, office or department within the guiding or coordinating entity for the water and sanitation sector that has responsibilities with regard to Disaster Risk Management (DRM).
2. Verify if it has an *ex ante* plan that was formally approved to guide the RC process.
3. Determine if it was created more than 5 years ago.

Description of the minimum required situation for positive conditions

The guiding or coordinating entity for the water and sanitation sector has created, within the last 5 years, a formally-approved *ex ante* plan, that sets the basic actions and strategies that should be carried out during an RC process.

NOTE: this plan should not be confused with an emergency or contingency plan, or operations in the event of a disaster (response).

Examples of positive conditions in countries in the Region

Normally, sectors create these plans in an *ex post* fashion. However, this indicator is looking for the *ex ante* creation of these tools. It denotes an advanced level of responsibility in Disaster Risk Management for the sector.

No examples of positive conditions were identified in the Region. As a hypothetical example, some items that could be included in an *ex ante* recovery plan for the sector could be: (i) identify the cost of recovery for exposed infrastructure that is expected to be severely affected in a possible disaster scenario due its level of vulnerability; (ii) identify the basic actions to carry out a recovery process with transformation of critical points; (iii) set protocols to guide and streamline the re-establishment of affected infrastructure; (iv) strategies to provide water and sanitation to people in temporary housing; and (v) set required financing strategies.

Code: RC 2-9

Closed-Ended Question
9. Does the governing entity of the telecommunications sector have an <i>ex-ante</i> post-disaster recovery Plan that has been formally approved in at least the last 5 years?
General description of indicator
<p>This indicator aims to determine if the guiding or coordinating entity for the telecommunications sector has created and had formally approved within the scope of its competencies, an <i>ex ante</i> Post-Disaster Recovery (RC) plan during the last 5 years.</p> <p>The recovery plan could include the following: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) a plan of capacity development (based on the capacity deficits identified in the analysis of recovery scenarios), (iii) identification of existing inter-institutional agreements that must be developed for recovery (including agreements with the private sector), (iv) a plan for recovery financing (that shall include financial protection tools, among others, and that may also include options for reorienting the budget and programs) and (v) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question. These protocols shall include a basic plan that facilitates, at the time of emergency, rapid identification and organized implementation of the essential actions to be undertaken.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the area, office or department within the guiding or coordinating entity for the telecommunications sector that has responsibilities with regard to Disaster Risk Management (DRM). 2. Verify if it has an <i>ex ante</i> plan that was formally approved to guide the RC process. 3. Determine if it was created more than 5 years ago. 4.
Description of the minimum required situation for positive conditions
<p>The guiding or coordinating entity for the telecommunications sector has created, within the last 5 years, a formally-approved <i>ex ante</i> plan, that sets the basic actions and strategies that should be carried out during an RC process.</p> <p>NOTE: this plan should not be confused with an emergency or contingency plan, or operations in the event of a disaster (response).</p>
Examples of positive conditions in countries in the Region
<p>Normally, sectors create these plans in an <i>ex post</i> fashion. However, this indicator is looking for the <i>ex ante</i> creation of these tools. It denotes an advanced level of responsibility in Disaster Risk Management for the sector.</p> <p>No examples of positive conditions were identified in the Region. As a hypothetical example, some of the items that could be included in an <i>ex ante</i> recovery plan for the sector could be: (i) identify the cost of recovery for exposed infrastructure that is expected to be severely affected in a possible disaster scenario due its level of vulnerability; (ii) identify the basic actions to carry out a recovery process with transformation of critical points; (iii) set protocols to guide and streamline the re-establishment of affected infrastructure; and (iv) set required financing strategies.</p>

Code: RC 2-10**Closed-Ended Question**

10. Does the governing entity of the energy sector have an *ex-ante* post-disaster recovery Plan that has been formally approved in at least the last 5 years?

General description of indicator

This indicator aims to determine if the guiding or coordinating entity for the energy sector has created and had formally approved within the scope of its competencies, an *ex ante* Post-Disaster Recovery (RC) plan during the last 5 years.

The recovery plan could include the following: (i) the analysis of scenarios of potential damages, losses and recovery needs for each sector, (ii) a plan of capacity development (based on the capacity deficits identified in the analysis of recovery scenarios), (iii) identification of existing inter-institutional agreements that must be developed for recovery (including agreements with the private sector), (iv) a plan for recovery financing (that shall include financial protection tools, among others, and that may also include options for reorienting the budget and programs) and (v) an operational guide for recovery that establishes general protocols of action for recovery and specific protocols for the scenarios in question. These protocols shall include a basic plan that facilitates, at the time of emergency, rapid identification and organized implementation of the essential actions to be undertaken.

Steps to follow to obtain the required information

1. Identify the area, office or department within the guiding or coordinating entity for the energy sector that has responsibilities with regard to Disaster Risk Management (DRM).
2. Verify if it has an *ex ante* plan that was formally approved to guide the RC process.
3. Determine if it was created more than 5 years ago.

Description of the minimum required situation for positive conditions

The guiding or coordinating entity for the energy sector has created, within the last 5 years, a formally-approved *ex ante* plan, that sets the basic actions and strategies that should be carried out during an RC process.

NOTE: this plan should not be confused with an emergency or contingency plan, or operations in the event of a disaster (response).

Examples of positive conditions in countries in the Region

Normally, sectors create these plans in an *ex post* fashion. However, this indicator is looking for the *ex ante* creation of these tools. It denotes an advanced level of responsibility in Disaster Risk Management for the sector.

No examples of positive conditions were identified in the Region. As a hypothetical example, some of the items that could be included in an *ex ante* recovery plan for the sector could be: (i) identify the cost of recovery for exposed infrastructure that is expected to be severely affected in a possible disaster scenario due its level of vulnerability; (ii) identify the basic actions to carry out a recovery process with transformation of critical points; (iii) set protocols to guide and streamline the re-establishment of affected infrastructure; and (iv) set required financing strategies.

Code: RC 3-1

Closed-Ended Question
<p><i>1. Are there regulations that establish mechanisms for the participation of civil society or social and non-governmental organizations in post-disaster recovery?</i></p>
General description of indicator
<p>Post-Disaster Recovery (RC) is one of the most complex DRM processes with the highest political cost, as affected communities generally demand the prompt restoration of development conditions.</p> <p>The communication and participation of civil society or social and non-governmental organizations in RC is considered best practice because it allows for the actions of the State to focused on the most pressing needs of the affected population. It also allows for public awareness of the efforts being developed by the State and mitigates, at least in part, the possible discontent that could be provoked by disaster recovery.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the regulations for the RC processes and those for DRM in general. 2. Determine if said regulations establish mechanisms for the participation of civil society or social and non-governmental organizations in RC.
Description of the minimum required situation for positive conditions
<p>Identify the regulations that establish mechanisms for the participation of civil society or social and non-governmental organizations in RC.</p> <p>NOTE: the mechanisms for participation can include: social networks, forums for communication and participation, etc.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: There are mechanisms in place in Colombia for social and community participation in governmental affairs (Law 472 of 1998 on "popular action," Law 850 of 2003 on "Citizen Inspections," Law 393 of 1997 on "Actions for Administrative Act Compliance," Law 134 of 1995 on "popular legislative and regulatory initiatives, referenda, popular consultations, recall elections, plebiscites and open councils"). All of these mechanisms are applicable to disaster risk management, whether or not there is a direct reference to DRM in their articles. The conditions is partially met through Decree 267 of 2000, which issues regulations on the organization and operation of the Office of the General Comptroller of the Republic, establishes its organic structure, dictates the functions of its offices and issues other provisions, and in Article 55, item 8, it establishes the functions of the Office of the Delegated Comptroller for Citizen Participation: <i>"Promote special monitoring, with the aid of the other delegated comptrollers, of state resources allocated for citizen participation, emergencies and disasters."</i> Later, with Law 1523 of 2012, through which the national disaster risk management policy is adopted, the National Disaster Risk Management System is created and other provisions are issued, the condition is fully met, as the regulations create the "Participatory principle" in Article 3, item 5, defined as: <i>"It is the duty of the authorities and offices of the National Disaster Risk Management System to recognize, facilitate and promote the organization and participation of ethnic communities and civic, community, neighborhood, charity, volunteer and common use associations. It is the duty of all to participate in the risk management process in their communities."</i></p> <p>Costa Rica: Law No. 8488, the National Emergency and Risk Prevention Act, of October 27, 2005, specifically establishes in article 2 that a goal of the Act is the creation of a legal framework to define and integrate the efforts and organized functions of the Central Government, decentralized institutions, public companies, local governments, the private sector and civil society that participate in the prevention and response to the negative impacts of events that are the consequences of force majeure or acts of God, and, in</p>

Article 6, establishes the creation of the National System that will encourage the participation of society through various subsystems created by the Act and defined in its Regulations. It should be noted that Article 10 on the coordination of risk management and emergency response, the creation of committees within the framework of regional, municipal and communal emergency committees, item c) establishes the participation of organizations within these committees, for which their representation shall be defined by the internal authority of each. Finally, Article 33 of the same Act establishes mandatory inter-institutional coordination for public institutions and allows for the collaboration of individuals and organizations that voluntarily contribute to the development of CNE activities, which is in charge of and required to coordinate the response and reconstruction process after the declaration has been issued.

Dominican Republic: Law No. 147-02, On Risk Management, of September 22, 2002, considers the participation of civil society and social and non-governmental organizations in the Committees on preparation, mitigation and reduction at each of the different territorial levels and said committees are responsible for participating in recovery, as described in: *"Article 24. Specific Action Plan for Post-Disaster Recovery and Response. Once a disaster situation has been declared and the National Emergency Plan has been activated, the National Emergency Commission shall create a specific action plan to return to normalcy, and recover and rebuild the affected areas, which shall be mandatory for all public or private entities that contribute to its implementation pursuant to the decree issuing it and its amendments. When each situation is classified as regional, provincial or municipal, the specific action plan shall be created and its implementation coordinated by the corresponding Provincial or Municipal Committee, in accordance with the instructions in the declaratory decree or its amendments, and the instructions provided by the National Disaster Prevention, Mitigation and Response Council, the Technical and Operational Committees and the National Emergency Council. Paragraph I. When a disaster situation is classified as Regional or Provincial, the activities and operations of Local Committees and municipal authorities shall be governed by the direction, coordination and oversight of the Regional or Provincial Governor, the Civil Defense and the President of the Local Red Cross in accordance with the directives created by the corresponding Provincial Committee."*

Code: RC 3-2

Closed-Ended Question
<p>2. <i>Has any national controlling entity carried out at least one assessment on how the government managed the recovery process in at least one of the last 5 major nationally-declared disasters or in those where international assistance was requested?</i></p>
General description of indicator
<p>This indicator aims to detect the participation of the national controlling entity or equivalent in RC processes in one of the last 5 major nationally-declared disasters or in those in which international assistance was requested.</p> <p>This is a performance indicator as it does not investigate a regulation per se, but rather, specific actions by the national controlling entity.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Contact the national controlling entity, the guiding entity for DRM, or the treasury, economy or finance authority (or equivalent). 2. Investigate the conduct of at least one RC process assessment by this entity in any of the last 5 nationally-declared disaster situations or in those where international assistance was requested.
Description of the minimum required situation for positive conditions
<p>Find one document from the national controlling entity in which the government's RC management is evaluated with regard to the last 5 nationally-declared disaster situations or in those where international assistance was requested.</p>
Examples of positive conditions in countries in the Region
<p>Peru: In 2007, the Office of the General Comptroller of the Republic approved Directive No. 02-2007-CG/CA to exercise Preventive Control of the National Oversight System in the event of a Declaration of a State of Emergency due to a Disaster, of August 21, 2007. These regulations apply to <i>ex post</i> processes. In 2010 these guidelines were applied to the case of the August 2007 earthquake, and the analysis included oversight of FORSUR and social programs in the context of the post-disaster recovery. These investigations created important recommendations, one of which was sent to the President of the Council of Ministers to request a review of the country's DRM regulations. In this same context, the Office of the Comptroller carried out an evaluation on the use of public funds. There is currently an investigatory commission in Congress on the use of funds in this disaster. In the event of regional disasters, such as Cuzco in 2010, staff from the office of the comptroller visited, reviewed documentation and conducted interviews on if humanitarian aid was reaching the areas and if the regional government had an emergency plan. There was not later evaluation on post-disaster recovery.</p> <p>Costa Rica: Report No. DFOE-PGAA-IF-17-2010, Report on the Limitations Found in the Management of the National Risk Prevention and Emergency Response Commission (CNE) with regard to the Coordination, Supervision and Oversight of Emergency Response in the Rehabilitation and Reconstruction Phases, of July 15, 2010, states on page 4 that the scope of the report for the study includes the coordination, supervision and oversight activities conducted by the CNE within the response process for current Emergency Decrees, pursuant to the regulations for this issue.</p> <p>Mexico: The Public Account for Fiscal Year 2007, number III.1.1.5.6., corresponding to the Department of Treasury and Public Credit, summarizes the Audit: 07-0-06100-02-0517, carried out on the Natural Disasters Fund (FONDEN), on the General Procedures for the Authorization, Filing and Implementation of Federal Resources-Tabasco and Chiapas, in order to "<i>Oversee the financial management of internal oversight mechanisms and procedures for the authorization, filing, implementation and accountability of the Natural Disasters Fund Trust, when responding to damages caused by natural phenomena and the application of the same in the states of Tabasco and Chiapas.</i>" The floods that affected the states of Tabasco and Chiapas at the end of October 2007 were the most recent cases in which the Government of Mexico requested international assistance and the scope of the above audit included the recovery actions related to this emergency.</p>

Code: RC 3-3**Closed-Ended Question**

3. Were any population information mechanisms activated during recovery in at least one of the last 5 nationally declared disasters or those in which international assistance was requested?

General description of indicator

This indicator follows the same logic as the previous and is also a performance indicator as it does not look for regulations but instead a specific implementation condition that can be verified in the country.

In this case, the communication mechanisms may or may not be defined by specific regulations in this case.

Steps to follow to obtain the required information

1. Establish the last 5 nationally-declared disasters or those in which international assistance was requested?
2. Determine if on at least one of these occasions, a recovery information mechanism was activated for the affected population.

Description of the minimum required situation for positive conditions

Objectively verify (prove) that during at least one of the last 5 nationally declared disasters or those in which international assistance was requested, an information mechanism was activated for the affected population during the recovery process.

Examples of positive conditions in countries in the Region

Colombia: after a declaration of a Social, Economic and Environmental Emergency following the floods associated with intense rains during the La Niña Phenomenon in 2010 and 2011, the National Government established a series of response procedures, including the creation of the "*Adaptation Fund*," which was designed and established for the recovery of the affected areas. Since its creation, the Fund has had a channel for communication and institutional transparency on a website, where it is constantly sharing all the activities it carries out with its reconstruction resources. (See: <http://fondoadaptacion.gov.co>). There is also a platform for the real-time subscription to the weekly reconstruction newsletter.

Mexico: The General Civil Protection Act (LGPC) states in Article 5 that Civil Protection authorities should act based on a series of principles, including the principle of Publicity (section IV), meaning that at all times, they should be informing the population of their civil protection actions. This responsibility to communicate with the population in general, especially the affected population, can be seen in the documents of civil protection offices at various federal, state and municipal levels. A verifier for this would be the FONDEN electronic portal, "MX RECONSTRUCTION TRANSPARENCY IN NATURAL DISASTER RESPONSE ACTIONS," which includes detailed information on recovery actions for all emergencies declared in Mexican territory.

Guatemala: Evidence is found that CONRED reports on progress in recovery processes through the issue of newsletters on its website. One example is Informational Newsletter No. 3406 (RC-3-3a), issued by CONRED on November 7, 2013, reporting on reconstruction actions in areas affected by the San Marcos earthquake, which affected this area of the country on November 7, 2012.

Chile: Due to the earthquake in Chile on February 27, 2010, the Government of the Republic created an online portal in order to disseminate information on plans and reconstruction progress, and a specific telephone line to provide information to the populace. Website of the Government Reconstruction Log http://minvu.cl/opensite_20111111140833.aspx

Code: RC 3-4

Closed-Ended Question
<p>4. Were any community participation mechanisms activated during recovery in at least one of the last 5 nationally-declared disasters or those in which international assistance was requested?</p>
General description of indicator
<p>This indicator follows the same logic as the previous and is also a performance indicator as it does not look for regulations but instead a specific implementation condition that can be verified in the country.</p> <p>In this case, the participation mechanisms may or may not be defined by specific regulations.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Establish the last 5 nationally-declared disasters or those in which international assistance was requested? 2. Determine if any participation mechanisms on recovery were activated at least once for the affected population.
Description of the minimum required situation for positive conditions
<p>Objectively verify (prove) that during at least one of the last 5 nationally-declared disasters or those in which international assistance was requested, a participation mechanism was activated for the affected population during the recovery process.</p>
Examples of positive conditions in countries in the Region
<p>Colombia: As a response to the National Emergency declared in 2010 due to the so-called "Cold Wave" (effect of the La Niña Phenomenon), Colombia created a reconstruction mechanism called the Adaptation Fund (FA). According to the latest 2011-2012 Citizen Accountability Report, "...100% of the regions that shall receive aid have had visits to raise awareness of the projects..." (Page 23). NOTE: The FA has a procedural manual that was formally approved and one of the institutional strategies it includes is "Community Participation," which contains the following plans of action: (i) aid the affected regions in a comprehensive fashion; (ii) aid, accompany, train, promote development in communities benefiting from interventions in order to guarantee sustainability; (iii) identify and coordinate the different regional actors; and (iv) implement bi-directional communication mechanisms.</p> <p>Costa Rica: The United Nations Development Programme (UNDP), the National Emergency Commission (CNE) and the Ministry of Health. Systematization: Aid and relocation process for the population of Cinchona that was affected by the 2009 earthquake. Item 4.2 Lessons Learned: 79% of the agents consulted in the process systematization procedure stated that one of the main strengths is community participation and the intervention of leaders in the response and relocation process of the affected population to Nueva Cinchona. Also, a process to involve beneficiaries in the construction of infrastructure was carried out in order to create the foundations for territorial ties.</p> <p>Chile: Given the earthquake/tsunami that affected the country on February 27, 2010, the Municipality of Constitución, with the help of the Ministry of Housing and Urban Planning and other local institutions, carried out PRES Constitución (Constitución Sustainable Reconstruction Plan), which focused on achieving community participation in the city reconstruction process.</p>

Code: FP 1A-1

Closed-Ended Question
<p>1. Do the national regulations on Disaster Risk Management establish national funds to finance emergent expenses in disaster situations?</p>
General description of indicator
<p>Due to the scope and nature of its universe, the degree of uncertainty it addresses and the values and net worth it protects, Disaster Risk Management (DRM) requires all possible financial viability and the tools to make its operation possible. Therefore, it is important for the national DRM regulations to allow for the creation, regulation and capitalization of funds or financial mechanisms that provide resources for the expenses and needs that arise during disasters. This indicator recognizes the quality criterion for DRM, meaning the existence of national funds that have the maximum possible capacity to address disaster situations.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Review the national regulations for DRM in the country. 2. Verify if there is an explicit reference to the creation of funds or equivalent mechanisms, at the national level, to finance emergent expenses from responding to disaster situations. These funds can be: reserve, calamity, emergency or disaster funds, among other denominations.
Description of the minimum required situation for positive conditions
<p>Provisions in national DRM regulations for the country that establish funds or mechanisms to fund emergent expenses in disaster situations.</p> <p>It should be mentioned that the condition is positive if the mechanisms are established in the DRM regulations. If there are several regulations, this is not considered a positive condition for this indicator.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The Fiscal Stabilization Fund (FEF) within the Ministry of Economy and Finance (MEF), was created via Law No. 27245 on Fiscal Transparency and Responsibility, which approved its Sole Ordinary Text through Supreme Decree No. 066-2009-EF, of March 24, 2009. The FEF was created in order to guarantee the sustainability of fiscal accounts during adverse events such as a sudden drop in revenues or national emergencies, and line b of item 8.1 states "<i>the FEF resources may only be used... b) in the exception situations outlined in Article 5 of this Law.</i>" Said article 5, item 5.1, indicates the rules for exceptions: "<i>In cases of national emergency...that could seriously affect the national economy...</i>"</p> <p>Mexico: The General Civil Protection Act (LGPC) of June 6, 2012 is the legal, content and budgetary basis for the National Disaster Fund (FONDEN) and the Fund for Natural Disaster Prevention (FOPREDEN). In 1996, the Natural Disasters Fund Program (FONDEN) was created within Branch 23 of the Federation Expenditures Budget, for the purpose of effectively and timely response to damages caused to physical public Federal, state and municipal infrastructure that could not be insured. This fund was created by the LGPC, which states in Article 7 that: "<i>The Federal Executive Branch may... III. Consider, as part of the PEF for each fiscal year, those resources for the optimal functioning and operation of those financial risk management tools described in the Federal Budget and Treasury Responsibility Act, in order to promote and support the performance of preventive actions, as well as those designed to aid the population during emergency situations and address damages caused by natural disasters.</i>"</p> <p>Costa Rica: Law No. 8488, the National Emergency and Risk Prevention Act, of October 27, 2005, establishes the creation of the National Emergency Fund in Article 43 and states: "<i>The National Emergency Fund shall be created to address and respond to emergency, prevention and mitigation situations...</i>"</p>

Code: FP 1A-2

Closed-Ended Question
2. Do the national regulations on Disaster Risk Management establish the annual percentage of resources to allocate to the national fund for emergent expenses in disaster situations?
General description of indicator
The creation of funds to provide resources to manage disasters is undoubtedly an important step, but is not sufficient. The national regulations for DRM, or other regulations related to the budget and national public finances, should set a percentage or parameter in their rules for the resources that should be allocated to the fund or funds established to defray the emergent expenses in disaster situations. The above provides these funds with strength and certainty, which helps ensure their permanence and the completion of their goals.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Review the DRM regulations in the country and verify if they explicitly mention the creation of funds or equivalent mechanisms at the national level that could finance emergency disaster response expenses. 2. Investigate, as appropriate, to see if these national regulations or regulations related to the national budget or public finances explicitly establish a percentage or parameter of resources that should be allocated to the fund or equivalent mechanism. These funds can be: reserve, calamity, emergency or disaster funds, among other denominations.
Description of the minimum required situation for positive conditions
The national DRM regulations, or other regulations on public finances or the budget itself, define the percentage or parameter for the resources that should be allocated to the fund or equivalent mechanism.
Examples of positive conditions in countries in the Region
<p>Costa Rica: Law No. 8488, the National Emergency and Risk Prevention Act, of October 27, 2005, states in article 46 that <i>"All institutions in the central administration, the decentralized public administration and all public companies shall send the Commission three percent (3%) of their earnings and accumulated budget surplus, free and total, that each reports, which shall be deposited in the National Emergency Fund in order to finance the National Risk Management System..."</i></p> <p>Mexico: The Federal Budget and Financial Responsibility Act, of March 30, 2006, sets the percentage of the scheduled expenses within the Expenditures Budget for each fiscal year for national funds for disaster prevention and management: <i>"Article 37. The Expenditures Budget should include provisions for the Disaster Prevention Fund, Disasters Fund and the Fund to Aid Rural Populations Affected by Climate Disasters in order to create reserves so they can, respectively, carry out preventative actions or respond in a timely fashion to the damages caused by natural phenomena. The allocations in the Expenditures Budget for these funds, together with what is available in the corresponding reserves, cannot be less than an amount equal to 0.4 percent of scheduled expenses. The use of Fund resources shall be subject to the corresponding rules of operation."</i></p>

Code: FP 1A-3

Closed-Ended Question
3. Are there regulations that establish the creation of disaster risk retention and transfer structure in the country?
General description of indicator
<p>In order for the development and implementation of a financial management structure for disaster risk to be sustainable, there need to be regulations that order its creation.</p> <p>Disaster risk retention and transfer structure means an optimal combination of risk retention and transfer tools in accordance with the levels to cover (recurring and non-recurring events) and the associated costs.</p> <p>It does not mean the regulations related to the requirement to cover public assets through insurance policies.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Review the regulatory framework on management of contingent obligations. 2. Review the regulations in operating manuals for the treasury, economy or finance authority areas (or equivalent entity). 3. Review the national DRM regulations. 4. Review the regulations for national DRM plans or programs. 5. Review the national regulations for development planning in the country. 6. Discuss the issue with the treasury, economy or finance authority (or equivalent entity). 7. Discuss the issue with the DRM guiding authority. <p>Note: the regulations do not have to go into a level of detail that mentions <i>ex-ante</i> and <i>ex-post</i> retention and transfer tools. They just need to mention the creation of a financial management or protection structure for disaster risk.</p>
Description of the minimum required situation for positive conditions
<p>Any current national regulations that have the goal of creating a disaster risk and transfer structure within the country, or, if none, a financial management or protection structure for disaster risk.</p> <p>Regulations related to the requirement to cover public assets through insurance policies is not considered positive for this condition.</p>
Examples of positive conditions in countries in the Region
<p>Peru: The Organizational and Operating Regulations for the Ministry of Economy and Finances, approved via Ministerial Resolution No. 223-2011-EF43, of March 30, 2011, define the functions of the Department of Risk Management in article 109. The above is consistent with Law No. 29664, which creates the National Disaster Risk Management System (SINAGERD), dated February 18, 2011. Line b of article 19 states that the tools for SINAGERD include a financial strategy for risk management due to the occurrence of disasters caused by natural phenomena, which should be created by the MEF.</p> <p>Panama: The indicator is partially complied with through Executive Decree No. 110, of August 4, 2009, that creates the Department of State Investments, Concessions and Risks (DICRE), within the Ministry of Economy and Finances, and adopt measures for administrative efficiency, article 2, lines 7 and 8 of which, regarding the functions of this Department, state that it should review and make recommendations to its superior regarding risk management policies, insurance and loans, as well as verifying that national assets are covered by a "...modern risk administration system..." The indicator is complied with in full through Executive Decree No. 479 of November 22, 2011, which adds numbers 10, 11, 12 and 13 to article 2 of Executive Decree No. 110 of August 4, 2009, which adds additional responsibilities for DICRE with regard to financial management of disaster risk, by adding specifics regarding risk transfer in articles 10 and 11, and vaguely, risk retention conditions as well.</p> <p>Jamaica: The National Development Plan: Vision 2030, approved in 2010, Chapter 3: National Result No. 14 - Risk Reduction of Hazards and Climate Change Adaptation include among the selected sector strategies "<i>Creating and Introducing Economic and Financial Market Tools for Risk Transfer.</i>"</p>

Closed-Ended Question
4. Do the regulations governing the technical provisions of the insurance sector mandate that the estimation of catastrophic risk reserves for non-homogenous/special assets be sustained by probabilistic risk assessment models defined or certified by the sector's regulating entity?
General description of indicator
<p>Non-homogenous/special assets correspond to risks with very different characteristics, such as aqueduct and sewerage systems and petroleum infrastructure.</p> <p>In order to ensure that insurance companies have the necessary resources to respond in the event of a disaster, the reserves need to be estimated using probabilistic risk evaluation models, which should be certified by the sector's regulatory entity. Additionally, it should consider the particular characteristics of the risks.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Review the regulations for the technical provisions of the insurance sector. 2. Review if the regulations state that the technical provisions of the insurance sectors should be established using probabilistic evaluation models. 3. Identify if the regulations refer to the estimation of reserves for non-homogenous/special assets (or equivalent). 4. Review the website of the organization supervising the insurance market. 5. Consult the organization supervising the insurance market.
Description of the minimum required situation for positive conditions
The regulations governing the technical provisions of the insurance sector should explicitly mandate that the estimation of catastrophic risk reserves for non-homogenous/special assets (or equivalent) should be based on probabilistic risk assessment models defined or certified by the insurance sector's regulating entity.
Examples of positive conditions in countries in the Region
<p>Peru: Through Office of the Superintendent of Banking, Insurance and Private Pension Fund Administrators (S.B.S.) Resolution No. 1305-2005, which approves the Regulations for the Creation of a Catastrophic Risk and Unexpected Disaster Reserve, dated August 19, 2005, the SBS stated that insurance companies should carry out a study to calculate the Probable Maximum Loss (PML) which will be used to determine the minimum catastrophic coverage required for the national market. The foregoing states in article 3 "<i>The companies shall create a catastrophic reserve each month from the sum of the following components: a) the sum equivalent to the product of the PML determined per the Technical Note and the Total Exposed Sum for industrial buildings and complexes. b) The total of the maximum loss anticipated for special structures beyond industrial buildings and complexes.</i>" This means that the estimation of reserves for non-homogenous assets should be based on probabilistic risk assessment models. It should be noted that the corresponding technical note has not been created for special structures that are not special buildings or complexes, so the estimation of reserves is based on the estimation of PML for industrial buildings and complexes.</p> <p>Mexico: The National Insurance and Bonds Commission (CNSF) stated that the same model applies in Mexico regardless of whether the asset is homogenous or non-homogenous. Chapter 7.2 of the Sole Insurance Memo, On the technical basis for the assessment of the current risk reserve and the Probable Maximum Loss for earthquake insurance states "<i>In order to calculate the Probable Maximum Loss that shall be used to determine the requirement for solvency and the limit for the catastrophic risk reserve for earthquake insurance, the following should be followed: The Probable Maximum Loss shall be determined monthly by applying the technical basis indicated in Appendix 7.2.1 and using the computation system "Sistema R®" that shall be provided by the Commission, pursuant to Appendix 7.2.2.</i>" With regard to Appendix 7.2.1., regarding the technical basis for determining the risk premium and the Probable Maximum Loss for earthquake insurance, the CNSF stated that said model is a probabilistic one. Said model applies to non-homogenous assets.</p>

Code: FP 1A-5

Closed-Ended Question
<p>5. Do the regulations governing the technical provisions of the insurance sector mandate that the estimation of catastrophic risk reserves for homogenous/uniform assets be sustained by probabilistic risk assessment models defined or certified by the sector's regulating entity?</p>
General description of indicator
<p>Homogenous/uniform assets are those assets with the same physical characteristics, such as concrete office buildings that are more than 10 years old.</p> <p>In order to ensure that insurance companies have the necessary resources to respond in the event of a disaster, the reserves need to be estimated using probabilistic risk evaluation models, which should be certified by the sector's regulatory entity. Additionally, it should consider the particular characteristics of the risks.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Review the regulations for the technical provisions of the insurance sector. 2. Review if the regulations state that the technical provisions of the insurance sectors should be established using probabilistic evaluation models. 3. Identify if the regulations refer to the estimation of reserves for homogenous/uniform assets. 4. Review the website of the organization supervising the insurance market. 5. Consult the organization supervising the insurance market.
Description of the minimum required situation for positive conditions
<p>The regulations governing the technical provisions of the insurance sector should explicitly mandate that the estimation of catastrophic risk reserves for homogenous/uniform assets should be based on probabilistic risk assessment models defined or certified by the insurance sector's regulating entity.</p>
Examples of positive conditions in countries in the Region
<p>Peru: Through Office of the Superintendent of Banking, Insurance and Private Pension Fund Administrators (S.B.S.) Resolution No. 1305-2005, which approves the Regulations for the Creation of a Catastrophic Risk and Unexpected Disaster Reserve, dated August 19, 2005, the SBS stated that insurance companies should carry out a study to calculate the Probable Maximum Loss (PML) which will be used to determine the minimum catastrophic coverage required for the national market. The above states in Article 3 that <i>"The companies shall create a catastrophic reserve each month from the sum of the following components: a) the sum equivalent to the product of the PML determined per the Technical Note and the Total Exposed Sum for industrial buildings and complexes. b) The total of the maximum anticipated loss for special structures beyond industrial buildings and complexes."</i></p> <p>Mexico: The National Insurance and Bonds Commission (CNSF) stated that the same model applies in Mexico regardless of whether the asset is homogenous or non-homogenous. Chapter 7.2 of the Sole Insurance Memo, On the technical basis for the assessment of the current risk reserve and the Probable Maximum Loss for earthquake insurance states <i>"In order to calculate the Probable Maximum Loss that shall be used to determine the requirement for solvency and the limit for the catastrophic risk reserve for earthquake insurance, the following should be followed: The Probable Maximum Loss shall be determined monthly by applying the technical basis indicated in Appendix 7.2.1 and using the computation system "Sistema R®" that shall be provided by the Commission, pursuant to Appendix 7.2.2."</i> With regard to Appendix 7.2.1., regarding the technical basis for determining the risk premium and the Probable Maximum Loss for earthquake insurance, the CNSF stated that said model is a probabilistic one. Said model applies to non-homogenous assets.</p>

Code: FP 1A-6

Closed-Ended Question
6. Are there regulations that establish development funds for financing disaster management activities?
General description of indicator
Development funds can be a very important source of resources for funding disaster management activities.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the main development funds (or equivalent mechanism). 2. Investigate if the law for said funds (or equivalent mechanism) enables them to finance disaster management activities. 3. Investigate in the budget and risk area (if any) of the treasury, economy or finance authority (or equivalent entity) to see if there are development funds (or equivalent mechanism) in place to finance disaster management activities. 4. Investigate in the legal area regarding the legal capacity of the main development funds (or equivalent mechanism) identified to finance disaster management activities.
Description of the minimum required situation for positive conditions
Existence of at least one development fund (or equivalent mechanism) in place to finance disaster management activities (response, rehabilitation, reconstruction).
Examples of positive conditions in countries in the Region
<p>Mexico: In Mexico, there are various cases of development funds in place to finance development activities, including: (i) The National Support Fund for Companies in Solidarity, FONAES, that is governed by the AGREEMENT through which the Operating Rules for the National Support Fund for Companies in Solidarity are published for fiscal year 2012, dated December 21, 2011, put in place for "7. Coverage. The resources and actions used to address the effects of natural disasters should follow the guidelines and mechanisms issued by the Department of Governance and Department of Treasury and Public Credit, within the scope of its competency and other applicable provisions " (ii) The Fund for the "Esta Es Tu Casa" Program, which, per the Agreement by which the Operating Rules for the "Esta Es Tu Casa" Federal Housing Subsidy and Financing Schemes Program are modified for Fiscal Year 2013, dated February 28, 2013, state in number "4.3 Natural phenomena and risk zones. In emergency situations caused by natural phenomena...the Regulatory Body shall have the ability, following analysis of budget and response capacity, to provide federal subsidies to individuals with housing affected by natural phenomena or housing built in risk zones, through schemes that supplement state and/or municipal subsidies, avoiding the need to utilize the prior savings or financing of the affected parties..."</p> <p>Panama: Law 38, which creates the Panama Savings Fund (FAP) and modifies Law 34 of 2008 on Social Fiscal Responsibility, of June 5, 2012, for the purpose of, per numbers 1, 2 and 3, establishing a saving and macroeconomic stabilization mechanism to address states of emergency and not resort to debt instruments. Per article 5, number 1, the Law allows withdrawals associated with State of Emergency situations as declared by the Cabinet Council, as long as the cost associated with the event is greater than or equal to 0.5% of GDP (excluding the sum of coverage of the policy and contingent credit lines) and FAP assets are greater than 2% of the nominal GDP of the previous year. Additionally, the FAP is empowered to acquire catastrophic insurance. Executive Decree No. 1068, of September 6, 2012, which regulated Law 38 is included, especially with regard to article 6 on withdrawals in the event of a state of emergency and 7 on the purchasing on catastrophe bonds.</p>

Closed-Ended Question
<i>1. Are there regulations that establish the State's fiscal responsibility surrounding disaster risk?</i>
General description of indicator
The responsibility of the state with regard to disaster risk defines the passive contingent that it should manage and therefore, the items to consider in the design and implementation of the financial management strategy for disaster risk.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Review the Constitution, the regulations for Disaster Risk Management (DRM) and regulated related to contingency management. 2. Investigate if the regulations explicitly reference the responsibilities of the State in the event of a disaster.
Description of the minimum required situation for positive conditions
<p>Current regulations define the scope of the state's fiscal responsibility in the event of a disaster. An interpretation of an article from the country's current regulations is not considered to be a verifier.</p> <p>Not will any background information on the issue or a ruling from a body in the legal branch be considered verifiers.</p> <p>The text should be explicit, such as, for example: <i>"...in the event of a disaster, the State is responsible for its assets and those of the most vulnerable population, understood as..."</i> or <i>"...in the event of a disaster, the State shall not be responsible for the assets of private parties..."</i></p>
Examples of positive conditions in countries in the Region
<p>Mexico: Article 7 of the General Civil Protection Act, of June 6, 2012, describes the obligation of the Federal Executive Branch with regard to civil protection to: <i>"... III. Consider, as part of the Federation Expenditures Budget for each fiscal year, those resources for the optimal functioning and operation of those Financial Risk Management Tools described in the Federal Budget and Treasury Responsibility Act, in order to promote and support the performance of preventive actions, as well as those designed to aid the population during emergency situations and address damages caused by natural disasters..."</i> Responsibilities are also included in the following articles: (i) <i>"Article 62. The Federal Executive Branch, through the Department of Treasury and Public Credit, per the terms of the Federal Budget and Treasury Responsibility Act, shall provide the financial resources for the timely response to emergency and disaster situations, in which, should the available resources have been exhausted, budget adjustments shall be made to address the population emergent needs and strategic infrastructure reconstruction ;"</i> (ii) <i>"Article 91. It is the responsibility of the Federal Government and the states to address the negative effects caused by extreme climate phenomena in the rural sector."</i></p> <p>Argentina: Law 26.509, Agricultural Emergencies, which creates the National Agricultural Disaster and Emergency Mitigation and Prevention System, dated August 27, 2009, states that the government is responsible for: (i) <i>"Article 9. The Department of Agriculture, Livestock, Fishing and Food shall bring a declaration of a state of agricultural emergency and/or disaster as proposed by the National Agricultural Disaster and Emergencies Commission before the national Executive Branch. Once the state of agricultural emergency and/or disaster has been declared, the Department of Agriculture, Livestock, Fishing and Food shall: (a) Allocate and/or reallocate human, financial and other resources that the situation requires... (c) Provide technical and financial aid to producers in order to reestablish financial, productive and economic capacity; (d) Provide technical and financial aid to public entities during the state of agricultural emergency and/or disaster. Public entities are understood to be those State offices or decentralized national, provincial or municipal entities that develop plans, programs or actions within the framework of this law in order to decrease the vulnerability of agricultural producers and rural populations; (e) Coordinate with provinces, municipalities, the National Bank of Argentina, provincial or municipal financial agents, to provide aid to agricultural producers affected by adverse phenomena, facilitating, in accordance with the conditions established by the applicable authorities, the provision of resources in due time and fashion; (ii) "Article 10. The Department of Agriculture, Livestock, Fishing and Food, directly and/or together with states, provinces, municipalities or communes, shall implement actions after the agricultural disaster and/or emergency situation in order to: (a) Provide financial aid in reconstructing the productive apparatus; (b) Oversee and monitor the aid system so that the allocated resources are used for the purposes of this law; (c) Aid agricultural producers to reduce losses during the agricultural disaster and/or emergency, recover the productive capacity of production systems and reduce vulnerability to future events."</i></p>

Closed-Ended Question
2. Are there regulations that assign competencies to the Treasury, Finance or Economy sector, for financial protection from disaster risk?
General description of indicator
A comprehensive disaster risk strategy requires a financial management component for disaster risk which should be the responsibility of the treasury, finance or economy sector (or equivalent entity). Consequently, this indicator aims to identify if any regulatory frameworks, such as the framework on liabilities or contingent obligations, explicitly state the functions related to the creation of a disaster risk retention and transfer structure in the country. This framework should exist such that disaster risk can be included as a contingent obligation or liability (explicit or implicit). If there is no framework on obligations or contingent liabilities, review if there are regulations that assign functions to an area so that it manages disaster risk from a financial point of view, such as an operating manual for the treasury, finance or economy sector (or equivalent entity), or the regulatory framework for DRM.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Review the regulatory framework on management of contingent obligations. 2. Review the operating manuals for the treasury, finance or economy sectors (or equivalent entity). 3. Review the national DRM regulations. 4. Review the national regulations for national DRM planning. 5. Review the national regulations for national development planning.
Description of the minimum required situation for positive conditions
National regulations that assign functions to the treasury, finance or economy sector (or equivalent entity) to manage disaster risk from a financial point of view.
Examples of positive conditions in countries in the Region
<p>Peru: The Organizational and Operating Regulations for the Ministry of Economy and Finances, approved via Ministerial Resolution No. 223-2011-EF43, of March 30, 2011, in the section that assigns functions to the Department of Risk, states in article 109, item a that it shall "<i>Design and provide policies, directives and strategies for financial (market, liquidity, credit and/or counter-party, investments, country), operational and legal-type or contractual-type risks, or risks related to natural disasters</i>" (http://snipnet.mef.gob.pe/contenidos/politicas/presentacion/RM223_2011EF43.pdf)</p> <p>Panama: The Department of State Investments, Concessions and Risks (DICRE), within the Ministry of Economy and Finances, created via Executive Decree No. 110, of August 4, 2009, which includes, among other functions, the establishment of a risk management policy and ensuring that public assets have financial protection (articles 7 and 8). Executive Decree No. 479 of November 22, 2011, which adds numbers 10, 11, 12 and 13 to article 2 of Executive Decree No. 110 of August 4, 2009, which gives DICRE financial management responsibilities with regards to disaster risk (articles 10 and 11). Finally, the National Comprehensive Disaster Risk Management Policy (PNGIRD), approved together with Executive Decree No. 1101 of December 30, 2010, published in the Official Gazette in January 2011 (FP 1B-3c), and inserted in an appendix as instructed in article 2, also stipulates responsibilities for the MEF in this area (Axis A, measure 2 Financial protection for investment).</p> <p>Mexico: The General Civil Protection Act of June 6, 2012 states in Article 19 that "Executive coordination of the National System shall be the responsibility of the department through the National Coordination Office, which shall have the following attributions with regard to civil protection: (a) <i>advise and support state governments together with the Department of Treasury and Public Credit in the analysis and selection of the required model for the transfer of risks as described in article 18 of this Act and (b) Propose, together with the Department of Treasury and Public Credit, the models for the purchase of insurance and financial tools for risk management, to guarantee the best conditions for the Federation with regard to price, quality,</i></p>

financing, opportunity and other pertinent circumstances." Also, the specific Operational Guidelines for the 2011 Natural Disasters Fund states in Chapter VII, On support for risk transfer, Section I, General aspects, number 35. *"In order to comply with article 21 of the Regulations, the Technical Committee may request recommendations from the Insurance Unit regarding the Comprehensive Risk Management Strategies that are presented. The Insurance Unit shall present the proposal for the Technical or Economic Supports that it can provide to the Technical Committee, based on the characteristics of the strategies and on the Operational Guidelines. The Technical Committee may authorize the distribution of resources for the hiring of experts on risk administration and transfer to aid in the completion and review of the actions described in sections I to III of the following number."*

Colombia: Although there is no explicit recognition in Colombia that the occurrence of disasters is an explicit liability (Law 819 of 2003), there is implicit recognition through its inclusion in the contingent obligations report published by the country.

Closed-Ended Question
3. Are there regulations that establish that sectorial entities must cover their public assets with insurance policies or another type of equivalent mechanism?
General description of indicator
It is assumed that sector entities are responsible for insuring their public assets. Therefore, it is considered relevant that sectorial entities also cover them against the event of disasters. This issue is key as it is the basis for the financial protection of public assets.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the regulations related to the management of state assets. 2. Investigate for regulations related to internal oversight standards or disciplinary codes applicable to public officers.
Description of the minimum required situation for positive conditions
Regulations that specifically establish the coverage of public assets with catastrophic insurance policies or other kinds of coverage.
Examples of positive conditions in countries in the Region
<p>Colombia: Law 1523 of 2012, by which the national disaster risk management policy is adopted and the National Disaster Risk Management System is established and other provisions are issued, assigns competencies to the Ministry of Treasury and Public Credit with regard to financial protection in Article 51, Sub-accounts to support funding of risk management, and number 5 creates the Sub-account for Financial Protection: "The resources of this sub-account shall be used to support the funding for financial protection. Through this sub-account, the Ministry of Treasury and Public Credit shall manage, acquire or sign those tools or contracts with domestic or foreign entities that allow for financial protection with regard to disaster risk."</p> <p>Peru: Supreme Decree No. 007-2008-Housing, which approves the Regulations of Law No. 29151, General National System of State Assets Act, of March 14, 2008, states in article 10, that the functions, attributions and obligations of entities include "<i>Purchasing insurance policies for their assets and those under their administration, pursuant to budget priority and availability.</i>" Therefore, sectorial entities should cover the public assets with insurance policies.</p> <p>Panama: The Department of State Investments, Concessions and Risks (DICRE), within the Ministry of Economy and Finances, created via Executive Decree No. 110, of August 4, 2009, stated in an interview that all sectorial entities should cover their public assets. The foregoing is based on Cabinet Decree No. 17, of June 5, 1991, which establishes the management of State insurance policies: (i) Article 3. "<i>The Commission should establish a modern risk management system through a tender, as established in the Fiscal Code, with the participation of the greatest number of professional insurance brokers for the insurance management, organization and claims for each of the institutions...</i>;" (ii) Article 5. "<i>This system shall be designed such that the Panamanian State shall be considered as a sole client...</i>"</p> <p>Mexico: The Public Sector Acquisitions, Leasing and Services Act, of January 4, 2000, describes this obligation and its exceptions in article 5, stating that "<i>It shall be the responsibility of offices and entities to purchase the corresponding services to keep their assets adequately and satisfactorily insured. The previous paragraph shall not be applicable when, due to the nature of the assets or the types of risks to which they are exposed, the cost of insurance represents an expense that has no direct relation to the benefit that could be obtained or, alternatively, it is determined that there is no insurance offer on the market for the assets in question. The Department shall authorize the application of the exception in advance.</i>"</p>

Code: FP 1B-4

Closed-Ended Question
4. Are there regulations on incentives for private housing insurance against disaster risk?
General description of indicator
Private parties should be insured against the event of a disaster. Therefore, this indicator looks for the promotion of incentives for insuring private parties against disasters, other than the signing of insurance policies related to mortgages.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of these kinds of programs with the insurance union. 2. Consult with the treasury, finance or economy sectors (or equivalent entity) in charge of development the financial management strategy for disaster risk, in the event the country assigns this function to a sector. 3. Consult with the housing sector. 4. Review the information available on the website of the organization supervising the insurance market.
Description of the minimum required situation for positive conditions
<p>Evidence of regulations that include incentives for the insurance of private parties against disaster risk.</p> <p>The requirement to insure housing when signing a mortgage is not considered a positive condition.</p>
Examples of positive conditions in countries in the Region
<p>Turkey: The Turkish Catastrophe Insurance Pool (TCIP). The government of Turkey established a system in which the State and insurance companies participate in order to offer insurance against earthquakes to owners of private goods. In the event of an earthquake, the Turkish government will only help those private residents that are insured.</p> <p>Haiti: The 2012 Haiti Strategic Development Plan states: Subprogram 2.5.1, Improved access to insurance, that given the limited resources of the State, best use should be made of the private sector to promote knowledge of the use of insurance and, in the short term, make their purchase mandatory for various acts or risk situations. In the next PTI, measures will be identified and implemented to improve insurance coverage in all areas, especially with regard to "...movable and immovable property; and (VII) all risks insurance." Meaning, the insuring of movable and immovable property and the private sector is promoted.</p> <p>Colombia: Law 734, through which the Sole Disciplinary Code is issued, date February 5, 2002, creates the description of disciplinary offenses in the Sole Title, and in Chapter I, it describes serious offenses, such as those described in the Article 48, number 63: "<i>No insuring State assets for their actual value nor making the pertinent budget appropriations.</i>" The above includes all managers of sectorial entities.</p>

Code: FP 1C-1

Closed-Ended Question
<i>1. Are there regulations that establish that territorial entities must cover their public assets with insurance policies or another type of equivalent mechanism?</i>
General description of indicator
It is assumed that territorial level entities are responsible for the coverage of their public assets. Therefore, it is considered relevant that territorial level entities cover them against the occurrence of disasters.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the regulations related to the management of state assets. 2. Investigate for regulations related to internal oversight standards or disciplinary codes applicable to public officers that work at territorial levels.
Description of the minimum required situation for positive conditions
Regulations that specifically establish the coverage of public assets of territorial level entities with catastrophic insurance policies or other kinds of coverage.
Examples of positive conditions in countries in the Region
<p>Colombia: Law 734, through which the Sole Disciplinary Code is issued, date February 5, 2002, creates the description of disciplinary offenses in the Sole Title, and in Chapter I, it describes serious offenses, such as those described in the Article 48, number 63: "<i>No insuring State assets for their actual value nor making the pertinent budget appropriations.</i>" The above includes all managers of sectorial entities.</p> <p>Peru: Supreme Decree No. 007-2008-Housing, which approves the Regulations of Law N. 29151, General National System of State Assets Act, of March 14, 2008, states in article 10, that the functions, attributions and obligations of entities include "<i>Purchasing insurance policies for their assets and those under their administration, pursuant to budget priority and availability.</i>" Therefore, all territorial level entities should cover their public assets with insurance policies.</p> <p>Panama: The Department of State Investments, Concessions and Risks (DICRE), within the Ministry of Economy and Finances, created via Executive Decree No. 110, of August 4, 2009, stated in an interview that all territorial level entities should cover their public assets. The foregoing is based on Cabinet Decree No. 17, of June 5, 1991, which establishes the management of State insurance, through which the management of state insurance for all institutions in the Panamanian State is established: (i) Article 3. "<i>The Commission should establish a modern risk management system through a tender, as established in the Fiscal Code, with the participation of the greatest number of professional insurance brokers for the insurance management, organization and claims for each of the institutions...</i>;" (ii) Article 5. "<i>This system shall be designed such that the Panamanian State shall be considered as a sole client...</i>" NOTE: these articles in Decree 17 apply to all public entities in the country, including those at the territorial level.</p> <p>Costa Rica: Law No. 8232, Internal Oversight Act, of September 4, 2002, states in Article 15 on "<i>Oversight activities. Regarding oversight activities, the following are the duties of directors and appointed subordinates to...</i> b) Document, keep updated and internally disclose policies and procedures that clearly define the following, among others... ii. <i>The protection and preservation of all institutional assets.</i>" Therefore, pursuant to the concept of expert attorneys in terms of insurance in the country, the sectorial entities should cover their public assets.</p>

Code: FP 1C-2

Closed-Ended Question
<i>2. Are there regulations that mandate the implementation of structures for financial protection from disasters in cities with more than 100,000 inhabitants?</i>
General description of indicator
In general, cities with more than 100,000 inhabitants concentrate greater exposure. In this sense, it is appropriate to implement financial protection structures with regard to disaster risk, meaning those that implement an optimal combination of risk retention and transfer tools, in accordance with the levels to cover (recurring and non-recurring events) and the associated costs.
Steps to follow to obtain the required information
<p>Centralized countries</p> <ol style="list-style-type: none"> 1. Consult with the treasury, finance or economy sector (or equivalent entity) areas in charge of monitoring municipalities. 2. Consult the entity that represents the insurance union. <p>Federal countries</p> <ol style="list-style-type: none"> 1. Investigate if there are any current regulations that establish policies or strategies through which cities with more than 100,000 inhabitants should create financial protection structures for disasters. 2. Consult with the treasury, finance or economy sectors (or equivalent entity) regarding a policy with such a purpose.
Description of the minimum required situation for positive conditions
<p>Proof of regulations that state that cities with more than 100,000 inhabitants should implement financial management strategies for disaster risk.</p> <p>Note: if the country is not decentralized and there are regulations that require the country to design and implement financial management strategies for disaster risk, but there are not specific regulations for municipalities, the condition cannot be considered positive.</p>
Examples of positive conditions in countries in the Region
<p>Panama: The Department of State Investments, Concessions and Risks (DICRE), within the Ministry of Economy and Finances, created via Executive Decree No. 110 of August 4, 2009, has the power to implement, given the lack of decentralization in the country, financial protection for disasters in cities, even those with more than 100,000 inhabitants. This is part of the administrative efficiency measures for DICRE that include, among others, the establishment of a risk management policy and ensuring that public assets have financial protection (articles 7 and 8).</p>

Code: FP 1C-3

Closed-Ended Question
3. <i>Does the country's capital city have a fund or equivalent mechanism for financing or co-financing disaster management activities?</i>
General description of indicator
It is important for the country's capital city to have a mechanism in place for financing or co-financing disaster management activities. Note: if the country is not decentralized and there is a national mechanism in place for the financing or co-financing of disaster management activities, but this mechanism doesn't exist at the level of the country's capital city, this condition is not considered positive.
Steps to follow to obtain the required information
<p>Centralized countries</p> <ol style="list-style-type: none"> 1. Review the regulations for DRM in the country and review if explicit mention is made to municipal level mechanisms that are in place to finance or co-finance disaster management activities. 2. Investigate if the guiding entity for disaster risk management in the municipality has a mechanism in place to finance or co-finance disaster management activities. 3. This mechanism can be: reserve, calamity, emergency or disaster funds, among other denominations. <p>Federal countries</p> <ol style="list-style-type: none"> 1. Review the statute or law that politically and administratively governs the country's capital city. 2. Find the legal framework for the country's capital city and review the regulations on public finances or those that regulate DRM or any other regulations that could control the issue of the fund for disaster management. 3. As appropriate, consult with the treasury, finance or economy sector of the government of the country's capital city.
Description of the minimum required situation for positive conditions
Show evidence that the country's capital city has a fund or equivalent mechanism for financing or co-financing disaster management activities.
Examples of positive conditions in countries in the Region
<p>Mexico: The Federal District Civil Protection System Act, published in the Official Gazette on July 8, 2011, has the goal of "<i>...regulating the integration, organization, coordination and operation of the Federal District Civil Protection System, as well as establishing the obligations of the government and the rights and obligations of individuals during the application of the mechanisms and measures for prevention, aid and recovery in order to protect people, their assets, the environment and the operation of vital services and strategic systems in the event of an emergency, catastrophe or disaster.</i>" This act establishes three funds or financial instruments for various phases of disaster management: the Disaster Prevention Trust (FIPDE), the Emergency and Disaster Response Fund (FADE) and the Disaster Prevention Fund (FOPDE). The Disaster Prevention Trust (FIPDE) has the goal of carrying out urgent preventive actions in order to prevent effects on the life and net worth of the population or the structure of the City given the imminent occurrence of disruptive phenomena (article 7, XXVI). The Emergency and Disaster Response Fund (FADE) is activated through declarations of emergency or disaster in order to provide aid and assistance supplies due to disruptive phenomena and for the recovery from the damage caused by the same (article 7, XXVII). Lastly, the Disaster Prevention Fund (FOPDE) supports scheduled preventive actions to mitigate the effects of the possible occurrence of disruptive phenomena (article 7, XXVIII).</p>

Code: FP 1C-4

Closed-Ended Question
<p>4. Does the capital city's fund or equivalent mechanism for financing or co-financing disaster management activities have the capacity to accumulate resources over time?</p>
General description of indicator
<p>It is important for the country's capital city to have a mechanism in place for financing or co-financing disaster management activities and for it to have the capacity to accumulate resources over time.</p> <p>Note: if the country is not decentralized and there is a national mechanism in place for the financing or co-financing of disaster management activities able to accumulate resources over time, but this mechanism does not exist at the level of the country's capital city, this condition is not considered positive.</p>
Steps to follow to obtain the required information
<p>Centralized countries</p> <ol style="list-style-type: none"> 1. Review the regulations for Disaster Risk Management (DRM) in the country and review if explicit mention is made to municipal level mechanisms that are in place to finance or co-finance disaster management activities that have the capacity to accumulate resources over time. 2. Investigate if the guiding entity for disaster risk management in the municipality has a mechanism in place to finance or co-finance disaster management activities and can accumulate resources over time. 3. These mechanisms can be: reserve, calamity, emergency or disaster funds, among other denominations. <p>Federal countries</p> <ol style="list-style-type: none"> 1. Review the statute or law that politically and administratively governs the country's capital city. 2. Find the legal framework for the country's capital city and review the regulations on public finances or those that regulate DRM or any other regulations that could control the issue of the fund for disaster management, specifically whether the account has the capacity to accumulate resources over time. 3. As appropriate, consult with the treasury, finance or economy sector of the government of the country's capital city.
Description of the minimum required situation for positive conditions
<p>Show evidence that the country's capital city fund or equivalent mechanism for financing or co-financing disaster management activities has the capacity to accumulate resources over time.</p>
Examples of positive conditions in countries in the Region
<p>Mexico: The Federal District Civil Protection System Act, published in the Official Gazette of the Federal District on July 8, 2011 (in its capacity as a state), describes in article 7, section XXV the existence of a trust to collect the budget resources of the Emergency and Disaster Response Fund (FADE), and according to this section, the trust's assets may include the "<i>...excess from the annual fiscal years of the FADE.</i>" In this way, it can accumulate resources over time. Additionally, article 175 states that "<i>...All the resources obtained through the payment of fees with regard to civil protection as described in the Fiscal Code of the Federal District shall be integrated into the resources of the the FADE,</i>" and these resources clearly accumulate over time.</p> <p>Colombia: Agreement 11 of 1987, through which the Emergency Response and Prevention Fund was created in the Special District of Bogota and other provisions are issued (FP-1C-4a), has the mission of promoting the reduction of natural and non-intentional human risks and of guaranteeing effective management in emergency situations by minimizing negative effects on the population of Bogota through the District System.</p>

Code: FP 1C-5**Closed-Ended Question**

5. Is the capital city's fund or equivalent mechanism for financing or co-financing disaster management activities, based on an optimal rule of accumulation and expenditure based on the Anticipated Annual Loss and on the information recorded on the losses from disasters in previous years?

General description of indicator

From the point of view of the financial component, it is desirable for disaster risk management that the country's capital city has a fund or equivalent mechanism designed and financed in accordance with the needs of the country's capital city. Therefore, this fund should have a defined optimal accumulation and expense rule based on Anticipated Annual Loss and information recorded on losses due to disasters in previous years.

This indicator only applies if the country's capital city actually meets the condition of having a fund or equivalent mechanism in place for the financing or co-financing of disaster management activities.

Note: if the country is not decentralized and there is a national mechanism in place for the financing or co-financing of disaster management activities based on an optimal accumulation and expense rule based on Anticipated Annual Loss and information recorded on losses due to disasters in previous years, but this mechanism doesn't exist at the level of the country's capital city, this condition is not considered positive.

Steps to follow to obtain the required information

1. Investigate in the treasury, economy or finance area (or equivalent entity) in the country's capital city, especially with the risk area (if any) to see if the fund or equivalent mechanism has a defined optimal accumulation and expense rule based on Anticipated Annual Loss and information recorded on losses due to disasters in previous years.
2. We suggest reviewing the law creating the fund or equivalent mechanism.

Description of the minimum required situation for positive conditions

The fund or equivalent mechanism in place for the financing or co-financing of disaster management activities should be scaled and funded pursuant to the needs of the capital city, for which reason an optimal accumulation and expense rule is defined based on Anticipated Annual Loss and information recorded on losses due to disasters in previous years.

Examples of positive conditions in countries in the Region

Given the lack of examples in the region, the following is a proposed hypothetical situation of compliance with this indicator: The capital city of a country in the region has a reserves fund to manage disasters, which receives a fixed amount of annual resources from the city budget (see, for example, Decree 652 of 1990 that regulates the Bogota Emergency Response and Prevention Fund, which states in Art. 7: "a mandatory annual sum included in the district budget that is no less than 0.5% of the ordinary tax revenue of the Central Administration."

Code: FP 2-1

Closed-Ended Question
<i>1. Does the country's capital city have a financial protection structure in the event of disaster?</i>
General description of indicator
In general, exposure is concentrated in the capital city. Therefore, it should develop financial protection structures for disasters.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate with the treasury, economy or finance area (or equivalent entity) for the country's capital city. 2. Investigator with the treasury, economy or finance area (or equivalent entity) in charge of monitoring municipalities (if a centralized country).
Description of the minimum required situation for positive conditions
The city where the country's central administration is located should show evidence of several financial protection tools combined into one strategy.
Examples of positive conditions in countries in the Region
<p>Mexico: The Federal District Civil Protection System Act, published in the Official Gazette on July 8, 2011, provides for "<i>...the integration, organization, coordination and operation of the Federal District Civil Protection System, as well as establishing the obligations of the government and the rights and obligations of individuals during the application of the mechanisms and measures for prevention, aid and recovery in order to protect people, their assets, the environment and the operation of vital services and strategic systems in the event of an emergency, catastrophe or disaster.</i>" This financial protection includes three financial instruments for different phases of disaster management: the Disaster Prevention Trust (FIPDE), The Emergency and Disaster Response Fund (FADE) and the Disaster Prevention Fund (FOPDE). The Federal District Civil Protection System Act, published in the Official Gazette on July 8, 2011 (PF-2-1a), provides for "<i>...the integration, organization, coordination and operation of the Federal District Civil Protection System, as well as establishing the obligations of the government and the rights and obligations of individuals during the application of the mechanisms and measures for prevention, aid and recovery in order to protect people, their assets, the environment and the operation of vital services and strategic systems in the event of an emergency, catastrophe or disaster.</i>" This financial protection includes three funds or financial instruments for various phases of disaster management: the Disaster Prevention Trust (FIPDE), the Emergency and Disaster Response Fund (FADE) and the Disaster Prevention Fund (FOPDE).</p>

Closed-Ended Question
2. Has the Ministry of Treasury, Finance or Economy determined the resources needed to cover Probable Maximum Loss (PML) from catastrophic events for different return periods?
General description of indicator
<p>The determination of the resources needed to cover Probable Maximum Loss (PML) from catastrophic events for different return periods is fundamental information to establish resource needs in the event of a disaster and therefore to establish the optimal combination of various financial instruments that make up a financial protection strategy.</p> <p>This refers to the resource needs to cover losses of assets that are the fiscal responsibility of the state during the response, rehabilitation and reconstruction processes arising from the occurrence of catastrophic events.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate with the authority or head of the treasury, economy or finance sector (or equivalent entity) on the existence of studies to determine the resource needs to cover Probable Maximum Loss (PML) due to catastrophic events during different return periods. 2. Investigate with the guiding entity for disaster risk management in the country on the existence of studies to determine the resource needs to cover Probable Maximum Loss (PML) due to catastrophic events during different return periods. 3. Identify if the country has implemented any studies, through the review of official documents or presentations made by the authority or head of the treasury, economy or finance sector (or equivalent entity), on the financial management of disaster risk.
Description of the minimum required situation for positive conditions
<p>Show evidence that the country has carried out studies to determine the resource needs to cover Probable Maximum Loss (PML) due to catastrophic events during different return periods or that the country has utilized the results of any studies conducted by third parties (e.g. IDB or WB). Therefore, the verifier could be any official document or presentation made by the Ministry of Treasury, Finance or Economy (or equivalent entity) on the issue of financial management of disaster risk that mentions the results of said study.</p>
Examples of positive conditions in countries in the Region
<p>Peru: IDB studies (2009) estimate total losses at the country level due to an earthquake for recurrence periods of 50, 100, 250, 500 and 1000 years. Said figures were used in presentations and documents made by the MEF Department of Risk Management, such as its <i>Financial Strategy Guidelines Proposal</i>, issued to the Vice-Minister of the Treasury in March 2013. Technical Note #IDB-TN-169, Indicators of Disaster Risk and Risk Management, Program for Latin America and the Caribbean, Peru, from the Inter-American Development Bank (PF-2-2a) estimates, in Chapter 3, Disaster Risk Indicators and Risk Management, the total losses at the national level due to earthquakes during recurrence periods of 50, 100, 250, 500 and 1000 years. Said figures were used in presentations given by the MEF Department of Risk Management.</p> <p>Panama: Technical Note # IDB-TN_169 from the IDB on Indicators of Disaster Risk and Risk Management, Program for Latin America and the Caribbean (September 2010) estimates, in Chapter 3, Disaster Risk Indicators and Risk Management, the total losses at the national level due to earthquakes during recurrence periods of 50, 100, 250, 500 and 1000 years. Said information was used by the GdP to create its financial protection guidelines (2012).</p> <p>Colombia: The government of Colombia followed the estimates created by GAR (2011) on determining the resource needs to cover Probable Maximum Loss (PML) due to catastrophic events for different return periods, which are presented in the reports created by the country, such as <i>Government of Mexico and the World Bank (2012). Improving the assessment of disaster risks to strengthen financial resilience. A special joint G20 publication by the Government of Mexico and the World Bank.</i></p>

The government of Colombia followed the estimates created by GAR (2011) on determining the resource needs to cover Probable Maximum Loss (PML) due to catastrophic events for different return periods, which are presented in the reports created by the country, such as Improving the assessment of disaster risks to strengthen financial resilience. A special joint G20 publication in 2012 by the Government of Mexico and the World Bank (PF-2-2a)

Dominican Republic: The Ministry of Economy, Planning and Development, together with the Directorate General of Territorial Organization and Development, used the CAPRA platform in 2012 to create the study "DOMINICAN REPUBLIC Natural Risks and Threats, Map Compendium" (PF-2-2a). Said study allowed for the disaster risk assessment with probabilistic metrics and advanced techniques. This study included the probabilistic evaluation of economic losses for different return periods at 200, 475, 1000 and 2500 years.

Mexico: This was achieved with R-FONDEN or the Federal Risk Loss Estimation System (PF-2-2a), a probabilistic evaluation model for disaster risk developed in 2010 at the request of the FONDEN Technical Committee, that considers the main public assets covered by FONDEN (highway infrastructure, hydraulic infrastructure, schools, hospitals and low-income housing that face the most significant natural threats) and provides models for possible damages to said assets in order to perfect risk financing strategies. R-FONDEN can calculate disaster losses through the probabilistic simulation of historic and possible natural phenomena, as well as annual average loss and loss exceedance probability, and can create models of effects on the infrastructure in question.

Code: FP 2-3

Closed-Ended Question
3. <i>Has the Ministry of Treasury, Finance or Economy determined the anticipated resources needed to annually cover the processes of response, rehabilitation and reconstruction caused by smaller and frequent events?</i>
General description of indicator
This is fundamental information to establish resource needs for addressing recurring events.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate with the authority or head of the treasury, economy or finance sector (or equivalent entity) on the existence of studies to determine resource needs to annual cover the response, rehabilitation and reconstruction processes caused by minor and frequent events. 2. Investigate with the guiding entity for disaster risk management in the country for the existence of studies to determine resource needs to annually cover the response, rehabilitation and reconstruction processes caused by minor and frequent events. 3. Identify if the country has implemented any studies, through the review of official documents or presentations made by the authority or head of the treasury, economy or finance sector (or equivalent entity), on the issue.
Description of the minimum required situation for positive conditions
Show evidence that the country has conducted studies to determine the resource needs to annually cover the response, rehabilitation and reconstruction processes caused by minor and frequent events or that the country has utilized the results of a study conducted by third parties (e.g. IDB or WB). Therefore, the verifier could be any official document or presentation made by the authority or head of the treasury, economy or finance sector (or equivalent entity) on the issue.
Examples of positive conditions in countries in the Region
<p>Colombia: The government of Colombia followed the estimates created by GAR (2011) on determining the resource needs to cover Anticipated Annual Loss, which are presented in the section on the estimation of contingent obligations included the reports created by the country, such as <i>Government of Mexico and the World Bank (2012). Improving the assessment of disaster risks to strengthen financial resilience. A special joint G20 publication by the Government of Mexico and the World Bank.</i></p> <p>Mexico: This was achieved with R-FONDEN or the Federal Risk Loss Estimation System, a probabilistic evaluation model for disaster risk developed in 2010 at the request of the FONDEN Technical Committee, that considers the main public assets covered by FONDEN (highway infrastructure, hydraulic infrastructure, schools, hospitals and low-income housing that face the most significant natural threats) and provides models for possible damages to said assets in order to perfect risk financing strategies. R-FONDEN provide metrics, such as Anticipated Annual Loss and Loss Exceedance Curves. The Department of Treasury and Public Credit stated that R-FONDEN allows for the estimation of loss both for catastrophic and recurring events.</p>

Code: FP 2-4

Closed-Ended Question
<i>4. Has the Ministry of Treasury, Finance or Economy (or other competent entity) approved standards for insuring public constructions in the event of disaster?</i>
General description of indicator
It is considered to be relevant that there be standards regarding the content of insurance policies that should be purchased by public entities to cover their public buildings.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate with the authority or head of the treasury, economy or finance sector (or equivalent entity), especially with the risk area (if any), about the existence of standards for insuring public buildings against disasters. 2. Investigate with the area responsible for state contracting regarding the existence of standards for the insuring of public buildings against disasters.
Description of the minimum required situation for positive conditions
A standardized policy for the insuring of public buildings against disaster risk, which should have been approved by the authority or head of the treasury, economy or finance sector (or equivalent).
Examples of positive conditions in countries in the Region
No examples were found in the region, so the following is a proposed hypothetical situation of compliance with this indicator: The Ministry of Economy or Finance (or equivalent entity) for one of the countries in the region approved a standard policy for insuring public buildings against all risks.

Closed-Ended Question
5. Has the Ministry of Treasury, Finance or Economy (or other competent entity), approved standards for insuring the concessions of at least one basic service or critical infrastructure in the event of disaster?
General description of indicator
It is considered to be relevant that there be standards regarding the content of insurance policies that should be required for entities signing concessions with the State. This is to protect the licensed assets against disasters.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate with the authority or head of the treasury, economy or finance sector (or equivalent entity), especially with the risk area (if any), about the existence of standards for the content of insurance policies that should be required for entities signing concessions with the State. 2. Investigate with the area responsible for the purchasing of state insurance policies regarding the existence of standards for the content of said policies that should be required for entities signing concessions with the State. 3. Investigate with the entity responsible for tendering the largest number of concessions in the country regarding the existence of standards for the content of the insurance policies that should be required for entities that sign concessions with the State.
Description of the minimum required situation for positive conditions
A proposal for the content of insurance policies that are be required for entities that sign concessions with the State, which must have been approved by the authority or head of the treasury, economy or finance sector (or equivalent entity).
Examples of positive conditions in countries in the Region
<p>Mexico: In accordance with current regulations, there is critical infrastructure at the federal level that should be insured. The Department of Treasury and Public Credit supports these processes in accordance with the procedure to develop insurance programs. Each case is analyzed based on the kind of infrastructure to be covered. Therefore, the Department of Treasury and Public Credit issues a document with guidelines for different offices. Should the office not follow these recommendations, the Department should intervene. This is in accordance with the Decree on the Efficient Use of Resources. In the case of the SEP, number 1.1 of the national public tender for the purchasing of insurance for assets and responsibilities of the Department of Public Education states that they consulted with the Department of Treasury and Public Credit regarding the minimum requirements for purchasing asset insurance as issued by the Department of Public Function.</p> <p>Chile: Decree No. 956 of October 6, 1997, last reformed on April 28, 2010 through decree No. 215 of the Ministry of Public Works (MOP), issues the Regulations for MOP Decree with Force of Law No. 164 of 1991, modified by Laws 19.252 of 1993 and 19.460 of 1996, states in article 36 that "<i>the concessions sector should take out insurance policies that cover civil liability for damages to third parties and catastrophic risks that may occur during the concession period.</i>" Coverage is considered for the construction and exploitation phases and is kept current during the entire phase. These policies for MOP are submitted to an oversight process. The specific conditions are set in the tender responses. Additionally, Article 96 of MOP Supreme Decree No. 75 of February 2, 2004, which "Replaces decree no. 15 of 1992 and its Subsequent Amendments and Approves Regulations for Public Works Contracts" states that "<i>the contractor whose contract is accepted shall submit a bank statement or insurance policy for the amount and period of time established in the Article as a guarantee of due completion of the contract. The insurance policy shall be registered in the Registry of Policies of the Superintendency of Bonds and Insurance as an "Insurance Policy to Guarantee Public Works."</i> Notwithstanding the above, the administrative offices shall increase the amount of the guarantee and expand its term, if the Department so decides."</p>

Code: FP 2-6

Closed-Ended Question
<i>6. Has the Ministry of Treasury, Finances or Economy (or other competent entity), approved minimum requisites for the participation of the insuring and reinsuring agents in insurance and reinsurance contracts for at least one asset of the State fiscal responsibility?</i>
General description of indicator
It is considered best practice to establish requirements for the participation of insuring and reinsuring agents in insurance and reinsurance contracts in order to ensure that they are held accountable to the State in the event of a disaster.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate with the authority or head of the treasury, economy or finance sector (or equivalent entity), especially with the risk area (if any), about the existence of requirements for the participation of insuring and reinsuring agents in insurance and reinsurance contracts. 2. Investigate with the area responsible for state contracting regarding the existence of requirements for the participation of insuring and reinsuring agents in insurance and reinsurance contracts.
Description of the minimum required situation for positive conditions
A proposal of requirements for the participation of insuring and reinsuring agents in insurance and reinsurance contracts, which must have been approved by the authority or head of the treasury, economy or finance sector (or equivalent entity).
Examples of positive conditions in countries in the Region
No examples were found in the region, so the following is a proposed hypothetical situation of compliance with this indicator: The Ministry of Economy or Finance (or equivalent entity) has established requirements regarding the minimal risk ratings for insuring and reinsuring agents to be able to participate in insurance and reinsurance contracts for public buildings.

Code: FP 2-7

Closed-Ended Question
7. <i>Has the Ministry of Treasury, Finance or Economy (or other competent entity), developed guidelines for the territorial entities for the financial protection against disaster risk?</i>
General description of indicator
Risk manifests locally. Therefore, it is considered relevant for territories to receive directives for financial protection against disaster risk, in order to progress in the design and implementation of financial management tools against disaster risk.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate with the authority or head of the treasury, economy or finance sector (or equivalent entity), especially with the risk area (if any), about the existence of guidelines for territorial entities for financial protection against disaster risk. 2. Investigate with the authority or head of the treasury, economy or finance sector (or equivalent entity), especially with the area in charge of monitoring municipalities, about the existence of guidelines for territorial entities for financial protection against disaster risk.
Description of the minimum required situation for positive conditions
A document approved by the Ministry of Economy or Finance (or equivalent entity) that establishes territorial guidelines for financial protection against disaster risk.
Examples of positive conditions in countries in the Region
<p>Mexico: The General Civil Protection Act, of June 6, 2012, after establishing the obligation of all levels of government to insure their infrastructure against damages caused by natural disasters (articles 18 and 88), also describes the obligations of the National Civil Protection Coordination Office, together with the Department of Treasury and Public Credit, to advise states in defining and selection the model required for risk transfer (article 19, section VII). This means that this specialized technical support is not the same for all cases, and that each state could receive individualized attention based on its special circumstances and concerns. The Operating Guidelines for the Natural Disaster Fund (LOFONDEN), of January 31, 2011, use Chapter VII, On supports for risk transfer, to describe in detail the actions and responsible parties for completing the strategy ordered by Law: <i>"In order to comply with article 21 of the Regulations, the Technical Committee may request recommendations from the Insurance Unit regarding the Comprehensive Risk Management Strategies that are presented. The Insurance Unit shall present the proposal for the Technical or Economic Supports that it can provide to the Technical Committee, based on the characteristics of the strategies and on the Operational Guidelines. The Technical Committee may authorize the distribution of resources for the hiring of experts on risk administration and transfer to aid in the completion and review of the actions described in..."</i> (number 35).</p>

Closed-Ended Question
8. Is there a fund or equivalent mechanism in place to finance or co-finance risk management activities?
General description of indicator
From the point of view of the financial component, it is desirable for disaster risk management (DRM) to have a fund or equivalent mechanism for the financing or co-financing of disaster management activities. As opposed to indicator PF 1A-1, this indicator looks for funds in place, meaning that are operational and have resources allocated to them.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate the existence of said fund or equivalent mechanism with the authority or head of the treasury, economy or finance sector (or equivalent entity). 2. Investigate the existence of said fund or equivalent mechanism with the guiding entity for DRM in the country. 3. Review the law creating the fund or equivalent mechanism, if any. 4. Investigate the operation of the fund and corresponding allocation of resources with the authority or head of the treasury, economy or finance sector (or equivalent entity) or with the guiding entity for DRM in the country.
Description of the minimum required situation for positive conditions
Legal evidence of the existence of a fund or equivalent mechanism in place for the financing or co-financing of disaster management activities and evidence that the fund is operational and has resources allocated to it.
Examples of positive conditions in countries in the Region
<p>Costa Rica: Law No. 8488, the National Emergency and Risk Prevention Act, of October 27, 2005, establishes the creation of the National Emergency Fund in Article 43 and states: <i>"The Fund and the resources obtained from the investments made using the same shall be used to address and respond to emergency, prevention and mitigation situations..."</i> Additionally, the document 2012 Public Budgets, Situation and Perspectives, from the Comptroller General Office of the Republic, February 2012, states in number VI <i>"Relevant items for the budgets of some public institutions... National Emergency Commission (CNE). It maintains the same initial behavior of the last three periods for 2012 by budgeting fewer resources for preventative risk management without providing the reasons for the same in the budget documents. This is happening despite the fact that the National Emergency Fund will contain ¢32.505 billion in 2012, which means that it could be understood that the majority of the Fund's resources are used for its extraordinary purpose, which is emergency response, which confirms that the Fund is in place."</i></p> <p>Dominican Republic: Law No. 423-06, Organic Public Sector Budget Law, issued December 17, 2006, states in Article 33 that <i>"Proposed Budget Income and Public Expenditures Act shall annually allocate funds to cover unexpected expenses created by public disasters that shall be equivalent to one percent (1%) of Current Revenue as estimated by the Central Government. These resources shall be used through a provision from the President of the Republic, in accordance with the measures adopted by the National Emergency Commission pursuant to Law 147-02 on risk management."</i> Also, Law No. 147-02, On Risk Management, of September 22, 2002, establishes the National Disaster Prevention, Mitigation and Response Fund in Article 20, describing it as a fund <i>"...with administrative, technical and financial autonomy, with the goal of gaining and administering allocations of the national budget, contributions and financial support given to any bond by governments and public and private institutions, both foreign and domestic, in order to take steps to reduce risks or provide aid and rehabilitation to the population in the event of disasters, in a supplementary or complementary fashion through inter-institutional schemes for co-financing and participation."</i></p> <p>Panama: Panama has the Panama Savings Fund (FAP), created through Law 38, of June 5, 2012, which creates the Panama Savings Fund and modifies Law 34 of 2008 on Social Fiscal Responsibility, for the purpose of, per numbers 1, 2 and 3, establishing a saving and macroeconomic stabilization mechanism to</p>

address states of emergency and not resort to debt instruments. Per article 5, number 1, the Law allows withdrawals associated with State of Emergency situations as declared by the Cabinet Council, as long as the cost associated with the event is greater than or equal to 0.5% of GDP (excluding the sum of coverage of the policy and contingent credit lines) and FAP assets are greater than 2% of the nominal GDP of the previous year. Additionally, the FAP is empowered to acquire catastrophic insurance. Executive Decree No. 1068, of September 6, 2012, which regulates Law 38, of June 5, 2012, which creates the Panama Savings Fund and modifies Law 34 of June 5, 2012, on Social Fiscal Responsibility, especially with regard to article 6 on withdrawals in the event of a state of emergency and 7 on the purchasing on catastrophe bonds.

Mexico: The General Civil Protection Act, of June 6, 2012, created the Natural Disaster Fund (FONDEN) in Article 60, which is a financial tool for risk management and which is regulated by the Agreement by which the General Rules for the Natural Disaster Fund are issued (RGFONDEN), of December 3, 2010. Article 1 of these regulations state it has the objective of *"...carrying out actions and authorizing and applying resources to mitigate the effects of a disruptive national phenomenon within the framework of the National Civil Protection Service."*

Code: FP 2-9

Closed-Ended Question
9. Does the fund or equivalent mechanism for financing or co-financing disaster management activities have the capacity to accumulate resources over time?
General description of indicator
It is important for the country to have a fund or equivalent mechanism for financing or co-financing disaster management activities that has the capacity to accumulate resources over time. This fund does not necessarily correspond to the fund created by DRM regulations.
This indicator only applies if the country has a fund or mechanism in place for disaster management, although not necessarily through DRM regulations.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate with the head of the treasury, economy or finance sector (or equivalent entity), especially with the risk area (if any), and the budget area, to see if the fund or equivalent mechanism for disaster management has the capacity to accumulate resources over time. 2. Review the law creating the fund or equivalent mechanism, if any. 3. Consult with the legal department of the entity in charge of administering it to see if it has the capacity to accumulate resources over time.
Description of the minimum required situation for positive conditions
The fund or equivalent mechanism for financing or co-financing disaster management activities has the capacity to accumulate resources over time.
Examples of positive conditions in countries in the Region
<p>Peru: The Fiscal Stabilization Fund (FEF) within the Ministry of Economy and Finance (MEF), was created via Law No. 27245 on Fiscal Transparency and Responsibility, which approved its Sole Ordinary Text, Fund with the capacity to accumulate resources over time, through Supreme Decree No. 066-2009-EF, of March 24, 2009, pursuant to article 2 of the Sole Ordinary text: <i>"The State should ensure a fiscal balance or surplus in the medium term, accumulating fiscal surpluses in favorable periods and only allow moderate, non-recurring fiscal deficits in periods of lower growth."</i></p> <p>Costa Rica: Law No. 8488, the National Emergency and Risk Prevention Act, of October 27, 2005, establishes the creation of the National Emergency Fund in Article 43 and states: <i>"... This Fund shall be administered by the Commission, which is authorized to invest in bonds from public sector institutions and companies. For this purpose, the National Emergency Fund shall be excluded from the application of the provisions corresponding to the Sole Fund of the State, as contained in the Financial Administration and Public Budgets Act. The Fund and the resources obtained from the investments made using the same shall be used to address and respond to emergency, prevention and mitigation situations..."</i></p> <p>Mexico: With regard to FONDEN, the General Rules for the Natural Disaster Fund (RGFONDEN), of December 3, 2010, article 3, state that the Natural Disaster Fund is made up of three tools, which include... <i>"III. The Natural Disaster Fund Trust."</i> It then states that the fund is a trust because it has the ability to accumulate or be accumulated. Trusts in Mexico are regulated by the General Bond and Credit Operations Act, of August 27, 1932 (last reform on April 9, 2012), of which article 386 is of note and reads <i>"Assets given to the trust shall be considered applicable to the end to which they are applied and, therefore, only those duties and actions related to that end may be applied, except for those expressly reserved by the trustor, those derived from the trust itself or those legally acquired on those assets before the creation of the trust, by the trustee or third parties. The financial institution should record said assets and duties in an accounting fashion and keep them separate from their freely-available assets..."</i> Thus the net worth of the trust (i.e. FONDEN) can only be used for the purposes described in the corresponding contract, and in its General Guidelines and Rules, such that resources are accumulated when not used.</p>

Code: FP 2-10**Closed-Ended Question**

10. Is the fund or equivalent mechanism for financing or co-financing disaster management activities, based on the golden rule of accumulation and expenditure based on the Anticipated Annual Loss and the recorded information on the losses from disasters in previous years?

General description of indicator

From the point of view of the financial component, it is desirable for disaster risk management that the fund or equivalent mechanism be designed and financed in accordance with the needs of the country. Therefore, this fund should have a defined optimal accumulation and expense rule based on Anticipated Annual Loss and information recorded on losses due to disasters in previous years. This indicator only applies if the country has a national fund or equivalent mechanism in place for the financing or co-financing of disaster management activities.

Steps to follow to obtain the required information

1. Investigate with the head of the treasury, economy or finance sector (or equivalent entity), especially with the risk area (if any), and the budget area, to see if the fund or equivalent mechanism has a defined optimal accumulation and expense rule based on Anticipated Annual Loss and information recorded on losses due to disasters in previous years.
2. Review the law creating the fund or equivalent mechanism.
3. Investigate with the legal area of the entity in charge of administrating it to see if an optimal accumulation and expense rule based on Anticipated Annual Loss and information recorded on losses due to disasters in previous years has been set.

Description of the minimum required situation for positive conditions

The fund or equivalent mechanism in place for the financing or co-financing of disaster management activities should be scaled and funded pursuant to the needs of the country, for which reason an optimal accumulation and expense rule is set based on Anticipated Annual Loss and information recorded on losses due to disasters in previous years.

Examples of positive conditions in countries in the Region

No examples of compliance were found in the Region, so the following is a proposed hypothetical situation of compliance with this indicator: A country in the region has a reserves fund in place to manage disasters, which receives a fixed amount of annual resources from the national government budget. The fixed amount of allocated resources was established based on studies of AAL (Anticipated Annual Loss) and historic information recorded on losses due to disasters in previous years.

Closed-Ended Question
11. Has the country underwritten at least one contingent credit explicitly tied to the financing of emergent expenses in disaster situations?
General description of indicator
Contingent credits explicitly tied to the financing of emergent expenses from disaster situations provide " <i>the country with liquid resources to cover pressing needs for financing that arise immediately after the sudden, unexpected occurrence of a natural disaster of unusual proportions.</i> " The foregoing assumes various prior steps, such as the determination of liquidity needs to address possible expenses arising from a disaster.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Consult the public credit area of the authority or head of the treasury, economy or finance sector (or equivalent entity) regarding contingent credits explicitly tied to the financing of emergent expenses from disaster situations. 2. Consult the website of the authority or head of the treasury, economy or finance sector regarding contingent credits explicitly tied to the financing of emergent expenses from disaster situations. 3. Consult the IDB and WB websites for the country regarding approved operations.
Description of the minimum required situation for positive conditions
At least one underwritten line of credit, which should be explicitly tied to the financing of emergent expenses from disaster situations.
Examples of positive conditions in countries in the Region
<p>Dominican Republic, Peru, Colombia, Panama, Honduras, Nicaragua, Costa Rica, El Salvador and Guatemala have signed contingent lines of credit against the occurrence of disasters.</p> <p>Dominican Republic: A Contingent Loan for Natural Disaster Emergencies was signed between the Dominican Republic and the Inter-American Development Bank on February 18, 2010 through Loan Contract No. DR-X1003 (PF-2-12a), for the amount of US\$ 100 million. In said Contract, its goal was described in item 1 of the Introduction of the Special Stipulations as "<i>...cooperating in the execution of a program to improve the efficiency of the financial management of risks of natural disasters in the Dominican Republic...</i>" and Chapter VI, Various Provisions, Clause 6.01, Contract Validity states that it shall begin once it acquires full legal validity and shall end once the sum total of the loan plus interest and fees has been paid.</p> <p>Peru: Supreme Decree No. 254-2010-EF, which approves financing with the International Bank for Reconstruction and Development (IBRD), of December 15, 2010, in the amount of US\$ 100 million within the <i>Catastrophe Deferred Drawdown Option - CAT DDO</i> scheme, entitled "<i>Disaster Risk Management Development Policy Loan.</i>"</p> <p>Costa Rica: The government of Costa Rica signed a loan in 2009 with the World Bank (WB) under the Catastrophe Deferred Drawdown Option in the amount of US\$ 65 million. Said loan was renewed in 2011 for a period of three years. Also, in 2012 it signed Loan CR-X1010 with the Inter-American Development Bank (IDB), the Contingent Loan for Natural Disaster Emergencies, for US\$ 100 million.</p>

Closed-Ended Question
<p><i>12. Does at least one municipality of the country's capital city have a current instrument of disaster risk transference for a portfolio of assets of State fiscal responsibility?</i></p>
General description of indicator
<p>Since the lion's share of the exposure to manage is usually concentrated in the country's capital city, it is relevant that at least one municipality of the capital city have a current disaster risk transfer tool for a portfolio of assets that are the fiscal responsibility of the State. For example, a tool could be collective insurance for a portfolio of assets of State fiscal responsibility.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Consult with the authority or head of the treasury, economy or finance sector (or equivalent entity) for the capital city, and with the budget or risk area (if any), regarding the existence of current disaster risk transfer tools for a portfolio of assets of State fiscal responsibility. 2. Consult with the guiding area for DRM in the capital city regarding the existence of current disaster risk transfer tools for a portfolio of assets of State fiscal responsibility. 3. Consult with the public credit area of the authority or head of the treasury, economy or finance sector (or equivalent) of the capital city regarding the existence of current disaster risk transfer tools for a portfolio of assets of State fiscal responsibility through capital market tools.
Description of the minimum required situation for positive conditions
<p>At least one municipality in the country's capital city has a current disaster risk transfer tool for a portfolio of assets of State fiscal responsibility.</p>
Examples of positive conditions in countries in the Region
<p>No positive examples were found in the region, so the following is a proposed hypothetical situation of compliance with this indicator: A municipality of the capital city of a country in the region has a current collective insurance scheme for all its school buildings.</p>

Code: FP 2-13

Closed-Ended Question
<i>13. Has at least one risk transference mechanism to collectively cover the portfolio of fiscal assets of at least a sector been implemented?</i>
General description of indicator
It is considered best practice to collectively transfer the risk for a portfolio in order to take advantage of the benefits of managing a diversified portfolio with a significant insurable sum, which could be attractive for the insurance sector.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Consult with the authority or head of the treasury, economy or finance sector (or equivalent entity), especially with the risk area (if any) or budget area, regarding the existence of a risk transference mechanism to collectively cover the portfolio of fiscal assets of at least one sector. 2. Consult the authorities or heads of the health and education sectors to see if they have implemented risk transference mechanisms to collectively cover their portfolios of fiscal assets.
Description of the minimum required situation for positive conditions
At least one example of a collective transference of the portfolio of ministerial buildings (offices) for at least one sector at the national level.
Examples of positive conditions in countries in the Region
<p>Costa Rica: The Costa Rican Social Security Fund (which is the leading entity for public health services in Costa Rica) covers all its buildings that provide health services with a collective policy. This can be seen in a management report from a former employee of the Fund (PF-2-13a), which states that the all-risk policy was renewed in 2012 and "includes all Institution buildings, equipment, furniture, machinery and goods."</p> <p>Mexico: There are global policies for the Department of Public Education.</p>

Closed-Ended Question
14. Does the Ministry or Secretariat of National Development Planning; or the Ministry of Treasury, Finance or Economy; or the Entity in charge of Disaster Risk Management; or the Agriculture sector; have at least one financial instrument designed ex-ante to stimulate economic reactivation in areas affected by disasters?
General description of indicator
It is considered best practice to have ex ante tools in place to stimulate economic reactivation in areas affected by disasters.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate with the authority or head of the treasury, economy or finance sector (or equivalent entity), especially with the budget area, regarding the existence of financial tools designed in an ex ante fashion to stimulate economic reactivation in areas affected by disasters. 2. Consult with the authority or head of the agriculture sector regarding the existence of financial tools designed in an <i>ex ante</i> fashion to stimulate economic reactivation in areas affected by disasters. 3. Review the type of financial tools that the country has used to address the occurrence of past disasters. 4. Investigate for evidence of the use of said tools.
Description of the minimum required situation for positive conditions
At least one example of financial tools implemented in an <i>ex ante</i> fashion to stimulate economic reactivation in areas affected by disasters.
Examples of positive conditions in countries in the Region
<p>Peru: Decree Law No. 25977 on Fishing of December 7, 1992, article 57, gives legal strength to Supreme Decree No. 010-92-PE, which creates the National Fishing Development Fund (FONDEPES). The Fishing Development Fund (FONDEPES) can provide loans to owners for boat repair and can provide fishing supplies.</p> <p>Panama: Panama has a Special Fund for Contingency Loans, created through Law No. 24 of June 4, 2011, which adopts measures to support agricultural providers affected by adverse climate conditions and other approved events in order to, per article 2, provide financial assistance to producers affected by blights, adverse climate conditions, sudden drops in product prices on the market and to support the reconversion of affected items.</p> <p>Mexico: The General Civil Protection Act, of June 6, 2012, has an entire chapter in this regard: XVIII On Responding to Rural Populations Affected by Climate Events. This chapter describes responsibilities and tools in the following articles: "Article 91. It is the responsibility of the Federal Government and the states to address the negative effects caused by extreme climate phenomena in the rural sector, meaning that there should be mechanisms for a timely and rapid response through direct support and the purchase of catastrophe insurance for low-income agricultural, livestock, aquatic and fishing producers affected by extreme climate events...;" "Article 93. The Federal and State governments should agree both with regard to actions and the provision of resources for the creation of programs that contribute to the reincorporation of low-income producers in their productive activities," and "Article 94. The Federal Government should create a special reserve for the rural sector in order to provide resources in an expedited fashion to the Climate Event Response Program when the resources allocated in the Federation Expenditures Budget have run out." Evidence of the use of these tools was found in the course of Ingrid and Manuel in 2013. Also, the SAGARPA website (http://pacc.sagarpa.gob.mx/info/padrones/pub/padrones_2011.asp) shows proof of the existence of beneficiaries of the Climate Disaster Response Fund.</p> <p>Guatemala: The 2013 Annual Operating Plan of the Ministry of Agriculture, Livestock and Food (PF-2-14a), published in July 2012 by the Department of Planning, refers to "Farmers supported in loan management and payment of agriculture insurance premiums as a tool for climate risk management in production," through Guate Invierte (Rural Development Trust). Subsidies for the purchase of agricultural insurance are considered an ex ante tool, given that they allow farmers to receive resources that allow for</p>

economic reactivation in areas affected by disasters.

Chile: Resolution No. 1049 from the Agricultural Development Institute (INDAP) of September 10, 2010, regarding the operating procedures for granting emergency incentives, states that the special line of funding for small and rural agricultural producers includes: (i) emergency bonds to purchase supplies; (ii) lines of investment, technical assistance and credit incentives for the reconstruction of productive projects; (iii) lines of rehabilitation or compensation incentives to mitigate the cost of emergency investments.

Closed-Ended Question
15. Does the Ministry of Agriculture have a structure for the financial protection of the agriculture sector (or equivalent) against disaster risk?
General description of indicator
The occurrence of disasters, especially those caused by hydrometeorological events, usually has a very strong impact on the agricultural sector. Therefore, it is relevant for this sector to have a financial protection structure against disaster risk, as this is one of the components of a comprehensive risk management strategy for the sector. The tools for a financial management strategy for disaster risk include: (i) catastrophe bonds and insurance, (ii) precautionary savings and (iii) contingent loans. It should be noted that the insurance can include both indemnification and parametric tools. It should also be noted that the acquisition of said policies is subsidized by the government in some countries.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Consult the authority or head of the agriculture sector (or equivalent entity) regarding the financial protection tools it has in place. 2. Investigate with the agricultural union regarding the financial tools that it has access to in order to gain coverage against the occurrence of disasters.
Description of the minimum required situation for positive conditions
A financial protection structure for the agriculture sector (or equivalent) against disaster risk that includes at least two financial protection strategy tools for the agricultural sector.
Examples of positive conditions in countries in the Region
<p>Mexico: The financial protection structure for the agriculture sector is found in the National Rural Insurance System (SNAMR) and the federal programs that are assigned to AGROASEMEX.</p> <ol style="list-style-type: none"> 1. The National Rural Insurance System (SNAMR), which has two insurance schemes: <ul style="list-style-type: none"> - Commercial insurance, operated by insurance funds and private insurers (supported by the budget of the Agricultural Insurance Premium Subsidy Program); - Catastrophe insurance, operated by AGROASEMEX and private insurers (with the participation of budgets from the Climate Disaster Insurance Program administered by AGROASEMEX; the Risk Management and Prevention Fund, Natural Disaster Response Component (CADENA) for the Agricultural and Fishing Sector that is operated by SAGARPA; and resources from state governments). 2. AGROASEMEX has the following programs assigned to it for administration and operation: (i) Agricultural Insurance Premium Subsidy Program, which looks to expand agricultural insurance coverage and (ii) the Contingency and Self-Insurance Fund. The purpose of this program is to strengthen the financial capacity of the Federal Government through the payment of the premium for the purchase of parametric catastrophe insurance in order to protect financial deviations arising from the occurrence of climate disasters that affect agricultural activity, thus allowing for increase physical coverage by CADENA. The experience in Mexico with regard to agricultural insurance can be seen in a SAGARPA presentation from 2013 (PF-2-15b). <p>Peru: Law No. 29951 on the Public Sector Budget for the 2013 fiscal year, in the Distribution of budget expenditures for the Public Sector for National Government items at the product, project and activity level, Appendix 5, Item 13 of the Ministry of Agriculture, evidence is found of resources for the "Guarantee fund for rural areas and agricultural insurance" (page 274). This line item supports AGRO PROTEGE, which has the goal of financing up to 100% of the cost of the policy aimed at the poorest rural farmers. AGRO PROTEGE was born with the support of the Agricultural Insurance Guarantee Fund, approved through Law No. 28939, which approves supplementary credit and transfer of items in the public sector budget for the 2006 fiscal year, allows for the creations of funds and issues other measures, dated December 21, 2006, the purpose of which is to guarantee the loans issued by financial institutions to small and medium organized rural producers whose activity is focused on dynamic national and/or international markets. It also has the purpose of financing mechanisms for agricultural insurance as offered through the Insurance System, in order to reduce the exposure of agricultural producers, such as rural and native communities and small and medium</p>

farmers, to climate risks and blights, which negatively affect their production and profitability.

Panama: The Agricultural Insurance Institute is an autonomous entity within Panama that was created via Law No. 34 of April 29, 1996, which created Agricultural Insurance and the Agricultural Insurance Institute (PF 2-15a): "...against uncontrolled chance losses that can occur with investments, with a guarantee of compensation for the same, in order to offer basic protection to people, natural or legal, dedicated to agricultural activity" (article 1).

Code: FP 3-1

Closed-Ended Question
<i>1. Has the national controlling entity carried out at least one evaluation of compliance with current regulations on financial protection mechanisms in the last 5 years?</i>
General description of indicator
This has to do with the verification of the financial protection processes in place in the country by the national controlling entity.
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Investigate if there are regulations that require the implementation of financial protection strategies. 2. Review the reports published online by the national controlling entity. 3. Investigate with the national controlling entity and with the authority or head of the treasury, economy or finance sector.
Description of the minimum required situation for positive conditions
<p>Verification or evaluation document on compliance with existing regulations on financial protection mechanisms. For example, said document could include verification of whether the assets under the fiscal responsibility of the state are insured or covered in another way (in the event this issue is mandatory per the Law).</p> <p>Reports from controlling entities suggesting improvements in how resources are used to address the emergency phase are not evidence of evaluations of compliance with the regulations on financial protection.</p>
Examples of positive conditions in countries in the Region
No examples of compliance were found in the region, so the following is a proposed hypothetical situation of compliance with this indicator: In a country in the region, where there are regulations requiring the implementation of financial protection strategies, the controlling entity conducts an evaluation of compliance with the same based on the risk transfer and retention tools implemented to cover the main risks identified.

Code: FP 3-2**Closed-Ended Question**

2. Has the governing body of the insurance sector carried out at least one verification or assessment of the use of the probabilistic evaluation model of the risk for the estimation of catastrophic risk reserves of the insurance companies in the last 3 years?

General description of indicator

This has to do with the verification or evaluation of the use of a probabilistic evaluation model of the risk to estimate the catastrophic risk reserves of insurance companies during the last 3 years. The above is crucial for ensuring adequate provision of reserves and the consequent capacity of the insurance sector to respond to losses in the event of a disaster.

Steps to follow to obtain the required information

1. Review the reports published online by the guiding body for the insurance sector regarding to see whether at least one verification or evaluation of the use of a probabilistic evaluation model of the risk to estimate the catastrophic risk reserves of insurance companies has been conducted during the last 3 years.
2. Investigate with the guiding body for the insurance sector regarding whether at least one verification or evaluation of the use of a probabilistic evaluation model of the risk to estimate the catastrophic risk reserves of insurance companies has been conducted during the last 3 years.

Description of the minimum required situation for positive conditions

Verification or evaluation document on the use of a probabilistic evaluation model of the risk to estimate the catastrophic risk reserves of insurance companies during the last 3 years.

Examples of positive conditions in countries in the Region

Mexico: The National Insurance and Bonds Commission published Amendment Memo 54/12 on October 5, 2012 to the Sole Insurance Memo (Various amendments to Chapter 7.2; amendments to Appendices 7.2.1. and 7.2.7; Appendix 7.2.2 is added; and Appendices 7.2.5. and 7.2.8. are removed) in order to report the update of the study that contains the technical foundations used to determine the risk premium and probable maximum loss for earthquake insurance, as well as provide the computation system with which Mutual Insurance Institutions and Companies can carry out the processing of information to calculate said risk premium and probable maximum loss. This was done due to the need to carry out a review and update to incorporate technological advances and updated knowledge regarding earthquake phenomena. For this purpose, the National Insurance and Bonds Commission carried out updates to the technical study to calculate the risk premium and probable maximum loss for earthquake insurance (which is mentioned in the preamble of Amendment Memo 54/12 to the Sole Insurance Memo).

Code: FP 3-3**Closed-Ended Question**

3. Has the Ministry of Treasury, Finance or Economy carried out at least one evaluation of the application of the financial Protection processes in the country in the last 3 years?

General description of indicator

This has to do with the internal review of the financial protection processes established in the country by the sector responsible for the issue.

Steps to follow to obtain the required information

1. Review the reports published on the website by the authority or head of the treasury, economy or finance sector (or equivalent entity) related to the evaluations of the application of the financial protection processes in the country from the last 3 years.
2. Consult with the authority or head of the treasury, economy or finance sector (or equivalent entity), specifically with the area responsible for the design and implementation of a financial management strategy for disaster risk, regarding evaluations in this regard during the last 3 years.

Description of the minimum required situation for positive conditions

A report created in the last 3 years by the authority or head of the treasury, economy or finance sector (or equivalent entity). Said report should be approved or published online and should include an evaluation of the application of financial protection processes in the country.

Examples of positive conditions in countries in the Region

Mexico: In an interview held with the Insurance Unit of the Department of Treasury, they stated that in order to bring new financial tools to the market, there has to be an evaluation of the entire system. The book on FONDEN, published in 2012, describes the development of the assets to be covered and the tools selected in this regard.