

Index of Governance and Public Policy in Disaster Risk Management (iGOPP): Application protocol: 2020 update

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ACRONYMS

CC	Climate Change
CCA	Climate Change Adaptation
DP	Disaster Preparedness (Index component)
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
iGOPP	Index of Governance and Public Policy in DRM
IPCC	Intergovernmental Panel on Climate Change
LEC	Loss Exceedance Curve
MPL	Maximum Potential Loss
PBL	Policy-Based Loan
RC	Recovery Planning (Index component)
RI	Risk Identification and Knowledge (Index component)
RR	Disaster Risk Reduction (Index component)

Presentation

This protocol constitutes an essential reference document for people interested in applying the Index of Governance and Public Policy in Disaster Risk Management (iGOPP) in a given country.

Through 245 files that correspond to each of the indicators that make up the iGOPP, this protocol describes in detail the necessary steps to carry out the investigation, analysis and verification of the aforementioned indicators, including the explanation of the documentation that must be collected, the assessment process to be followed, in addition to offering a series of recommendations and examples based on previous applications experiences carried out in different countries.

In the same way, the protocol guides the people involved in the application of the index to observe form and wording issues when filling in the iGOPP application matrix in order to maintain a uniform, accessible and easy-to-address style.

Objective of the application protocol:

Present the iGOPP application guidelines to guide evaluators in the steps of research, analysis and verification of the indicators that make up the index, as well as in filling in its application matrix.

Introduce the objective elements that must be verified in each country so that each indicator of the iGOPP is met.

PART ONE

1.1 INTRODUCTION

The protocol for the Index of Governance and Public Policy in Disaster Risk Management (iGOPP) presented here, was originally prepared in 2013 and revised in 2015, it has undergone a review and update of form and substance during the year 2019. This work has been carried out by a group of consultants coordinated by the IDB and advised by the group of experts that originally developed it.

This exercise has been nourished by the new concepts developed around Disaster Risk Management over the years, as well as the accumulated experience between 2013 and 2019 by IDB staff and consultants participating in the application of the iGOPP in 26 countries in Latin America and the Caribbean: Argentina, Bahamas, Barbados, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Ecuador, El Salvador, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru, Suriname, Dominican Republic, Trinidad and Tobago, Uruguay and Venezuela. Also, the lessons learned from the retroactive applications of the index in Argentina, Brazil, Colombia, Ecuador, Mexico and Peru have been incorporated.

These experiences and learnings, in addition to confirming the suitability of the conceptual framework used in the construction of the iGOPP, have identified improvement areas in the protocol application, in order to increase its effectiveness and improve the understanding in the process of preparation and application of the index.

Considering the above, the IDB has arranged for the immediate future of the iGOPP that the follow-up of its stages of inquiry, field research, information gathering, analysis, as well as those of justification and verification of the different indicators contained in the iGOPP, be supported - in accordance with the requirements contemplated in this Protocol - in the virtual Platform *Risk Monitor* <https://riskmonitor.iadb.org/>, in order to share online information with the interested parties and duly authorized by the IDB.

This new version of the iGOPP Application Protocol is presented in two parts:

In **Part One**, taking into account that the iGOPP Application Protocol (hereinafter "Protocol") is an essential reference document for those involved in the application and review of the index, the necessary steps to carry out the investigation, analysis and verification of the indicators are formulated in detail, including an explanation of the documentation that must be collected, the assessment process that must be followed, and a series of recommendations and examples based on previous applications experiences in different countries. Likewise, this part one guides the people involved in the application of the index to look at form and wording issues in order to maintain a uniform, accessible and easy-to-address style.

In **Part Two** of the Protocol, the 245 files that correspond to each of the indicators that make up the iGOPP are presented, following the order of its components, that is: General Framework of Governance for Disaster Risk Management (GF), Risk identification and Knowledge (RI), Disaster Risk Reduction (RR), Disaster Preparedness (DP), Recovery Planning (RC) and Financial Protection (FP)

1.2 SCOPE AND THEORETICAL FRAMEWORK OF THE iGOPP¹

The Index of Governance and Public Policy in Disaster Risk Management (iGOPP) has been designed to evaluate the existence and validity of a series of legal, institutional and budgetary conditions that are considered essential for the for the implementation of disaster risk management processes in a given country.

The iGOPP does not replace or substitute other related indicators, on the contrary, it complements the different existing methodologies for the holistic assessment of risk and disaster risk management.

The practical utility of the iGOPP is to identify gaps in the legal, institutional and budgetary framework that may exist in a given country and to help focus the efforts of the IDB and the country itself on relevant aspects of governance reform aimed at improving the quality of disaster risk management public policy in Latin American and Caribbean countries. It is a tool for diagnosing the level of governance of a country in disaster risk management, as well as for monitoring and evaluating public policy reforms in this area. It is also a tool that can help the signatory countries of the Sendai Framework for Disaster Risk Reduction in reporting their progress regarding the 2nd Priority for Action "Strengthening the governance of disaster risk for better management". Mexico has been a pioneer in the adoption of the iGOPP and currently publicly reports the progress of the federation and its states in terms of governance in disaster risk management through this index: <http://www.atlasnacionalderiesgos.gob.mx/apps/IGOPP/>.

The iGOPP is a composite or synthetic indicator that makes it possible to verify whether the appropriate governance conditions exist in a given country in order to implement a public policy for comprehensive disaster risk management. In this sense, it makes it possible to compare the conditions and elements present in the set of national public policies with those that are considered ideal for the concept of disaster risk management used in the index.

The iGOPP design is based on two conceptual pillars:

- The conceptual framework of Disaster Risk Management and its main processes.
- The conceptual framework of Governance and the public policy stages.

Disaster risk management (DRM) refers to all processes for designing, implementing and evaluating strategies, policies and measures to improve the understanding of disaster risks, to promote the reduction and retention and transfer of disaster risks, and to promote continuous improvement in disaster preparedness, response and recovery and climate change adaptation practices, with the explicit aim of enhancing human security, well-being, quality of life, resilience and sustainable development.

It includes prospective, corrective and reactive risk management. DRM is an indispensable development policy for ensuring territorial sustainability and security and collective rights and interests, and is therefore intrinsically associated with safe development planning and sustainable territorial environmental management at all levels of government.

¹ Extract obtained from the Application of the Index of Governance and Public Policy in Disaster Risk Management (iGOPP) in Argentina, Chile, Colombia, Costa Rica, Dominican Republic, Guatemala, Haiti, Jamaica, Mexico, Panama and Peru, iGOPP Regional Report, Inter-American Development Bank, April 2015

In the conceptual framework of the iGOPP, DRM is addressed as the set of processes aimed at adopting and implementing policies, strategies and practices to reduce risks and their potential effects, and is analyzed based on 6 components that are necessary for its effective implementation. The selection of these components is based on the experience of the policy reform processes developed by the IDB:

1. General Framework of Governance for DRM (GF): It refers to the existence of an adequate normative base for the definition of attributions and responsibilities, the organization and coordination, implementation and control of DRM in each country. This base includes both the specific regulations on DRM and the territorial and sectoral enabling regulations that guarantee its viability. It also includes the availability of resources for the implementation of DRM processes, and the establishment of adequate mechanisms for information and citizen participation, and for monitoring, evaluation and follow-up of these processes.
2. Risk Identification and Knowledge (RI): It is the process of DRM focused on the knowledge about 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. The conceptual framework of the iGOPP refers to the existence of a normative, institutional and budgetary framework that allows the continuous development of risk analysis, a tool that allows the identification and evaluation of probable damages and losses caused by natural events.
3. Disaster Risk Reduction (RR): DRM process focused on minimizing vulnerabilities and risks in a society, to avoid (prevention) or limit (mitigation) the adverse impact of threats, within the broad context of sustainable development. This process comprises prospective and corrective disaster risk interventions, and for its proper implementation requires a good information base on risk conditions. In the conceptual framework of the iGOPP, it refers to the existence of a regulation, institutional and budgetary framework that allows the timely and adequate intervention of the causes that generate the current conditions of vulnerability.
4. Disaster Preparedness (DP): It is the DRM process whose objective is to plan, organize and test the response procedures and protocols of society in the event of a disaster, ensuring adequate and timely attention to affected people, allowing the normalization of essential activities in the area affected by the disaster. Preparedness is carried out by monitoring events and defining disaster impact scenarios, planning, organizing, training, resourcing and simulating the warning, evacuation, search, rescue, relief, and humanitarian assistance to be done in an emergency. In the conceptual framework of the iGOPP, it refers to the existence of a regulation, institutional and budgetary framework that allows the implementation of mechanisms for a quick and adequate response to the occurrence or imminence of an emergency situation.
5. Disaster Recovery Planning (RC): An ex-ante process that focuses on preparation for the rapid and adequate reestablishment of acceptable and sustainable living conditions through the rehabilitation, repair or reconstruction of destroyed, interrupted or deteriorated infrastructure, goods and services in the affected area, and the reactivation or promotion of the community's economic and social development under conditions of lesser risk than those

that existed before the disaster. The iGOPP conceptual framework refers to the existence of a regulatory, institutional and budgetary framework that allows the implementation of mechanisms for the restoration of livelihoods, basic services and infrastructure in a way that reduces improvisation, inefficiency and ineffectiveness in post-disaster recovery processes.

6. Financial Protection (FP): It is the DRM process that seeks the optimal combination of financial instruments for risk retention and transfer in order to access timely economic resources ex post, which improves the response capacity to the occurrence of disasters (minor and recurrent events and major disasters of low recurrence) and protects the fiscal balance of the State². In the iGOPP conceptual framework, it refers to the existence of a regulatory, institutional and budgetary framework that allows the design and implementation of an optimal combination of financial instruments for the retention and transfer of disaster risk.

On the other hand, Governance refers to the ability to govern a public problem. This capacity is manifested in the continuous and stable management by all the governments and administrations, but also by the sectorial and private actors of a country. As the capacity to govern the problem increases, a greater effectiveness should be observed in the decisions adopted and the policies implemented with the result of avoiding a greater number of negative consequences in the event of disasters.

In the iGOPP conceptual framework, Governance is approached from the perspective of the stages of the public policy process, which include the following:

- A. Inclusion in the government's agenda and policy formulation. Inclusion on the agenda largely responds to the degree of maturity of the public problem and the level of political and social pressure that the institutions receive. For political leadership and social and economic pressure to result in substantive action, it may be necessary for the political level to make significant progress in defining the responsibilities of the various actors involved in the analysis process. The iGOPP analyzes inclusion in the agenda by verifying the existence of appropriate legal frameworks for DRM, and by explicitly integrating the issue into cross- sectoral, sectoral, and territorial rules. The iGOPP analyzes this inclusion in the agenda and formulation of public policy at three levels: (i) Central coordination and articulation of the policy; (ii) Definition of sectoral responsibilities; and (iii) Definition of territorial responsibilities.
- B. Policy implementation. The iGOPP analyzes the evidence of implementation by verifying the actions taken and/or the availability of resources allocated to the actors responsible for implementing the DRM policy, in its different components and levels of government.
- C. Evaluation of the policy. The iGOPP analyzes the evaluation and control of public policy from the perspective of the existence of control and accountability mechanisms, on the one hand, and of information and citizen participation, on the other hand.

² Ghesquiere and Mahul, (2010). Financial Protection of the State against Natural Disasters, A Primer, The World Bank, Latin American and the Caribbean Region, Finance and Private Sector Development, Sustainable Development Network, September 2010

Both dimensions (DRG and Governance / Public Policy) are shown in the iGOPP matrix structure (see Table 1), defined by 5 columns that analyze the stages of public policy, and 6 rows that analyze the components of the reform processes of the public policy in DRG. This matrix structure is expressed in 30 cells, which make up a variable number of binary indicators.

Table 1. IGOPP Conceptual Matrix

Public Policy Stages Public policy reform components in DRM	1. Inclusion in the government's agenda and policy formulation			2. Policy implementation	3. Policy evaluation
	Coordination and central articulation of policy	Definition of sectoral responsibilities	Definition of territorial responsibilities	Evidence of progress in implementation	Control, accountability and participation
General Framework of Governance for DRM (GF)	GF-1A	GF-1B	GF-1C	GF-2	GF-3
Risk Identification (RI)	RI -1A	RI -1B	RI -1C	RI-2	RI-3
Risk Reduction (RR)	RR -1A	RR -1B	RR -1C	RR-2	RR-3
Disaster Preparedness (DP)	DP -1A	DP 1B	DP -1C	DP-2	DP-3
Recovery Planning (RC)	RC -1A	RC -1B	RC -1C	RC-2	RC-3
Financial Protection (FP)	FP -1A	FP -1B	FP -1C	FP-2	FP-3

The iGOPP score ranges from 0% to 100%, and the higher the score the better the country's level of governance for implementing public policy in DRM, and the following classification system is established:

%	Governance level in DRM
91 al 100%	Outstanding
71 al 90%	Remarkable
41 al 70 %	Significant
21 al 40%	Incipient
0 al 20%	Low

1.3 GUIDELINES FOR IMPLEMENTATION

In order for the iGOPP to adequately represent a country's level of governance conditions in DRM, it must be ensured that its application offers a result that is in line with reality and the time at which it is applied. To this end, the assessments must be the result of an objective analysis that follows the rules and recommendations provided in this Protocol.

The application of the iGOPP should result in the products described below:

- 1) **iGOPP application matrices**, where the assessment made for each of its 245 indicators is consolidated.
- 2) **Repository of verifiable items**, that is, the collection of document files (mainly in PDF version) that support the positive evaluation of each indicator.
- 3) **iGOPP application results report**, following a predefined structure and content, which presents the results of the valuation made of all iGOPP indicators, accompanied by recommendations for public policy reform based on that diagnosis.

1.3.1. Understanding the country and its context

The following are some general considerations when carrying out the iGOPP application, which will be useful, in particular, for those people who do not have full knowledge of the country's governmental and administrative structure, as well as the disaster risk management regulatory framework in force in the country.

For the topics detailed below, a series of actions are recommended to be carried out by the people involved in the application of iGOPP in a given country, before starting with the verification of the different indicators.

Knowing the general framework for disaster risk management in the country

- Review and analyze the country's main policy documents on disaster risk management, such as:
 - i. Constitution. Not all countries' constitutions mention DRM issues, but when they do, they give DRM important legal certainty as a public policy and outline the responsibility of the state.
 - ii. Law, regulations and other rules on disaster risk management, civil protection or similar.

- iii. National plan for disaster risk management.
- iv. National emergency, contingency or similar plan.
- v. National policy and / or strategy for disaster risk management.
- Review recent documents and reports produced by the government or international organizations on the state of disaster management in the country.

Knowing the general governance framework

- Understand the political-administrative organization model generally provided in the country's Constitution.
- Identify whether there are references to disaster risk management in the country's Constitution or National Development Plan.
- Identify the different levels of government in the country. This ranges from the national government to lower levels of government, in order to understand the different responsibilities and how they are shared or delegated.
- Identify the different Territorial Management Units, and know the status of the decentralization processes if any, as well as the different degrees of financial and administrative autonomy granted to them by the Constitution from the national government.
- Identify the lowest ranking Territorial Management Unit with responsibilities for planning and use of the territory, so that it can be used to verify some of the iGOPP indicators, specifically those that investigate the assignment of responsibilities to at least the lowest ranking Territorial Management Unit.

Examples of Law model, Type of government, Levels of government and Territorial Management Units.

	Colombia	Mexico	Bolivia	Belize	
Law model	Roman-Germanic	Roman-Germanic	Roman-Germanic	Common law	
Type of government	Unitary Republic	Federal Republic	Unitary State	Parliamentary constitutional monarchy	
Levels of government	National	Federal	State	National	
	Departmental	State	Departmental	District	
	Municipal	Municipal	Provincial o regional		
			Municipal		
Territorial Management Units	Departaments	States	Departaments	Districts	
	Municipalities	Municipalities	Provinces		
			Municipalities		
			Indigenous territories, native peasants		

- Understand the institutional arrangements (national public, municipal public, private, etc.) for the provision of public water, sanitation, telephone, and electric power services.
- Identify the models of control or supervision over the public administration, and the existing control entities at the national level and the role played by each of them.

Identification of the main institutions linked to the implementation of the iGOPP

The iGOPP considers indicators related to different ministries or secretariats, sectors, public and private companies and institutions. Considering that the existence of such agencies or equivalent entities may vary among countries, it is recommended before starting the application of the iGOPP to identify the existence of institutions or equivalent entities as detailed in the following table:

Institutions linked to some iGOPP indicators	
National entity responsible for the coordination of disaster risk management or civil protection	Ministry of Finance or Economy
Ministry of Environment	Ministry of Education
Ministry of Agriculture	Ministry of Tourism
Ministry of Health	Ministry of Transport ³
Ministry of Housing	Insurance Superintendent
National Entity responsible for the policy ⁴ public energy ⁵	National Fire Service
National entity responsible for public policy on water and sanitation	National entity responsible for public policy regarding telecommunications
Public water and sanitation service provider with the largest portfolio of users in the country	Telecommunications company with the largest portfolio of users in the country
Electric power generation company with the highest turnover in the country	National entity responsible for generating information on geological phenomena
Electric power transmission company with the highest turnover in the country	National entity responsible for generating information on hydrological and meteorological phenomena
Energy distribution company with the highest turnover in the country	National entity responsible for the prevention and extinction of forest fires

Considering the above, it is necessary to mention that the regulations on public administration are what determine the structure, conformation and responsibilities of the cabinets, either ministries or secretariats, where sometimes ministries or secretariats that can gather more than one central government or sector issue are created. This is how sometimes the ministry of agriculture and livestock may also include responsibilities in matters of fishing and / or food. Another example would

³ Understood as public or road works.

⁴ It can be in the provision and/or regulation of the service.

⁵ Understood as electrical energy.

be when the ministry of transport is part of a larger one that generally covers public works, or when it is linked to energy. In any case, there is no general rule, so several combinations are possible.

The foregoing is important to mention for the iGOPP purposes, since several of the indicators refer to conditions that must be met in a specific sector, such as: agriculture, environment, education, health, transportation (road works), tourism, housing, energy (electrical), telecommunications (telephone), water and sanitation. Therefore, in order to verify the iGOPP sector indicators, the regulations governing one of these "multisector" ministries (with responsibilities involving more than one sector) should make specific reference to the sector for which the iGOPP indicator is being investigated.

Compilation of regulations and other documents

In order to facilitate the application of the iGOPP, it is recommended that once the national institutions linked to the iGOPP indicators have been identified, a preliminary compilation of regulations and relevant documentation should be carried out for each of the ministries, sectors, companies, institutions or equivalent entities identified in the previous point, among which the following stand out:

- Law and institutional regulations
- Regulation of organization and functions (ROF) and/or Manual of Organization and Function (MOF).
- Institutional development plans and strategies.
- Institutional budget
- Technical regulations
- Annual reports of activities, management and/or budgetary execution.
- Institutional plans for disaster risk management, continuity of operations, contingencies and/or emergency.

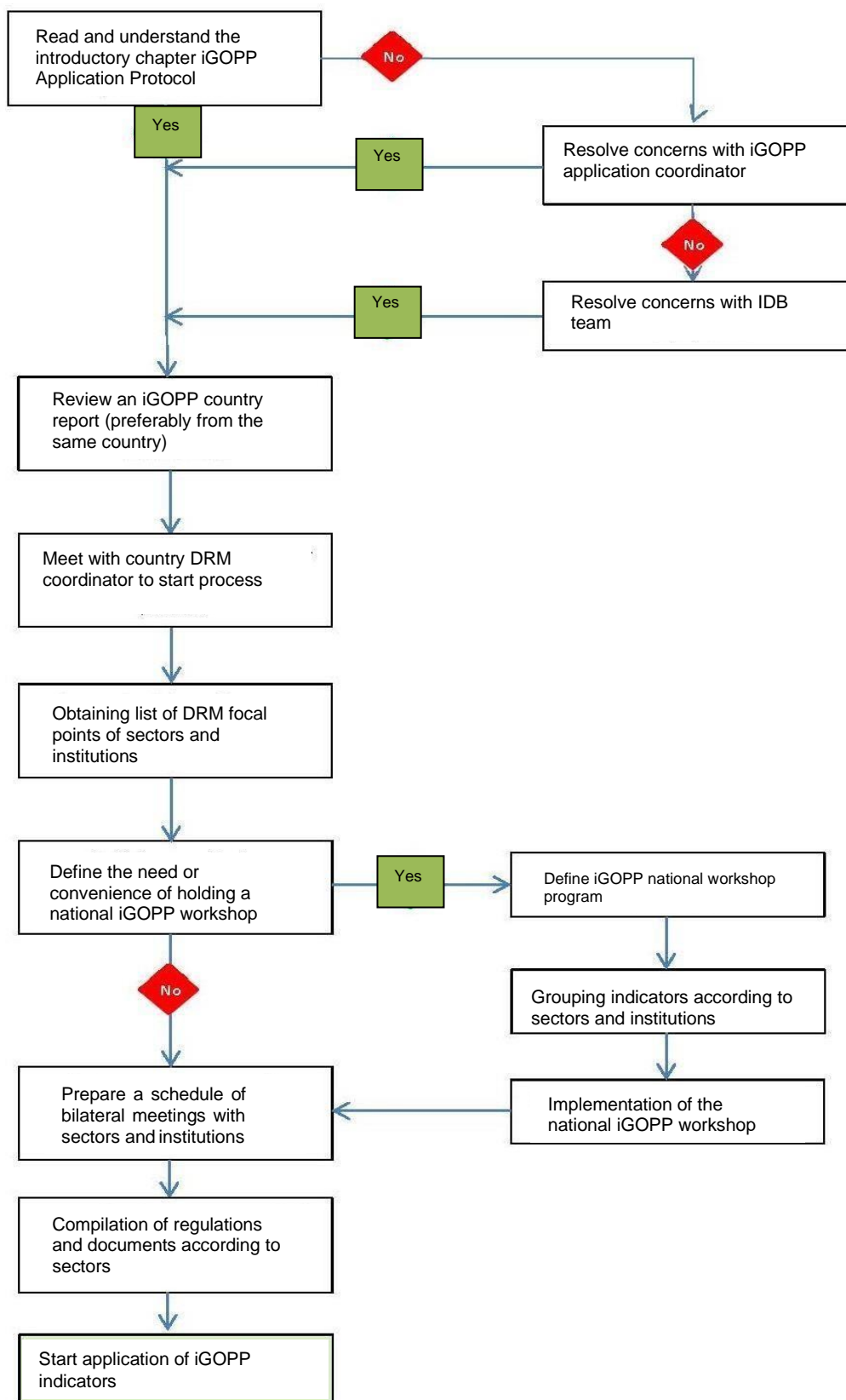
The collection of the above information can be done using the website of each institution, consulting the country's official newspaper (or website where the country's regulations are compiled), the country's annual budget, consultation in libraries, requests for information through mechanisms established by each institution or by the corresponding transparency regulations

1.3.2. Preparing for the iGOPP application

Before starting the application of the iGOPP it is necessary that the people involved read and fully understand the initial sections of the protocol, consulting the glossary whenever necessary. This will facilitate the work in the different stages and, at the same time, the communication with the rest of the team and the IDB staff that could be involved in the application of the iGOPP.

Coordination with the DRM governing body in the country can be very useful to help identify and involve other relevant actors in the implementation of the iGOPP. The following outline suggests some actions and sequences to be observed in planning preparatory activities prior to the start of the assessment of the different iGOPP indicators.

Actions to be carried out before starting the application of the iGOPP indicators

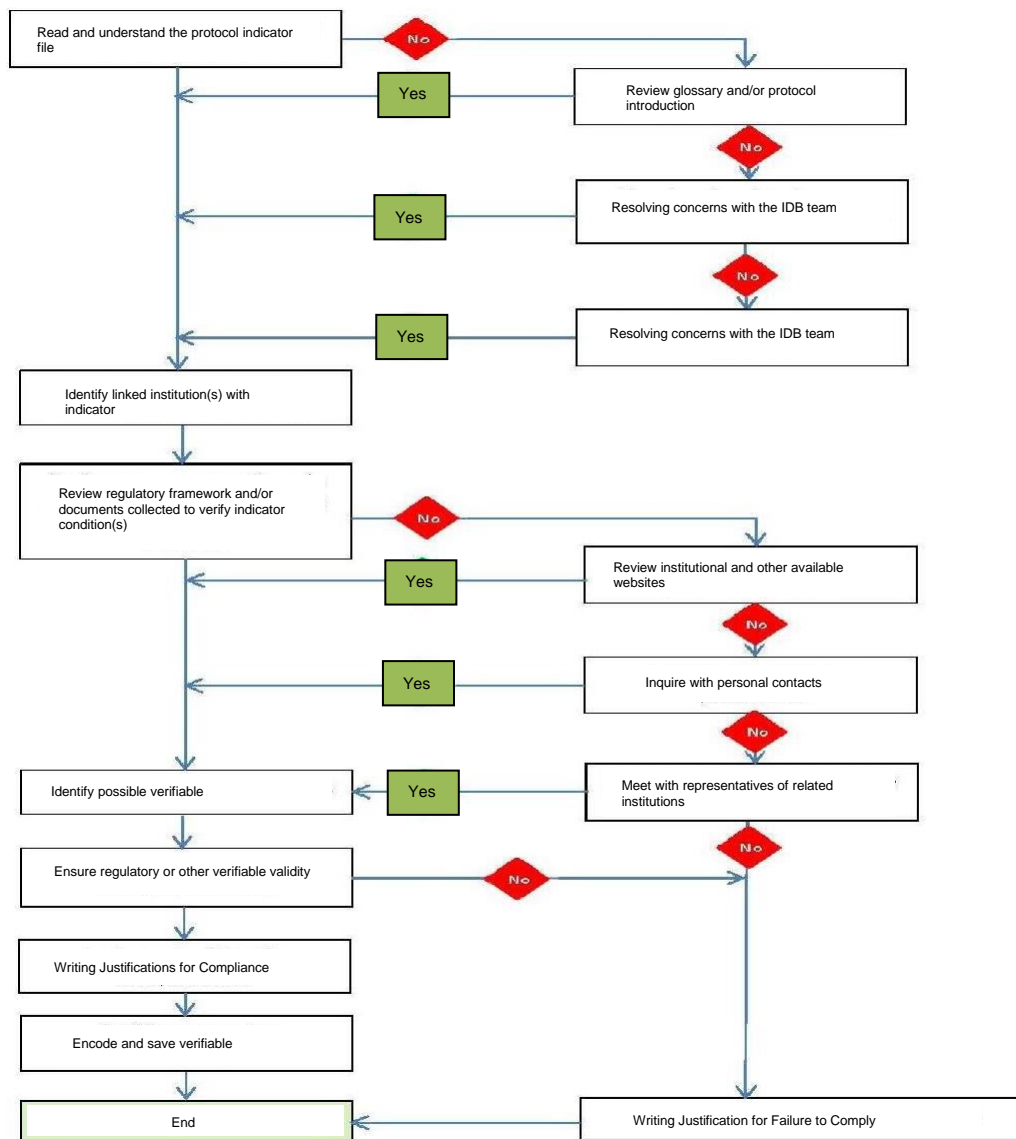


1.3.3. Evaluation of the iGOPP indicators

While there is no single way to start the application of the iGOPP indicators, some of the most used are the iGOPP components (GF, RI, RR, DP, RC, FP), by sectors, by ministries or by common themes. However, the application of iGOPP generally combines the above approaches, accommodating the information available, the availability of the institutions with which it is necessary to meet and the form of work agreed upon by the people involved.

Despite the above, the way of approaching the valuation of each indicator is standardized as detailed in the following diagram. In accordance with this scheme, it is always advisable to start with reading and understanding the respective indicator's file, using the glossary included in this protocol when necessary.

Flowchart for the application of iGOPP indicators



Below are recommendations for some of the actions detailed in the previous flowchart:

Search and analysis of regulations and documents

- The Internet may be the main source for obtaining regulations and other types of documentation by which the iGOPP indicators are researched.
- It is suggested to start the consultations on the official websites, whether of the national congress, assembly or parliament, the official body that publishes the regulations (for example: Official Gazette), the Presidency or its legal area, or that of the sectors, ministries or bodies mentioned by the different indicators.
- Likewise, it is recommended to consult the websites of international institutions that compile sectorial information, documentation centers, etc.
- In the case of verifiable documents that correspond to regulatory documents, it should be checked that the latest version in force is being used, meaning, that it has not been modified or repealed.
- The use of recognized experts who have knowledge in specific topics may be useful to obtain information, or to guide adequately in obtaining it, but in no case can their opinion replace a document as support for compliance with any indicator.
- If necessary, the public procedures of transparency and access to public information that may exist at the national level or that apply to certain institutions in the country can be used, even when they may take time, so it is convenient to use them from the initial stage for searching information.
- The preferred format to be used to save the documents that will serve as verifiable proof of compliance with the iGOPP indicators is PDF.
- If for any reason a web page must be used as verifiable or mentioned in any justification, the link to the web page must be provided, the date of the consultation must be indicated and a screen image of the consultation must be provided.

Meet with representatives of institutions linked to the indicator.

The application of the iGOPP will require meetings with representatives of various institutions that are the sources of the information, either to validate the information collected and / or to complement the documentation necessary for the application of the iGOPP.

For these meetings it is recommended to keep in mind the following recommendations:

- Before starting, contact the DRM governing body to learn about the sectoral or institutional focal points participating in the national DRM system or those that the governing body has in the different institutions, ministries and/or sectors.
- These focal points should be the first contact to inquire about indicators linked to a particular sector or institution, as well as other indicators that the interviewee may be aware of.
- Identify the indicators linked to a certain institution or sector.
- Prepare the interview schedule. Keep in mind that they can last between 30 and 90 minutes depending on the number of indicators to be addressed in the meeting.

- In order to optimize the time of the interview, it is recommended that only those indicators that, based on the information collected and analyzed, have been considered unfulfilled and those that there are not certainty of compliance with.
- Before setting up the interview, it is recommended to send in advance the questions related to the indicators that will be addressed during the meeting.
- Preferably, the interviews should be carried out in the offices of the people who will be interviewed, in this way it will be easier to obtain documents or contact other people in the institution as necessary.
- If during the interview it is argued that certain documents are reserved or confidential, try to obtain the regulations that provide it, in addition to obtaining a copy or photo of the cover and the document's content index, which could eventually help to verify a certain indicator even if the document is not complete. This recommendation is especially relevant to the business continuity plans of some strategic utilities, such as energy. These companies are generally reluctant to share such plans for security reasons. In these cases, it is acceptable to show that such documents exist and that their content, at least at the index level, reflects the condition that the indicator investigates.
- If possible, obtain all the information during the interview. It may be more effective to extend the interview to obtain the documentation than to receive it later via e-mail or another agreed-upon form.
- During the meeting, it is recommended to start with an introduction on the scope, methodology, benefits, results and products of iGOPP, especially if the people interviewed have not had the opportunity to learn about this index.

Information gathering

During the search for information and interviews, various information will be obtained, some of which will allow verifying certain indicators and others will only be used as a query. It is recommended that the information be organized and filed according to the topic or sector considered in the iGOPP.

Some recommendations to consider when collecting and organizing information are the following:

- Make use of a web repository (Dropbox, Google Drive or similar) with the collected documentation that is accessible to all the team involved in the iGOPP application.
- Agree with the people involved in the application of the iGOPP on the structure of the web repository and how the different files will be named, to facilitate a friendly and intuitive consultation.
- As the application progresses, and once the analysis of the indicators is done, the files of the verifiable indicators should be saved in the folders provided for that purpose.

1.3.4. Filling out the iGOPP application matrices

One of the products resulting from the application of the iGOPP are the 6 application matrices. A matrix must be filled out for each of the components of the iGOPP (GF, RI, RR, DP, RC and FD).

Each indicator corresponds to a line of the matrix of the iGOPP component to which it belongs, where for each of them the information required in the different columns of the matrix must be completed, which are detailed below.

Code	Closed-ended question	Yes/No	Verifiable year	Justification	Verifiable	Comments

Code: It corresponds to the unique identification code of each indicator. It is predefined in the matrix and serves as a guide for completing the other columns.

Closed answer question: It corresponds to the indicator as such and is predefined in the matrix corresponding to the question that heads the file of the respective indicator included in this Protocol.

Yes/No: It corresponds to the valuation of the binary indicator. In the case of being valued positively, that is to say that the indicator is fulfilled, it must be answered with a number one (1) that corresponds to a "Yes". In the case of non-compliance with the indicator, a zero (0) corresponding to "No" should be answered.

Verifiable year: It corresponds to the "year of compliance" of the indicator, which generally corresponds to the year in which the regulation was approved or the document that is being provided as verifiable for the indicator under analysis was prepared. However, other situations should be considered in order to record the year in this column of the matrix, taking into account the following indications:

- If a country complies with an indicator in a recently approved regulation or document, the year to be recorded is the year of its approval.
- In the event that the indicator complies with the sum of several regulations or documents that have different years of promulgation or approval, the year to be recorded will be that of the most recent document, which allows, together with the other documents of previous promulgation, to verify all the conditions required by the indicator.
- In the case that a regulation that does not comply by itself is used as verifiable, but a subsequent addition or reform on it allows the indicator to be positively verified, the year of compliance will be that of the addition or reform.
- In some of the indicators that appear in the DP component, and in which plans are combined with budgetary allocations, for example, "Does the transport sector (or equivalent) have a National Emergency or Contingency Plan or continuity of operations or equivalent that has been formally approved at least in the last 5 years and its coordinating or governing entity has received resources for disaster preparedness in the last fiscal period? ", it should be indicated as the compliance date on which the plan and not the date the budget allocation was authorized.
- In the case of indicators related to budget availability (e.g. RI-2-10, RR- 2-5, etc.) these criteria do not apply and only the most recent date of compliance should be mentioned within the time frame established by the question.

- In the case of an indicator that has been consistently met for several years through different documents approved for this purpose, the year to be recorded is the year of approval of the last document as long as it remains in force. However, if there is information about the previous compliance with the indicator through other documents, it should be included in the explanation, but merely for information purposes.

Justification: It corresponds to an ordered and objective narrative text with arguments in which the reasons, motives and reflections that support the positive or negative evaluation that are given to the fulfillment of a particular indicator are exposed.

Although there is no minimum or maximum limit of the number of words for the justification, whoever writes it must support it using their own words, supporting them with textual citations of the articles of the identified regulations. Quotes must be in quotation marks and in italics.

Avoid copying and pasting legal texts without including a reasoned explanation of why the indicator is or is not met. In general, a legal text is not understood in the same way by all people, so it is essential that the opinion and interpretation of the person writing the justification be recorded.

Specifically, when writing the justification for the indicators, one must take into account that:

- At this stage it should be clear that what matters is to document reality and not to "force" positive justifications, or, on the contrary, to apply greater rigour than expected.
- The texts of the justifications should be as long as necessary, however, sufficient and concise texts should be preferred.
- If the indicator is positive, the column for "Justification" should start with a sentence indicating that the indicator has been met. Subsequently, the arguments that support that claim should be mentioned. This makes it easier to consult the document.
- The justification given for each indicator must be deduced and reasoned, so that it is clearly seen whether or not the information provided enables the conditions contained in the indicator in question to be met or not.
- For the positive verification of indicators, when the justification refers to the verifiable indicator (s), the verifiable one must be mentioned with the official title, that is, as it appears in the media that has made it public. It is relevant that the effective start date is always recorded, whether it is publication, approval, promulgation, etc., as shown in the highlighted text in the examples of positive verification presented below.

Examples of positive indicator verification:

Code	Closed-ended question:	Yes/ No	Year	Justification	Verifiable
RI-1A-2	Are there regulations that designate a national actor responsible for the definition of methodologies for the elaboration of studies on the effects of climate change?	1	2012	The indicator has been met. The Organic Statute for Processes Management of the Ministry of Environment (RI- 1A-2), approved on March 15, 2012 by its holder, establishes within the organic structure of this State portfolio, in numeral 7.3, the Undersecretary of Climate Change whose mission is "to lead the mitigation and adaptation actions of the country to face climate change; including facilitating the implementation of technology transfer, financing and communication mechanisms". Among others duties and responsibilities of this undersecretary are: "f) Direct the generation and management of updated information on the causes and impacts of climate change in Ecuador" and "m) Coordinate research for the organization and execution of plans, climate change programs and projects".	Organic Statute of Process Management of the Ministry of Environment, approved on March 15, 2012 RI-1A-2.pdf

Code	Closed-ended question:	Yes/ No	Year	Justification	Verifiable
GF-2-5	Is there a fund or equivalent mechanism available for the financing or co-financing of ex-ante disaster risk management activities?	1	2012	The indicator has been met. Law No. 29125, which establishes the implementation and operation of the Regional and Local Public Investment Promotion	Law No. 29125, which establishes the implementation and operation of FONIPREL, dated

				<p>Fund-FONIPREL (GF-2-5a), dated October 30, 2007. Through Directorial Resolution No. 005-2012-EF / 63.01, which approves the Guidelines for the formulation of Public Investment Projects to Support Productive Development and for Public Investment Projects that include the Disaster Prevention approach, dated July 2012 (GF-2-5b), providing in section 1.2 the approval of the Guidelines for public investment projects that include the disaster prevention approach, included in Appendix 02 of the Directorial Resolution (GF-2-5c).</p>	<p>October 30, 2007</p> <p>GF-2-5a</p> <p>Directorial Resolution No. 005-2012-EF/63.01, approving the Guidelines ... including the Disaster Prevention approach, July 2012</p> <p>GF-2-5b</p> <p>Guidelines ...</p> <p>GF-2-5c</p>
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Example of negative verification of indicators: Even when the indicator cannot be verified, the justification must indicate the regulations checked with its official title.

Code	Closed-ended question:	Yes/No	Year	Justification	Verifiable
GF-1A-1	Are there national regulations that establish a framework of responsibilities for disaster risk management for all levels of government?	0	N/A	<p>The indicator has not been met. Argentina lacks a law that specifically addresses the issue of Disaster Risk Management (DRM).</p> <p>Decree N° 1250 of 1999 establishes the Federal System of Emergencies (SIFEM for its acronym in Spanish) , created with the objective of <i>"Coordinating the action of the government at a national, provincial and local level of all the sectors that have competence in the matter, through the formulation of policies and the definition</i></p>	N/A

Code	Closed-ended question:	Yes/ No	Year	Justification	Verifiable
				<p><i>of coordinated and integral courses of action to prevent, mitigate and assist from the National State to those affected by emergencies, optimizing the allocation of resources". This decree establishes the Cabinet of Emergencies (GADE for its acronym in Spanish) as the executive unit of SIFEM; it also establishes hierarchical functions and responsibilities in its operation.</i></p> <p>Notwithstanding the above, SIFEM is not currently an active institutional mechanism and the regulations that create it are focused on disaster response rather than disaster risk management, so the condition is not met.</p>	

- The date of approval and/or publication of a verifiable should be as detailed as possible, including the day, month, year and a half used for approval and/or publication (official newspaper, Official Gazette, etc.)⁶. If it is not possible to have all the detailed information, at least the year of the beginning of validity, approval or publication should be indicated.
- Additionally, and in a separate paragraph, comments may be made on any aspect considered relevant, avoiding, for greater clarity, to extend what does not contribute to explain the fulfillment of the condition.
- Each of the arguments will be supported by specific texts of the verifiable ones offered. For this purpose, transcriptions or quotes will be made as necessary, identifying them with italics and between quotes.
- The use of abbreviations, capital letters, bold type, apocopes or any other similar figure (unless it appears in the publication that is being cited) should be avoided.

⁶ For example:

- The General Law of Civil Protection, published in the Official Gazette on June 12, 2012 (GF-1A-5a), establishes in Article 7 that...
- Program of X, published in the official website of the Ministry of Y on June 15, 2012...
- Minute 234/2009 of the Council of Ministers of November 24, 2015.

In the case of using acronyms, they must be developed in their first appearance in the text submitted as justification.

- The iGOPP indicators may not be considered fulfilled based on the information provided verbally by the people interviewed, regardless of their hierarchy or position, or through information from press articles, or PowerPoint presentations or similar.
- If the indicator is not met, in the column of "Justification" it should start with the phrase "The indicator is not met". Next, the steps taken in the investigation will be briefly described, listing the regulations and documents analyzed and the interviews held to reach that conclusion.
- When there is any difficulty or impediment to verify compliance with the indicator, the details of that circumstance must be explained.

Verifiable: For each of the indicators that are positively evaluated during the application of the iGOPP, at least one document will be required to support its compliance. This document should ideally be in PDF format and saved using the coding detailed below:

- The same indicator code is used to name the file containing the document that allows you to verify the condition (e.g., FG-1A-1.pdf)
- In the event that to verify an indicator it is necessary to provide more than one verifiable, small letters will be added, one for each verifiable and in their order of appearance in the justification of compliance with the indicator (e.g.: FG-1A-1a; FG-1A-1b; FG-1A-1c, etc.).

Comments: This column is used for the team involved in the application of the iGOPP to exchange opinions on the assessment of each indicator, and the detailed information in each of the columns described above. In order to identify the comments, it is recommended to include the initials of each team member at the beginning of the comments to facilitate the exchange.

1.3.5. Regulation concept

For the purposes of the application of iGOPP, the generic term "regulations" or "standards" will at all times refer to the set of legal texts or instruments of the countries. Depending on the country and its legal framework, the regulations can take different forms and categories, starting with the constitution, law, decree, regulation, edict, rules, resolution, codes, norms, jurisprudence, agreements, minutes, guidelines or any other legal figure recognized in a country.

For this, the regulation must have been formally approved or promulgated by a competent body with the necessary jurisdiction. The regulations are usually issued by the legislative branch; however, it should not be lost sight of the fact that countries' laws may recognize, in their legal framework, different ways in which both the executive and the judicial branches may issue certain types of regulations.

On the other hand, bilateral or multilateral agreements, conventions and treaties concluded by a country, once they have been ratified by its legislature, acquire the status of regulations (usually comparable to the constitution) and, therefore, can serve as verifiable.

The regulations used to verify an iGOPP indicator shall:

- (i) Be in force during the collection of the iGOPP information.
- (ii) Have been published in the official body or, failing that, have been made public by some other means, including the official websites of the competent authorities.

To use plans, programs, strategies, sector policies or other types of policies as verifiable, it will be necessary to demonstrate their legal and mandatory nature in one of the following ways:

- Indicating the regulatory document that formally approves it, which usually precedes the main body of this type of document;
- Referring to the regulations that explicitly establish the preparation of this type of document (plans, programs, strategies, policies) by a given body or institution. In this case, it must be shown that the document has been prepared by the body established in the regulations.

In addition to the regulations, there are certain **official documents** that can be presented in various forms, such as official letters, circulars, reports, plans, strategies, guides, guidelines, memos, and others, which can be used for verification. In order for this type of document to be valid as verifiable, it must comply with one of the following formalities:

1. That they are preceded by a regulatory document (decree, resolution, etc.) that makes their compliance official, which are usually included or explicitly mentioned in the first pages of such official documents;

In this case, the following documents must be provided as verifiable and included in the justification

- **Official document** that contains the information required to consider the indicator fulfilled.
- Regulatory document that accompanies the official document mentioned above.

2. That the institution, entity or person that issues the official document, has received through regulations the powers for its preparation and dispatch.

In this case, the following documents must be provided as verifiable and included in the justification:

- **Official document** that contains the information required to consider the indicator fulfilled.
- Regulatory document that mandates or assigns powers to the institution, entity or person that has issued the official document.

1.3.6. Political-administrative organization of the countries.

Regulatory Systems in Latin America and the Caribbean

In order to adjust the methodology and the evaluation process of its indicators, the Protocol for the Application of the iGOPP pays attention to reconciling those differences derived from the two predominant legal systems in Latin America and the Caribbean: the Common Law (of the Anglo-Saxon law) and the Roman-Germanic, in addition to those issues of legal-constitutional order that give rise to the particular forms of political-administrative organization of each country.

Common law applies in Belize, Jamaica, Bahamas, Trinidad and Tobago, Barbados, Guyana and Suriname. In the rest of the member countries of the IDB, Roman-Germanic law prevails.

It is important to note that the application of iGOPP is easier in those countries where Roman- German law prevails, since the source par excellence is the regulations that come from a legislative body, that is, the law is codified in a hierarchical chain that begins with the constitution, constitutional laws, secondary laws, regulations, and so on, until it reaches regulations of lesser hierarchy.

In the case of the *Common Law* this is not necessarily the case, so there are the "Acts", which are the equivalent of the law, but also that rule can come from a different instance, such as the resolutions of the councils of ministers, cabinets or a judicial precedent.

In both cases, what is really important is that there are regulations in line with the conditions set by the iGOPP indicator under analysis:

- is in force,
- has been created under local law and by a body or agency empowered to do so,
- that has been published in the official organ (newspaper or official gazette, or similar), or, if applicable, that has been made public by some other authorized means, including the institutional or responsible authorities' websites.

Administrative systems in Latin America and the Caribbean

Each country, its legal system and the way it is organized politically are the result of its history, geography and traditions. In Latin America and the Caribbean there are two main models: federal states and centralist or unitary states. The federal countries in Latin America are Argentina, Brazil, Mexico and Venezuela. The rest are centralist or unitary.

Federal countries.

In the federal republics, power is distributed between the federal government and the territorial management units (TMUs), which can normally be three levels (Federal, State/Provincial/Regional, and Municipal), each enjoying different degrees of sovereignty and/or autonomy.

The federal or federated governments have for themselves, as ordered by the constitution, certain functions, jurisdictions or competences that, by their nature, are under their exclusive responsibility. But, on the other hand, the same constitution can instruct that the TMUs be recipients of powers that they will share with the federal government or, moreover, they can even enjoy exclusively others in certain matters.

In the case of disaster risk management, climate change adaptation, land use planning and integrated water resource management, it is reasonable in the federated countries that, since these are matters that are part of sustainable development, they should be shared to some extent between the federal government and the TMUs. So it is likely that federal regulations will coexist with other regulations for the TMUs. However, since the application of the iGOPP is an evaluation of the country, the federal regulations are of particular interest, depending on the degree of sovereignty granted to the TMUs, they may or may not include in their text responsibilities for all levels of government.

For the purposes of iGOPP, when the federal regulations have not assigned certain functions to the national level, by virtue of having established them or delegated them in favor of the TMUs, in order to comply with the indicator in question, it must be demonstrated that all the TMUs have regulations that comply with the condition set forth by the indicator. In In these situations, in order to facilitate the exercise of the application of the iGOPP, it is convenient to evidence the non-fulfillment of the condition by at least one TMU. For example, let's imagine any iGOPP indicator that inquiries about the existence of a regulation with certain attributes related to DRM, and let us assume that in a

federal country such a regulation is issued at the provincial or state level. It would be enough to identify a single province or state in that federal country that has not issued such a regulation to give the indicator for non-compliance.

Centralist or unitary countries.

The centralized or unitary states of Latin America and the Caribbean, although they have certain differences among themselves, are generally characterized by the division of their territory for administrative purposes, where those in charge of the government of these territorial units may be elected by popular vote or designated by the national or central authority.

Several of these countries have initiated decentralization processes that have advanced unevenly. In some cases, the TMUs have achieved significant levels of autonomy, while in other cases, progress has been insignificant. In these cases, the centralist laws are the only ones in existence, including the one that regulates the relationship and functioning of the TMUs.

The case of small countries.

In the Americas and the Caribbean, there are countries that, due to the size of their territory or level of centralization, present conditions that require special considerations in the application of some of the iGOPP indicators. Such considerations have been included in the sheets of this Protocol of the respective indicators, where in the section detailing the description of the minimum situation required to consider the indicator fulfilled, the criteria to be used for this type of situation have been defined.

PART TWO

2.1 INDICATOR CODING AND FILE STRUCTURE

The following are the files of each of the 245 indicators of the iGOPP. Although the length of the files for the different indicators may vary, the structure of the file is maintained and in each of its seven sections (plus the header, corresponding to the code of each indicator) the information detailed below is presented:

0. Identification code:

It allows a quick relationship between the iGOPP component and the public policy phase to which it belongs, based on the following structure:

NN-XM-YY

Where

NN: iGOPP component (GF, RI, RR, PR, RC and FP)

GF= General framework of governance for DRM

RI = Risk identification and knowledge

RR = Risk reduction

DP = Disaster preparedness

RC = Recovery planning

FP = Financial protection

X: Public Policy Phase

1 = Inclusion in the government's agenda and formulation of public policy

2 = Policy implementation

3 = Policy evaluation

M: Level of public policy formulation (this subcode applies only to Phase 1 indicators)

A=Central (national) articulation of policy

B=Definition of sectoral responsibilities

C=Definition of territorial responsibilities

YY: Correlative numbering of indicators associated with NN-XM

1. Closed-ended question:

This section contains the writing of the indicator itself, expressed in the form of a question, which admits a closed answer: yes (compliance) or no (non-compliance).

2. The general description of the indicator:

It describes in a general way the indicator. It briefly presents the explanation of the importance for DRM of the aspect or subject that is investigated through the indicator. In other words, it explains why each indicator is relevant in terms of governance for DRM.

3. Steps to follow to obtain the required information:

This section logically orders the actions and steps that would normally have to be taken to obtain the necessary information to determine whether or not the indicator is met.

4. Link to other indicators:

This part lists those indicators that have some kind of relationship with the indicator that is being researched. Whether it is a causal relationship, or one of affinity with the subject matter that is being researched, with the institution or sector involved, the regulations applied, etc.

5. Description of the minimum situation required to consider the indicator fulfilled:

This is a brief definition of the essential conditions that must be met in order to conclude that the indicator has been met. Likewise, indications are provided to be considered at the time of writing the respective justification on the positive or negative assessment of compliance with the indicator.

6-7. Examples of compliance and non-compliance in countries of the region:

Some examples of the results of the applications carried out in some countries are provided, whether or not they have complied with the different indicators, but due to the form and content of their explanation, are useful for a better understanding of what is acceptable or not for iGOPP purposes.

However, it should be clarified that these examples express the legal, institutional or budgetary circumstance that prevailed during the period when the iGOPP was raised, so its usefulness is limited to showing how the justification given complies with the requirements of the indicator, but in no way means that it is updated information.

2.2 LIST OF INDICATORS BY COMPONENT

Index Component: General Framework of Governance for DRM [GF]	
GF-1A Central policy coordination and articulation	
Code	Closed-ended question
GF-1A-1	Are there national regulations that establish a responsibility framework on disaster risk management for all Government levels?
GF-1A-2	Do the national regulations on Disaster Risk Management establish policy instruments for their implementation?
GF-1A-3	Do the national DRM regulations establish that the coordination and articulation of policy instruments must be carried out at a hierarchical level equal to or higher than the ministerial level?
GF-1A-4	Do the national DRM regulations coordinate with other related regulations for climate change adaptation, integrated water resources management or land planning and management?
GF-1A-5	Does the National Development Plan (or equivalent instrument) establish objectives, goals, or indicators in disaster risk management?
GF-1A-6	Does the National Development Plan (or equivalent instrument) establish objectives, goals, or indicators in CCA?
GF-1A-7	Are there Climate Change regulations that establish Disaster Risk Management as an objective, goal, aim, purpose or result?
GF-1A-8	Are there regulations that establish a professional career regime in public administration applicable to the responsible entities in charge of DRM in the country?

GF-1B Definition of Sectorial Responsibilities	
Code	Closed-ended question
GF-1B-1	Are there regulations on integrated water resources management that establish disaster risk management as a purpose, aim or result?
GF-1B-2	Are there regulations on integrated water resources management that establish adaptation to climate change as a purpose, aim or result?
GF-1B-3	Do the regulations that govern the performance of environmental impact assessments (or equivalent processes) integrate disaster risk analysis?

GF-1C Definition of territorial responsibilities	
Code	Closed-ended question
GF-1C-1	Are there regulations that decentralize responsibilities for development planning, territorial planning or other territorial planning and management instruments to territorial management units?
GF-1C-2	Are there national regulations that establish a basin or eco-region approach to environmental or water resource management?
GF-1C-3	Are there regulations that empower Territorial Management Units to create networks, agreements, alliances or territorial arrangements in DRM?
GF-1C-4	Are there regulations that enable the formation of territorial management structures for integrated water resource management or ecosystem management?

GF-2 Evidence of progress in implementation	
Code	Closed-ended question
GF-2-1	Is there an official document from the Ministry of Economy and Finance (or whoever is acting as such) or from the DRM governing body that sets out the strategy or policy for financial disaster risk management in the country?
GF-2-2	Has the entity responsible for the functions of leadership or coordination or articulation of disaster risk management in the country received resources for these functions in the last fiscal period?
GF-2-3	Is there an expenditure object or budget tagger (or equivalent instrument) in the national budget to allocate resources to ex-ante disaster risk management activities?
GF-2-4	Is there an expenditure object or budget tagger (or equivalent instrument) in the national budget to allocate resources to climate change adaptation activities?
GF-2-5	Is there a national fund or equivalent financial instrument available for the financing or co-financing of ex-ante disaster risk management activities?
GF-2-6	Is there a national fund or equivalent financial instrument available to finance or co-finance climate change adaptation activities?
GF-2-7	Is there a fund or equivalent financial instrument at the national level, authorized to contract disaster risk transfer instruments for a portfolio of goods with fiscal responsibility of the State or to contract risk transfer instruments to reduce the fiscal vulnerability of the budget?
GF-2-8	Is at least one of the national development funds (or equivalent instrument) eligible for funding or co-funding of ex-ante disaster risk management activities?
GF-2-9	Are there budgetary incentives for the territorial management units to implement ex ante actions in disaster risk management?
GF-2-10	Are there budgetary incentives for the different sectors (ministries) to implement ex-ante disaster risk management actions?

GF-3 Control, accountability and participation	
Code	Closed-ended question
GF-3-1	Does the national regulation on Disaster Risk Management establish that disaster risk management must be controlled by the respective authorized organizations?
GF-3-2	Are there regulations regarding transparency or access to public information in public management applicable to DRM?
GF-3-3	Has the national controlling entity carried out at least one compliance assessment on the existing regulations on disaster risk management in the last 5 years?
GF-3-4	Has the national disaster management coordinating entity conducted a disaster management assessment in the country over the past 3 years?
GF-3-5	Are there any national regulations that establish a mechanism for civil society participation applicable to disaster risk management?

Index Component: Risk Identification and Knowledge [Ri]

RI-1A Central Policy Coordination and Articulation	
Code	Closed-ended question
RI-1A-1	Are there regulations to designate a national actor responsible for providing technical assistance and guidelines to sectors and territorial management units for disaster risk analysis?
RI-1A-2	Are there regulations to designate a national actor responsible to define methodologies for the elaboration of studies on the effects of climate change?
RI-1A-3	Are there regulations ordering the creation and maintenance of Disaster Risk Management Information Systems?
RI-1A-4	Are there regulations that establish the creation, systematization or updating of databases on the effects of disasters?

RI-1B Definition of Sectorial Responsibilities	
Code	Closed-ended question
RI-1B-1	Are there regulations which establish that studies on the threat by geological events should consider the frequency of occurrence of such event along with the associated levels and intensities?
RI-1B-2	Are there regulations which establish that studies of threat from climatic and hydrological events should consider the frequency and occurrence of such event along with the associated levels and intensities?
RI-1B-3	Do the national Disaster Risk Management regulations establish that each sector is responsible for carrying out disaster risk analysis within the scope of its sectoral competencies?
RI-1B-4	Do national regulations on Disaster Risk Management establish that public service providers are responsible for carrying out disaster risk analysis in the scope of their operations?
RI-1B-5	Do science, technology and innovation (or equivalent) regulations include the promotion of disaster risk knowledge in the country?
RI-1B-6	Do science, technology and innovation regulations (or equivalent) include the promotion of knowledge about climate change in the country?
RI-1B-7	Are there regulations for the continuous development and maintenance of observation and monitoring networks for at least two dangerous natural phenomena in the country?
RI-1B-8	Do the environmental sector regulations define the responsibility to carry out analysis of the risk of disasters or adverse effects of climate change within the scope of its powers?
RI-1B-9	Do the agricultural sector regulation define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?
RI-1B-10	Do the health sectors regulations define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?
IR-1B-11	Do the housing sector regulations define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?
IR-1B-12	Do the education sector regulations define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?
IR-1B-13	Do the tourism sector regulations define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?

RI-1B Definition of Sectorial Responsibilities	
Code	Closed-ended question
RI-1B-14	Do the transport sector regulations (or equivalent sector) define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?
RI-1B-15	Do the water and sanitation sector regulation (or equivalent sector) define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?
RI-1B-16	Do the telecommunications sector regulations (or equivalent) define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?
RI-1B-17	Do the energy sector regulations (or equivalent) define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?
RI-1B-18	Are there national regulations that define which buildings are essential, indispensable or critical infrastructure for country?

RI-1C Definition of Territorial Responsibilities	
Code	Closed-ended question
RI-1C-1	Do the National Risk Management regulations establish that territorial management units are responsible for disaster risk assessment in their respective territories?
RI-1C-2	Are there regulations that establish work scales or resolution levels that should be used to zone threats or risk in the territory, or that designate a national actor responsible for setting the scale or resolution in which the risk analysis should be carried out for different levels of government?
RI-1C-3	Are there regulations that establish the mandatory zoning of threats in cities?

RI-2 Evidence of Progress in Implementation	
Code	Closed-ended question
RI-2-1	Is the subject of disaster risk integrated into educational curricular programs at least at the basic (primary) or secondary level?
RI-2-2	Is the subject of climate change integrated into the educational curricular programs at least at the basic (primary) or secondary level?
RI-2-3	In the last fiscal period, were resources allocated to the Ministry of Environment to carry out disaster risk analysis that can be verified through budget classification instruments?
RI-2-4	In the last fiscal period, were resources allocated to the Ministry of Agriculture to carry out disaster risk analysis that can be verified through budget classification instruments?
RI-2-5	In the last fiscal year, were resources allocated to the Ministry of Health to carry out disaster risk analysis that can be verified through budget classification instruments?
RI-2-6	In the last fiscal period, were resources allocated to the Ministry of Housing to carry out disaster risk analyses that can be verified through budget classification instruments?

RI-2 Evidence of Progress in Implementation	
Code	Closed-ended question
RI-2-7	In the last fiscal year, were resources allocated to the ministry of education to conduct disaster risk analysis that can be verified through budget classification instruments?
RI-2-8	In the last fiscal year, were resources allocated to the Ministry of Tourism (or equivalent entity) to carry out disaster risk analysis that can be verified through budget classification instruments?
RI-2-9	In the last fiscal period, were resources allocated to the Ministry of Transport to carry out disaster risk analyses that can be verified through budget classification instruments?
RI-2-10	In the last fiscal year, were resources allocated to the national entity responsible for water and sanitation to carry out disaster risk analyses that can be verified through budget classification instruments?
RI-2-11	In the last fiscal period, were resources allocated to the national entity responsible for telecommunications to carry out disaster risk analyses that can be verified through budget classification instruments?
RI-2-12	In the last fiscal period, were resources allocated to the national entity responsible for energy to carry out disaster risk analyses that can be verified through budget classification instruments?
RI-2-13	Has the company that provides the public water and sanitation service with the largest portfolio of users in the country carried out at least one disaster risk analysis of its infrastructure in the last 5 years?
RI-2-14	Has the energy generation, transmission and distribution company with the highest billing in the country carried out at least one disaster risk analysis of its infrastructure in the last 5 years?
RI-2-15	Has the telecommunications company with the largest user portfolio in the country carried out at least one disaster risk analysis of its infrastructure in the last 5 years?

RI-3 Monitoring, accountability and participation	
Code	Closed-ended question
RI-3-1	Are there regulations that make the availability of information for risk analysis mandatory and define mechanisms or instruments for its exchange?
RI-3-2	Are there regulations that make the availability of information for climate change studies mandatory and define mechanisms or instruments for its exchange?
RI-3-3	Has the national entity responsible for generating information about geological phenomena conducted at least one assessment of the quality of its research, monitoring and information dissemination processes over the last 3 years?
RI-3-4	Has the national entity responsible for generating information on hydrological and meteorological phenomena made at least one assessment of the quality of its research, monitoring and information dissemination processes in the last 3 years?
RI-3-5	Has the national control entity carried out at least one verification or evaluation of the generation and availability of disaster risk identification information in the last 5 years?
RI-3-6	Do national DRM regulations establish the responsibility to inform citizens about disaster risk?

Index Component: Risk Reduction [RR]

RR-1A Coordination and central policy articulation	
Code	Closed-ended question
RR-1A-1	Are there regulations that establish competences in an articulated way between disaster risk reduction and climate change adaptation for the sectors and territorial entities?
RR-1A-2	Are there regulations defining acceptable risk references for at least 2 threats in the country?
RR-1A-3	Is there at least one national regulation that requires public entities to reduce the vulnerability of essential, indispensable buildings or critical infrastructure through reinforcement or replacement measures?
RR-1A-4	Are there regulations that stipulate a specific penalty regime for non-compliance with regulations related to the design, construction or location of infrastructure or buildings of a public and private nature?
RR-1A-5	Are there regulations that make it mandatory to incorporate disaster risk reduction measures during the construction phase of public and private infrastructure projects?

RR-1B Definition of sectorial responsibilities	
Code	Closed-ended question
RR-1B-1	Does the national regulation on Disaster Risk Management establish that each sector is responsible for disaster risk reduction within the scope of its sectoral competencies?
RR-1B-2	Do national regulations on Disaster Risk Management establish that public service providers are responsible for reducing the risk of disasters in their operations?
RR-1B-3	Is there at least one national safety standard (code) for earthquake resistant building design, or similar (e.g. wind) that is mandatory for public and private projects?
RR-1B-4	Do the regulations governing the technical aspects of construction define special design parameters for essential, indispensable buildings or critical infrastructure in the country?
RR-1B-5	Has the national seismic-resistant standard, or similar (e.g., wind-resistant), been reviewed and updated at least once in the last 10 years?
RR-1B-6	Do the regulations governing environmental management explicitly integrate disaster risk reduction into their objectives, goals or results?
RR-1B-7	Does the regulation of the environmental sector define the responsibility to reduce the risk of disasters in the scope of its competences?
RR-1B-8	Does the regulation of the agricultural sector define the responsibility for disaster risk reduction in the scope of its competencies?
RR-1B-9	Does the health sector's regulatory framework define the responsibility for disaster risk reduction within the scope of its competencies?
RR-1B-10	Does the regulation of the housing sector define the responsibility of reducing the risk of disasters in the scope of its competencies?
RR-1B-11	Does the regulation of the education sector define the responsibility for disaster risk reduction in the scope of its competencies?
RR-1B-12	Does the regulation of the tourism sector define the responsibility of reducing the risk of disasters in the scope of its competencies?

RR-1B Definition of sectorial responsibilities	
Code	Closed-ended question
RR-1B-13	Does the regulation of the transport sector (or equivalent sector) define the responsibility for disaster risk reduction within its scope?
RR-1B-14	Does the water and sanitation sector (or equivalent) regulation define the responsibility for disaster risk reduction within its scope?
RR-1B-15	Does the regulation of the telecommunications sector (or equivalent) define the responsibility for reducing the risk of disasters within the scope of its competencies?
RR-1B-16	Does the regulation of the energy sector (or equivalent) define the responsibility to reduce the risk of disasters in the scope of its competencies?
RR-1B-17	Are there regulations that order a disaster risk analysis in the pre-investment phase of the project cycle?
RR-1B-18	Are there regulations that require the integration of climate change studies in the pre-investment phase?
RR-1B-19	Are there regulations that order disaster risk analysis in other phases of the project cycle than the pre-investment phase?
RR-1B-20	Are there regulations that order climate change studies in other phases of the project cycle than the pre-investment phase?

RR-1C Definition of territorial responsibilities	
Code	Closed-ended question
RR-1C-1	Do national regulations on Disaster Risk Management establish that territorial management units are responsible for disaster risk reduction in their respective territories?
RR-1C-2	Do the regulations on the functions and competencies of the territorial management units in the country establish disaster risk reduction as one of their competencies?
RR-1C-3	Do the regulations on land use or planning (or equivalent process) establish the zoning of areas at risk as a determining factor in the definition of land use and occupation?
RR-1C-4	Are there regulations for the integral improvement of human settlements?
RR-1C-5	Are there regulations for the relocation of human settlements located in risk areas?

RR-2 Evidence of progress in implementation	
Code	Closed-ended question
RR-2-1	In the last fiscal period, were resources allocated to the Ministry of Environment to carry out disaster risk reduction activities that can be verified through budget classification instruments?
RR-2-2	In the last fiscal period, were resources allocated to the Ministry of Agriculture to carry out disaster risk reduction activities that can be verified through budget classification instruments?
RR-2-3	In the last fiscal year, were resources allocated to the Ministry of Health to carry out disaster risk reduction activities that can be verified through budget classification instruments?
RR-2-4	In the last fiscal period, were resources allocated to the Ministry of Housing to carry out disaster risk reduction activities that can be verified through budget classification instruments?

RR-2 Evidence of progress in implementation	
Code	Closed-ended question
RR-2-5	In the last fiscal year, were resources allocated to the Ministry of Education to carry out disaster risk reduction activities that can be verified through budget classification instruments?
RR-2-6	In the last fiscal year, were resources allocated to the Ministry of Tourism to carry out disaster risk reduction activities that can be verified through budget classification instruments?
RR-2-7	In the last fiscal year, were resources allocated to the Ministry of Transport to carry out disaster risk reduction activities that can be verified through budget classification instruments?
RR-2-8	In the last fiscal period, were resources allocated to the national entity responsible for water and sanitation to carry out disaster risk reduction activities that can be verified through budget classification instruments?
RR-2-9	In the last fiscal period, were resources allocated to the national entity responsible for telecommunications to carry out disaster risk reduction activities that can be verified through budget classification instruments?
RR-2-10	In the last fiscal period, were resources allocated to the national energy entity to carry out disaster risk reduction activities that can be verified through budget classification instruments?
RR-2-11	Has the water and sanitation utility 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 five years?
RR-2-12	Has the power generation, transmission and distribution company with the highest turnover in the country implemented at least one project or program that includes disaster risk reduction activities in its infrastructure in the last 5 years?
RR-2-13	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?

RR-3 Control, accountability and participation	
Code	Closed-ended question
RR-3-1	Are there regulations that establish a regime of sanctions for environmental damage for public and private offenders?
RR-3-2	Has the national controlling body carried out at least one verification or assessment of compliance with disaster risk reduction actions in the last 5 years?
RR-3-3	Do the regulations that govern the formulation of Land Management Plans (or similar) assign responsibilities for monitoring, evaluation and updating?
RR-3-4	Do the regulations governing watershed planning or management (or equivalent planning instruments) assign responsibilities for monitoring, evaluation and updating?
RR-3-5	Has the national controlling entity or regulating sector made at least one assessment of the application of risk reduction measures during the construction phase of infrastructure projects in the last 5 years?

Index Component: Disaster Preparedness [DP]	
DP-1A. Coordination and central articulation of policy	
Code	Closed-ended question
DP-1A-1	Are there regulations that establish an inter-institutional organization at the national level for the preparation and response processes?
DP-1A-2	Do the regulations that govern the processes of preparation and response establish a mechanism or instance for the management of crisis due to disaster at the highest national political level?
DP-1A-3	Do the regulations that govern the preparation and response processes establish the formulation of official protocols for the coordination of operations or incident command?
DP-1A-4	Are there regulations that allow for the activation of a temporary regime of exceptional measures in case of disaster, emergency or public calamity?
DP-1A-5	Do the regulations governing the preparation and response processes establish the formulation of emergency or contingency plans at the national level?
DP-1A-6	Do the regulations governing the preparation and response processes state that humanitarian response and assistance actions should be based on damage assessments and needs analysis?
DP-1A-7	Do the regulations that govern the preparation and response processes establish the performance of drills and simulations?
DP -1A-8	Are there regulations for the coordination of international assistance and mutual aid in case of disaster?

DP-1B. Definition of sectorial responsibilities	
Code	Closed-ended question
DP-1B-1	Do the regulations governing the preparation and response processes establish the formulation of emergency or contingency plans in the different sectors or ministries?
DP-1B-2	Do the regulations that govern the processes of preparation and response provide for the creation and operation of surveillance or warning systems for dangerous natural phenomena?
DP-1B-3	Does the regulation of the environmental sector define the responsibility to carry out disaster response preparedness activities within the scope of its competencies?
DP-1B-4	Does the regulation of the agricultural sector define the responsibility to carry out disaster response preparedness activities within its competence?
DP-1B-5	Does the health sector's regulatory framework define the responsibility to carry out disaster response preparedness activities within its scope of competence?
DP-1B-6	Does the regulation of the housing sector define the responsibility to carry out disaster response preparedness activities within its scope of competence?
DP-1B-7	Does the regulation of the education sector define the responsibility to carry out disaster response preparedness activities within its competence?
DP-1B-8	Does the regulation of the tourism sector define the responsibility to carry out disaster response preparedness activities within the scope of its competencies?
DP-1B-9	Does the regulation of the transport sector (or equivalent sector) define the responsibility to carry out disaster response preparedness activities within its scope of competence?
DP-1B-10	Does the water and sanitation sector (or equivalent) regulation define the responsibility for carrying out disaster preparedness activities within its scope?

DP-1B. Definition of sectorial responsibilities	
Code	Closed-ended question
DP-1B-11	Does the regulatory framework of the telecommunications sector (or equivalent) define the responsibility to carry out disaster response preparedness activities within the scope of its competencies?
DP-1B-12	Does the energy sector regulation (or equivalent) define the responsibility to carry out disaster response preparedness activities within its scope?
DP-1B-13	Do the regulations that govern the entities that provide public water and sanitation services require the formulation and implementation of emergency, contingency or business continuity plans in the event of disasters?
DP-1B-14	Do the regulations that govern the entities that provide public telecommunications services require the formulation of emergency, contingency or business continuity plans in the event of disasters?
DP-1B-15	Do the regulations that govern the entities in charge of generating, transmitting and providing public energy services require the formulation of emergency, contingency or business continuity plans in the event of disasters?
DP-1B-16	Are there regulations that establish the obligation to formulate and implement emergency or contingency plans associated with the storage, transport, handling or processing of hazardous substances?
DP-1B-17	Are there regulations that establish the obligation to formulate and implement emergency or contingency plans for spills, combustion or contamination by hydrocarbons?

DP-1C. Definition of territorial responsibilities	
Code	Closed-ended question
DP-1C-1	Do the regulations governing the preparation and response processes provide for coordination bodies in the territory?
DP-1C-2	Do the regulations governing the preparation and response processes establish criteria for subsidiary assistance between different levels of government?
DP-1C-3	Do the regulations governing the preparation and response processes establish the formulation of emergency or contingency plans at the level of the Territorial Management Units?
DP-1C-4	Are there any national regulations, other than those for DRM or preparations that define competencies for territorial management units in preparation and response?
DP-1C-5	Are there regulations authorizing municipalities to use their own resources outside their jurisdiction in emergency situations?

DP-2. Evidence of progress in implementation	
Code	Closed-ended question
DP-2-1	Has the national body responsible for coordinating response preparation received resources for these functions in the last fiscal period?
DP-2-2	Has at least one national fire department received funding for disaster preparedness activities in the last fiscal period?
DP-2-3	Has the national entity responsible for the prevention and extinction of forest fires received resources for the financing of disaster preparedness activities in the last fiscal period?
DP-2-4	Does the environmental sector have a National Emergency Plan or contingency or continuity of operations or equivalent that has been formally approved at least in the last 5 years?

DP-2. Evidence of progress in implementation	
Code	Closed-ended question
DP-2-5	Does the agricultural sector have a National Emergency plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received disaster preparedness resources in the last fiscal period?
DP-2-6	Does the health sector have a National Emergency Plan or contingency or continuity of Operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received disaster preparedness resources in the last fiscal period?
DP-2-7	Does the housing sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years
DP-2-8	Does the education sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received resources for disaster preparedness in the last fiscal period?
DP-2-9	Does the tourism sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years?
DP-2-10	Does the transportation sector (or equivalent) have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received resources for disaster preparedness in the last fiscal period?
DP-2-11	Does the water and sanitation sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received resources for disaster preparedness in the last fiscal period?
DP-2-12	Does the energy sector have a National Emergency Plan or any contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received resources for disaster preparedness in the last fiscal period?
DP-2-13	Does the water and sanitation public service provider, with the largest portfolio of users in the country, have an Emergency or contingency or continuity of operations plan in case of disaster?
DP-2-14	Does the country's largest energy (generation, transmission and distribution) company have any emergency, contingency or continuity of operations plan in case of disaster? (NOTE: in case they are not the same company, they must all comply with it).
DP-2-15	Does the public telecommunications service provider with the largest portfolio of users in the country have an Emergency, Contingency or Continuity of Operations Plan in case of disaster?
DP-2-16	Do the regulations governing the disaster preparedness processes recognize and establish differential treatment for vulnerable populations?

DP-3. Control, accountability, and participation	
Code	Closed-ended question
DP-3-1	Do the regulations governing the disaster preparedness processes establish mechanisms for civil society participation in the territorial management units?
DP-3-2	Has the national controlling entity conducted at least one disaster preparedness assessment in the last 5 years?
DP-3-3	Has the national controlling entity conducted at least one ex-post evaluation of the government's response performance in any of the disaster situations in the last 5 years that were declared by the national level or where international assistance was requested?
DP-3-4	Has the national entity in charge of coordinating disaster preparedness conducted at least one quality assessment of its processes in the last 3 years?
DP-3-5	Have national disaster preparedness entities adopted quality standards in humanitarian assistance at least in relation to water, sanitation, nutrition and temporary shelter?
DP-3-6	In at least one of the last 5 disaster situations declared by the national level or where international assistance was requested, has any community participation mechanism been activated for the response?

Index Component: Recovery Planning [RC]	
RC-1A. Coordination and central articulation of policy	
Code	Closed-ended question
RC-1A-1	Are there regulations on post-disaster recovery that define the state's responsibility for this process?
RC-1A-2	Are there regulations that establish the recovery of livelihoods as a purpose of post - disaster recovery?
RC-1A-3	Are there regulations that establish institutional schemes for the coordination of post-disaster reconstruction?
RC-1A-4	Are there regulations that establish studies on the causes of disasters in order to guide a recovery that prevents the return of the pre-existing risk conditions?
RC-1A-5	Are there regulations mandating the formulation of post-disaster recovery plans that explicitly seek to reduce pre-existing vulnerability?
RC-1A-6	Are there regulations mandating the ex-ante formulation of post-disaster recovery plans?
RC-1A-7	Are there regulations that state that post-disaster recovery plans should define the duration of the phase that will support the restoration of livelihoods, during the transition between response and reconstruction?
RC-1A-8	Are there regulations that state that post-disaster recovery plans must define the length of time in which affected homes must be repaired or rebuilt?

RC-1B. Definition of sectorial responsibilities	
Code	Closed-ended question
RC-1B-1	Are the responsibilities for carrying out post - disaster recovery preparation activities defined under the environmental sector regulations?
RC-1B-2	Are the responsibilities for carrying out post - disaster recovery preparation activities defined under the agriculture sector regulations?
RC-1B-3	Are the responsibilities for carrying out post - disaster recovery preparation activities defined under the health sector regulations?
RC-1B-4	Are the responsibilities for carrying out post - disaster recovery preparation activities defined under the housing sector regulations?
RC-1B-5	Are the responsibilities for carrying out post - disaster recovery preparation activities defined under the education sector regulations?
RC-1B-6	Are the responsibilities for carrying out post - disaster recovery preparation activities defined under the tourism sector regulations?
RC-1B-7	Are the responsibilities for carrying out post - disaster recovery preparation activities defined under the transport sector regulations (or equivalent)?
RC-1B-8	Are the responsibilities for carrying out post - disaster recovery preparation activities defined under the water and sanitation sector regulations (or equivalent)?
RC-1B-9	Are the responsibilities for carrying out post - disaster recovery preparation activities defined under the telecommunication sector regulations (or equivalent)?
RC-1B-10	Are the responsibilities for carrying out post-disaster recovery preparation activities defined under the energy sector regulations (or equivalent)?

RC-1C. Definition of territorial responsibilities	
Code	Closed-ended question
RC-1C-1	Are there regulations governing the evaluation, revision or updating of development plans after a disaster has occurred in the affected territorial management units?
RC-1C-2	Are there regulations governing the evaluation, revision or updating of land use plans after a disaster has occurred in the affected land management units?

RC-2. Evidence of progress in implementation	
Code	Closed-ended question
RC-2-1	Does the Ministry of Environment (or environmental governing or coordinating entity) have an ex-ante post-disaster recovery plan for the sector that has been formally approved in at least the last 5 years?
RC-2-2	Does the Ministry of Agriculture (or equivalent entity) have an ex-ante disaster recovery plan for the sector that has been formally approved at least within the last 5 years?

RC-2. Evidence of progress in implementation	
Code	Closed-ended question
RC-2-3	Does the Ministry of Health (or equivalent entity) have an ex-ante post-disaster recovery plan for the sector that has been formally approved at least within the last 5 years?
RC-2-4	Does the Ministry of Housing (or equivalent entity) have an ex-ante post-disaster recovery plan for the sector that has been formally approved at least within the last 5 years?
RC-2-5	Does the Ministry of Education (or equivalent entity) have an ex-ante post-disaster recovery plan for the sector that has been formally approved at least within the last 5 years?
RC-2-6	Does the Ministry of Tourism (or equivalent entity) have an ex-ante disaster recovery plan for the sector that has been formally approved at least within the last 5 years?
RC-2-7	Does the Ministry of Transportation (or equivalent entity) have an ex-ante disaster recovery plan for the sector that has been formally approved at least within the last 5 years?
RC-2-8	Does the water and sanitation sector have an ex-ante post-disaster recovery plan that has been formally approved at least within the last 5 years?
RC-2-9	Does the telecommunications sector have an ex-ante disaster recovery plan that has been formally approved at least within the last 5 years?
RC-2-10	Does the energy sector have an ex-ante disaster recovery plan that has been formally approved at least within the last 5 years?

RC-3. Control, accountability and participation	
Code	Closed-ended question
RC-3-1	Are there regulations that establish mechanisms for the participation of civil society or social and non-governmental organizations in post-disaster recovery?
RC-3-2	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?
RC-3-3	In at least one of the last 5 nationally declared disaster situations or those in which international assistance was requested, has any mechanism been activated to inform the affected population about the recovery?
RC-3-4	In at least one of the last 5 nationally declared disasters or those in which international assistance was requested, has any community participation mechanism been activated for recovery?

Index Component: Financial Protection [FP]	
FP-1A. Coordination and central articulation of policy	
Code	Closed-ended question
FP-1A-1	Does the national Disaster Management regulation establish funds at the national level to finance emerging expenses in disaster situations?
FP-1A-2	Do national regulations establish the annual percentage of resources to be allocated to funds at the national level for expenditures arising from disaster situations?

FP-1A. Coordination and central articulation of policy	
Code	Closed-ended question
FP-1A-3	Are there regulations establishing the formulation of a disaster risk retention and transfer structure in the country?
FP-1A-4	Do the regulations governing the insurance sector establish that the estimation of catastrophic risk reserves for assets with non-homogeneous/special characteristics is supported by probabilistic risk assessment models accepted by the sector's regulatory body?
FP-1A-5	Do the regulations governing the insurance sector establish that the estimation of catastrophic risk reserves for assets with homogeneous/uniform characteristics is supported by probabilistic risk assessment models accepted by the sector's regulatory body?
FP-1A-6	Are there regulations establishing national development funds for financing disaster management activities?

FP-1B. Definition of sectorial responsibilities	
Code	Closed-ended question
FP-1B-1	Are there regulations that establish the fiscal responsibility of the state in the face of disaster risk?
FP-1B-2	Are there any regulations that assign responsibilities to the Treasury, Finance or Economy sector, in terms of financial protection against disaster risk?
FP-1B-3	Are there regulations that establish that sector entities must cover their public assets with insurance policies or other equivalent mechanisms?
FP-1B-4	Are there regulations on incentives for private insurance against housing disasters?

FP-1C. Definition of territorial responsibilities	
Code	Closed-ended question
FP-1C-1	Are there regulations that establish that the entities of the Territorial Management Units must cover their public assets with insurance policies or other equivalent mechanisms?
FP-1C-2	Are there regulations that require the implementation of financial protection structures against disasters in the country's capital city?
FP-1C-3	Does the country's capital city have a fund or equivalent mechanism set up for the financing or co-financing of disaster management activities?
FP-1C-4	Does the fund or equivalent mechanism authorized to finance or co-finance disaster management activities in the country's host city have the capacity to accumulate resources over time?
FP-1C-5	Is the fund or equivalent mechanism enabled to finance or co-finance disaster management activities in the country's capital city based on an optimal accrual and expenditure rule based on expected annual loss and/or information on disaster losses in previous years?

FP-2. Evidence of Progress in Implementation	
Code	Closed-ended question
FP-2-1	Does the country's capital city have a financial protection structure in case of disaster?
FP-2-2	Has the Ministry of Treasury, Finance or Economy determined the resources needed to cover Probable Maximum Loss (PML) for catastrophic events for different return periods?
FP-2-3	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 minor and frequent events?
FP-2-4	Has the Ministry of Treasury, Finance or Economy or other competent entity approved standards for the insurance of public buildings in case of disasters?
FP-2-5	Has the Ministry of Treasury, Finance or Economy or other competent entity approved standards for ensuring concessions of at least one basic service or critical infrastructure in case of disasters?
FP-2-6	Has the Ministry of Treasury, Finance or Economy or other competent entity, approved minimum requirements for the participation of the insuring and reinsuring agents in insurance and reinsurance contracts for at least one asset of fiscal responsibility of the State?
FP-2-7	Has the Ministry of Treasury, Finance or Economy or other competent entity developed guidelines for territorial entities for the financial protection against disaster risk of the goods and infrastructure under their responsibility?
FP-2-8	Is there a national fund or equivalent financial instrument available to finance or co-finance disaster management activities?
FP-2-9	Does the national fund or equivalent mechanism for financing or co - financing disaster management activities, has the capacity to accumulate resources over time?
FP-2-10	Is the national fund or equivalent mechanism for financing or co - financing disaster management activities based on the annualized loss expectancy and the recorded information on the losses from disasters in previous years?
FP-2-11	Does the country have at least one contingent credit explicitly linked to the financing of emerging disaster costs?
FP-2-12	Does at least one municipality in the country's capital city have a disaster risk transfer instrument in place for a portfolio of assets under the fiscal responsibility of the State?
FP-2-13	Has at least one risk transfer instrument been implemented and is it in force to collectively cover the fiscal asset portfolio of at least one sector?
FP-2-14	Does the public sector have at least one financial instrument designed ex ante to encourage economic recovery in areas affected by disasters?
FP-2-15	Does the Ministry of Agriculture have a financial protection structure for the agricultural sector (or equivalent) in place against disaster risk?
FP-2-16	Is there an official document of the Ministry of Economy and Finance that establishes the strategy or policy of financial protection for disaster risk management in the country?
FP-2-17	Is there a financial instrument in force that has been used in the country to contract risk transfer instruments to reduce the fiscal vulnerability of the budget?

FP-3. Control, accountability and participation	
Code	Closed-ended question
FP-3-1	Has the national controlling entity carried out at least one evaluation or verification of compliance with current existing financial protection in the last 5 years?
FP-3-2	Has the governing body of the insurance sector carried out at least one verification or evaluation of the use of the probabilistic risk assessment model in the tariff calculation of policies by insurance companies in the last 3 years?
FP-3-3	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?

2.2.1 Indicator Files by Component

A. General Framework of Governance for DRM

- GF 1A
- GF 1B
- GF 1C
- GF 2
- GF 3

B. Risk Identification and Knowledge (RI)

- RI 1A
- RI 1B
- RI 1C
- RI 2
- RI 3

C. Risk Reduction (RR)

- RR 1A
- RR 1B
- RR 1C
- RR 2
- RR 3

D. Disaster Preparedness (DP)

- DP 1A
- DP 1B
- DP 1C
- DP 2
- DP 3

E. Recovery Planning (RC)

- RC 1A
- RC 1B
- RC 1C
- RC 2
- RC 3

F. Financial Protection (FP)

- FP 1A
- FP 1B
- FP 1C
- FP 2
- FP 3

A. GENERAL FRAMEWORK OF GOVERNANCE FOR DRM (GF)

Code GF-1A-1

Closed-ended question	
1. <i>Are there national regulations that establish a responsibility framework for disaster risk management for all Government levels?</i>	
Indicator Overview	
<p>It refers to the legal framework of the national system or structure, which provides responsibilities for the different components of Disaster Risk Management (DRM), as well as those needed to articulate its parts or elements, including the central government, autonomous and decentralized entities, state enterprises, local and regional governments, and sectors and ministries.</p> <p>According to the conceptual framework used in the iGOPP, the risk management components are those of Risk identification, risk reduction, disaster preparedness, recovery and financial protection. However, various national regulations may use other terms or conceptual frameworks to refer to these components. Likewise, the regulations for which this indicator researches may be contained in a single regulatory document, or in a set of them.</p> <p>In order to ensure adequate and effective DRM that increases a country's resilience, it is vital that national regulations consider all the components of DRM detailed above, as well as assigning responsibilities for them in an articulated manner to the different levels of government that exist in the country, contributing in a collaborative manner to disaster risk management in the different sectors, ministries, decentralized entities, state enterprises and territorial management units.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of specific regulations, or a set of national regulations, governing DRM. 2. Verify if such regulations establish or explicitly define the concept of DRM considering its different components (risk identification, risk reduction, disaster preparedness, recovery and financial protection). It is not necessary that the terminology be exact, but rather that it considers the notion of each of these components. 3. Identify the existing levels of government in the country. 4. Verify whether the identified regulations assign responsibilities for DRM to all levels of government in the country. 5. If necessary, interview representatives of the DRM lead institution about compliance with this condition. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	

For this indicator to be positively verified, at least the following conditions must be met:

- National regulations should include disaster risk management in a comprehensive manner, **considering all components of DRM**, and
- National DRM regulations should establish DRM responsibilities for **each level of government** in the country within the scope of their functions and competencies;

So a country with a regulatory framework that considers only some of the components or only "ex-post" or emergency/disaster management actions would not meet the minimum condition required by this indicator for a positive response.

The justification for the indicator should record the existing levels of government in the country, as well as the responsibilities assigned in the different DRM components for each of them. When there is an allocation of responsibilities at the overall DRM level for all levels of government, it should be verified that the notion of DRM as set out in the country's regulatory framework does indeed include all of the above DRM components.

For countries that, due to their territorial extension, political-administrative organization or legal system, do not contemplate the existence of territorial management units as such, this indicator can be validated if it is met at least at the national and sectoral levels. This should be indicated in the respective justification and supported by the corresponding regulations.

Even if not all the conditions for positive verification of this indicator are met, the justification should include the required information that demonstrates partial compliance, either in the DRM components considered, or in the responsibilities for the different levels of government in the country.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Colombia 2013: Law 1523 of April 24, 2012, which adopts the national policy on disaster risk management and establishes the National System of Disaster Risk Management and other provisions (GF-1A-1a), which states in Article 2 that "*Risk management is the responsibility of all authorities and inhabitants of the Colombian territory. In compliance with this responsibility, public, private and community entities will develop and execute risk management processes, meaning: risk knowledge, risk reduction and disaster management, within the framework of their competencies, their scope of action and their jurisdiction, as components of the National System of Disaster Risk Management*". Although neither Disaster Preparedness nor Financial Protection are mentioned, it follows that these notions are included in "disaster management".

Examples of non-compliance in countries of the region

Barbados 2017. The Emergency Management Act (EMA) of Barbados CAP 160 A, 2007 is quite comprehensive covering aspects related to risk reduction, response and recovery, and financial protection. Part 1 - Preliminary - of the EMA establishes this comprehensive scope of the regulation: *"emergency management" includes (a) the prevention and mitigation of the effect of disasters or other emergencies; (b) the preparedness for, response to and recovery from emergencies, disasters and hazards; and (c) the organization and management of resources and responsibilities for dealing with all aspects of emergencies.*". Nevertheless, the EMA does not establish a responsibility framework for all government levels (central, decentralized, local). Concrete DRM responsibilities remain with the Director of the Department of Emergency Management. Local authorities or structures are not mentioned in the Act, and responsibilities of national institutions are partial: *"PART V Obligations of Public Officers and Other Persons 12. Every Permanent Secretary and Head of a Department of Government shall (a) ensure that there is at all times an officer of his Ministry, Department or statutory body falling under his Ministry, who is the liaison officer for communication with the Director in relation to the procedures of the Ministry, Department or statutory body referred to in paragraph (a) of section 9(2); (b) as required by the Director, cause an emergency management plan for each Ministry, Department or statutory body to be prepared and reviewed by 1st April annually and to be submitted to the Director. 13. Every Permanent Secretary and Head of a Department of Government shall supply annually to the Director, in such form and by such date as may be required by the Minister, such information as may be requested by the Director for the purposes of paragraph (a) of sections 5 and 9(2)."*

Code GF-1A-2

Closed-ended question	
2. Do the national regulations on Disaster Risk Management establish policy instruments for their implementation?	
Indicator Overview	
<p>It is possible that national regulations address Disaster Risk Management (DRM) issues in a general way, and that more specific aspects related to the implementation of DRM are considered in other, lesser regulations, such as regulations, administrative rules, decrees, policies, strategies or plans, etc., depending on the country in question.</p> <p>In addition, the legal framework for DRM may be limited and does not include instruments for its implementation, thus generating legal gaps and therefore inoperability or limited operability on the part of the responsible authorities. Therefore, it is considered a quality attribution of the DRM legal framework that has clearly regulated which are its instruments of political, strategic, technical, operational, budgetary or any other necessary instruments to comply and implement such national DRM regulations.</p> <p>Some examples of policy instruments include: Emergency Operations Centers, a national DRM policy, a national strategy for DRM, a national DRM plan or program, a national emergency plan, a national information system for DRM or a national strategy for financial protection (or similar), a national fund or financial instruments for DRM, among others.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Inquire about specific national regulations governing DRM. 2. Verify whether the national DRM regulations include at least a list of policy instruments for their implementation. 3. Identify the existence of any policy instrument for DRM that is supported by a policy document that gives it its legality. 4. If necessary, meet with representatives of the DRM lead institution about compliance with this condition. 	
Link to other indicators	
GF-1A-1	The identified regulations for this indicator may contain the information that is sought to be verified.
Description of the minimum situation required to consider the indicator met	
<p>For the condition to be met, national DRM regulations must explicitly state that policy instruments must be established. In addition, these instruments must at least be listed, either in the national legislation that establishes them or in another DRM policy document.</p> <p>If several policy instruments are listed in the identified regulations, the justification should cite all those considered, as well as those that have been established or are in operation at the time of application of the iGOPP.</p>	
<p>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</p>	

Examples of compliance in countries of the region

Dominican Republic 2014. Law 147-02 on Disaster Risk Management (GF-1A-2a) "*ARTICLE 3. The instruments of the risk management policy are the following:*

1. *National System for Disaster Prevention, Mitigation and Response;*
2. *National Risk Management Plan;*
3. *National Emergency Plan;*
4. *Integrated National Information System;*
5. *National Disaster Prevention, Mitigation and Response Fund*".

Examples of non-compliance in countries of the region

Ecuador 2016. The Constitution establishes that the risks will be managed under the principle of subsidiary decentralization, which will involve the direct responsibility of the institutions within their geographical scope (Art. 390). Similarly, in the Public and State Security Law, Article 11: Paragraph "d", establishes that: "... prevention and measures to counteract, reduce and mitigate risks of natural or human origin or to reduce vulnerability are the responsibility of public and private, national, regional and local entities...". The Regulations of the Law on Public and State Security refer to the functions of the Secretariat of Risk Management (SRM), which include the formulation of "the policies, strategies, plans, and regulations of the Decentralized National System of Risk Management," and also include among the functions of the Consultative Committee on Risk Management, led by the SRM: "1. To advise and support the National Risk Management Secretariat in the development and reform of national risk management policies, strategies, regulations and plans, especially those related to risk reduction and emergencies in natural, socio-natural or anthropic disasters; 2. To collaborate in the design of programs, projects; and, in general, national initiatives for risk management;" Notwithstanding this reference to the responsibilities of the SRM and its Advisory Committee, there is no mention of which policy instruments it should generate. The only mention of a policy instrument is included in Article 27 of the Regulations of the Public and State Security Law: "On Communication and Dissemination. - The governing body shall have a national social communication strategy on risk management". It is worth mentioning that the Basic Reference Document for DRM published by the SMR mentions the National Development Plan and the National Plan for Integral Security and Security Agendas as the main planning instruments containing specific DRM policies. In this sense, it can be argued that the Constitution's regulations on DRM establish the incorporation of DRM in development planning processes at all territorial levels, and on the other hand, it establishes that the National Development Plan is "the instrument to which public policies, programs and projects will be subject; the programming and execution of the State budget; and the investment and allocation of public resources; and the coordination of exclusive competencies between the central State and the decentralized autonomous governments. In this sense, the National Development Plan is one of the policy instruments for the implementation of DRM mandates. However, in the opinion of the consulting team, the national regulations related to DRM in their specific passages on DRM do not clearly establish which are the policy instruments for their implementation. The SRM was consulted, and they share this assessment, and express the need for a specific DRM Law or Policy that clearly identifies the policy instruments for the articulation and implementation of the mandates of the Constitution and the implementation of the Decentralized DRM System.

Code GF-1A-3

Closed-ended question	
3. <i>Do the national DRM regulations establish that the coordination and articulation of policy instruments must be carried out at a hierarchical level equal to or higher than the ministerial level?</i>	
Indicator Overview	
<p>In countries where national regulations expressly provide for the creation of a lead institution for disaster risk management (DRM) to coordinate their national system or structure, it is a good practice for that institution to have a hierarchical level equal to or higher than the ministry or secretariat of state, so that it reports directly to the president or prime minister, as well as allowing for horizontal coordination with ministries and other institutions essential for efficient and effective DRM at the national level. In many cases, when this responsibility falls to instances below that level, this condition can significantly reduce their capacity for advocacy and articulation.</p> <p>This indicator, when it refers to coordination efforts, does so with respect to those operational actions of the national DRM system or structure and related to the implementation of DRM programs and policies. It does not, therefore, address the strategic coordination of DRM components, which occurs in certain countries where national councils or committees are created, usually composed of state secretaries or ministers and chaired by the president or prime minister. Therefore, this indicator seeks to privilege operational coordination of DRM at the national level.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the specific national regulations governing DRM. 2. Identify whether it establishes a coordination and management structure for national DRM plans, programs and policies. 3. Verify that the operational coordination body (DRM governing body) is given a hierarchical level equal to or higher than the ministry or state secretariat. 4. In the case that it has not been given the status of a ministry or secretariat of state, make sure that it has been given a different status, with technical, financial, and administrative autonomy, and that it depends directly on the president or the prime minister. 5. If necessary, meet with a representative of the DRM lead institution about compliance with this condition. 	
Link to other indicators	
GF-1A-1 GF-1A-2	The DRM regulations usually clearly identify the lead institution for DRM, as well as its dependency on the President, Prime Minister, or a specific Ministry or Secretary of State.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the general operational coordination body (governing body) for DRM established in the national legislation must be at or above the level of the ministry or secretariat of state, or not hierarchically under a ministry. At the other extreme, it must have its own autonomy and legal personality, and for this reason it must report directly to the president or prime minister.</p> <p>This indicator cannot be met if the DRM governing body is attached to a Ministry or Secretary of State. However, if this agency is below the ministerial level, it is recommended that it be recorded for information purposes in the justification of the indicator.</p>	

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Examples of compliance in countries of the region

Costa Rica 2014. Law No. 8488, National Law on Emergencies and Risk Prevention, of October 27, 2005 (GF-1A-3a), creates, in Article 13, the National Commission for Risk Prevention and Emergency Care as the maximum deconcentration body attached to the Presidency of the Republic, and establishes, in Article 14, the competencies for the Commission, among which are: "... a) *To articulate and coordinate national policy on risk prevention and preparations to deal with emergency situations. Likewise, it shall promote, organize, direct and coordinate, as appropriate, the assignments required to articulate the National Risk Management System and its components and instruments* For the organization of the Commission, the Law establishes its Board of Directors, which according to Article 17 is composed of: "...

a) A president ... appointed by the Executive Branch, by means of a decree, and shall preside over the Board. b) The Ministers of the Presidency, of Public Works and Transportation, of Finance, of Public Safety, of Health, of Housing and Human Settlements, of the Environment and Energy, the executive presidents of Mixed Institute of Social Assistance (IMAS for its acronym in Spanish) and of the National Insurance Institute (NII), as well as a representative of the Red Cross, appointed by this same organization..."

Colombia 2013. Decree 4147 of November 3, 2011, which creates the National Unit for Disaster Risk Management (UNGRD for its acronym in Spanish) (GF-1A-3a), states in Article 1 that the UNGRD is created as a Special Administrative Unit, with "legal personality, administrative and financial autonomy, its own assets, at the decentralized level, of the Executive Branch, of the national order, attached to the Administrative Department of the Presidency of the Republic. Article 4 specifies its functions, among others, as "1. *To direct and coordinate the National Unit for the Management of the Risk of Disasters (UNGRD) (which since 2012 changes to UNGRD), to follow up on its operation and to make proposals for its improvement at the national and territorial levels,*" such functions are ratified in Article 18 of Law 1523 of April 24, 2012 (GF-1A-3b). However, Law 1523 of April 24, 2012 establishes in Article 2 of Chapter I, Risk Management, responsibility, principles, definitions and National System of Disaster Risk Management, that *"In compliance with this responsibility, public, private and community entities shall develop and execute risk management processes, meaning: risk knowledge, risk reduction and disaster management, within the framework of their competencies, their scope of action and their jurisdiction, as components of the National System of Disaster Risk Management"*. This consideration, which is based on the recognition of decentralization in Colombia, is reaffirmed in the principles of Coordination, Concurrence and Subsidiarity contained in Article 3 of the same Law.

Examples of non-compliance in countries of the region

Guatemala 2013. The Framework Law of the National Security System, approved by Decree 18-2008, establishes in its Article 22. *"It constitutes the capacity of the State to develop and implement policies of prevention, preparation, mitigation, response and recovery from events of natural, social and technological order that may affect the population, its assets and environment; at the national, departmental and municipal levels"*. It acts under the responsibility of the President of the Republic, through the National Coordinator for the Reduction of Disasters (CONRED for its acronym in Spanish). The Law of the National Coordinator for the Reduction of Disasters, (CONRED), approved by Decree No. 109-96, on December 9, 1996 (GF-1A-3a) establishes in Article 7 that the superior organ of CONRED will be the National Council and will be composed of the public sector, autonomous entities, and the private sector. Subsequently, Article 14 of the Regulations to the Law on CONRED, approved by Agreement No. 49-2012 of March 14, 2012 (GF-1A-3b) states that: *"The Minister of National Defense shall be the Coordinator of the National Council, in his absence, his alternate."* On the other hand, the National Policy on Disaster Reduction approved by Agreement No. 06-2011-SE-CONRED (GF-1A-3c), of May 18, 2011, specifies in Chapter VII Implementation Strategy: *"its link with the Vice-Presidency, as coordinator in practice, of the National Council of CONRED"*.

Code GF-1A-4

Closed-ended question	
4. Do the national DRM regulations coordinate with other related regulations for climate change adaptation, integrated water resources management or land planning and management?	
Indicator Overview	
<p>By its very nature, Disaster Risk Management (DRM) should be explicitly articulated with other competing regulations, policies and instruments within the framework of sustainable development. Some of the main regulations and policies that should be articulated with DRM may be those related to</p> <ul style="list-style-type: none"> - Climate Change Adaptation (CCA) - Integrated Water Resources Management (IWRM) - Planning and Land Management (PLM) <p>This indicator positively values the fact that the DRM regulations establish the articulation with such regulations or policies.</p> <p>Mention of the articulation with such standards or policies may be included not only in the main DRM regulation, but also in others where a broader explanation of the articulation of these regulations and policies with the DRM components can be found.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review national regulations governing DRM (law, regulations, national DRM policy, national DRM plan, national DRM strategy or other documents of a regulatory nature). 2. Verify that this regulation explicitly establishes the articulation of DRM with regulations on Adaptation to Climate Change, Integrated Water Resource Management and/or Territorial Planning and Management. 3. If necessary, meet with a representative of the DRM lead institution about compliance with this condition. 	
Link to other indicators	
<p>GF-1A-1</p> <p>GF-1A-2</p>	In regulations linked to national plans, policies, strategies or other policy instruments for DRM, explicit mention could be made of the articulation of DRM actions with other regulations related to sustainable development.
Description of the minimum situation required to consider the indicator met	
<p>For the condition of this indicator to be met, national DRM regulations must explicitly state that they must be articulated with at least one of the other comprehensive or multisectoral policies linked to sustainable development, or must explicitly mention specific regulations or policies linked to issues such as adaptation to climate change, integrated water resource management, planning or land use planning.</p> <p>The mere mention in the DRM regulations of its link with other "policies linked to sustainable development" will not be sufficient to verify this condition, since such mention must specifically mention the topic to which it is linked, i.e. adaptation to climate change, integrated water resource management, planning or land use planning.</p> <p>The justification should make explicit all the existing links that were identified during the analysis, as well as those links that do not exist with the policies related to sustainable development indicated above or others relevant to the country.</p>	

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Examples of compliance in countries of the region

Peru 2013. Supreme Decree No. 048-2011-PCM, dated May 25, 2011, which approves the Regulations of Law No. 29664, which creates the National System of Disaster Risk Management, (SINAGERD for its acronym in Spanish) (GF 1A-4a), establishes in Title III, National Policy on Disaster Risk Management, Article 21, paragraph 21.4 subsection G, that are instruments of the National Policy on DRM also "*policy instruments, strategy and planning related to land management, urban development, environmental protection, climate change, education and communication.*"

Examples of non-compliance in countries of the region

Paraguay 2016. No articulation was found in the national DRM regulations with regulations related to climate change adaptation, integrated water resource management or land planning and management. They were analyzed: (i) Law No. 2615/05 creating the National Emergency Secretariat, approved on 10 June 2005 and published in Gazette No. 53 on 15 June 2005; (ii) Decree No. 11,632 regulating Law No. 2615/05 creating the National Emergency Secretariat (S.E.N for its Acronym in Spanish), approved on August 12, 2013; (iii) Decree No. 1402 approving the document on National Risk Management and Reduction Policy (PNGR for its acronym in Spanish), approved on March 24, 2014 and published in Official Gazette No. 67 of April 4, 2014.

Code GF-1A-5

Closed-ended question	
5. Does the National Development Plan (or equivalent instrument) establish objectives, goals, or indicators in disaster risk management?	
Indicator Overview	
<p>In order to verify that DRM is not an isolated policy, it is essential to include it within national priorities, seen through development planning processes and their instruments. Therefore, it is desirable that DRM make part of these instruments in their objectives, goals or specific indicators in order to observe their impact on policy commitments.</p> <p>Therefore, it is considered a good practice for DRM in a comprehensive manner or some of its components to be considered in policies, strategies, the multi-year plan or the national development plan, or other similar instrument that sets out the country's medium- or long-term development vision and commitments.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Inquire about the existence of a national plan, policy, multi-year plan, national development strategy, or other equivalent instrument in force in the country that sets out the country's medium- or long-term development vision and commitments. 2. Identify a normative document that supports the validity of the instrument identified in the previous point. 3. Verify that the instrument(s) in force establish criteria, objectives, targets, commitments or indicators on DRM components. 	
Link to other indicators	
GF-1A-6	Documents reviewed or used as verifiable could be useful to verify this condition
Description of the minimum situation required to consider the indicator met	
<p>For the indicator condition to be met, the following conditions must be met:</p> <ul style="list-style-type: none"> - That the national development plan, policy or strategy (or equivalent instrument) explicitly contains objectives, targets, commitments or indicators on at least one of the DRM components - That the identified instrument is in force and supported by a normative document. 	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Other results from the iGOPP applications at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Mexico 2014. The National Development Plan 2013-2018 (GF-1A-5a) explicitly includes DRM in the First National Goal: "Mexico in Peace", under the title "Civil Protection and Disaster Prevention", and takes it up again in the chapter on objectives, strategies and lines of action, where it is included under the Objective

1.6. *Safeguarding the population, its assets and its environment in the face of a natural or human disaster*, two strategies with their respective lines of action: Strategy 1.6.1. *Strategic policy for the prevention of disasters* and 1.6.2. Additionally, under the Goal "Prosperous Mexico", Objective 4.1 (*Maintain the country's macroeconomic stability*) includes Strategy 4.1.1. *Protecting public finances from risks in the macroeconomic environment*, which introduces a line of action related to financial protection instruments in the face of natural disasters.

Examples of non-compliance in countries of the region

Bahamas 2017. The Bahamas does have a Working Draft of the National Development Plan 2016 (for public consultation), which proposes at 11.2: "*Integrate Disaster Risk Reduction in Development Policies*". This includes at 11.2.1 "*Integrating comprehensive disaster risk management strategies for disaster response*" and 11.2.4 and 11.2.5 "*Strengthening pre-disaster and post-disaster responses*". Since the Draft has not been approved yet, and there is no National Development Plan currently in place, the condition assessed in this indicator is not met by The Bahamas.

Code GF-1A-6

Closed-ended question	
6. Does the National Development Plan (or equivalent instrument) establish objectives, goals, or indicators in CCA?	
Indicator Overview	
<p>A Climate Change Adaptation (CCA) policy, inserted within development processes and priorities, will make an important contribution to disaster risk reduction. Therefore, it is desirable that this type of policy be included and considered in national development processes, with objectives, targets or impact indicators.</p> <p>Therefore, it is considered a good practice that CCA is considered within the policies, strategies, the multi-year plan or the national development plan, or other similar instrument that establishes the country's development vision and commitments. The above condition would also be met through a major national programmatic instrument that implies that CCA is taken into account in national development planning.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Inquire about the existence of a plan, policy, multi-year plan or national development strategy in force in the country. 2. Identify a regulation document that supports the validity of the instrument identified in the previous point. 3. Verify that the instrument(s) in force establish criteria, objectives, goals, commitments or indicators on CCA processes. 	
Link to other indicators	
GF-1A-5	Documents reviewed or used as verifiable could be useful to verify this condition
Description of the minimum situation required to consider the indicator met	
<p>For the indicator condition to be met, the following two conditions must be met:</p> <ul style="list-style-type: none"> - That the national development plan, policy or strategy (or equivalent instrument) explicitly contains objectives, targets, commitments or indicators on CCA processes. - That the identified instrument is in force and supported by a regulatory document. 	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their writing is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Brazil 2017. The objectives linked to the Thematic Program on Climate Change (Program 2050) can be found in the document of the Multi-annual Development Plan (PPA for its acronym in Spanish) 2016-2019, and are: *"Generate and disseminate information, knowledge and technologies to mitigate and adapt to the effects of climate change; mitigate climate change and promote adaptation to its effects through the implementation of the National Policy on Climate Change; develop technologies for monitoring remote sensing of deforestation, land use and the occurrence of burns and forest fires and disseminate the information generated"*. The indicators and goals, in turn, are contained in the Official Journal of the Union of January 14, 2016, where it is possible to identify the following: *"Goals 2016- 2019: Promote 15 researches and projects on Climate Change; develop and improve models of the earth system for the construction and analysis of climate change scenarios; prepare the National Communication of Brazil to the United Nations Framework Convention on Climate Change; prepare two biennial update reports of the United Nations Framework Convention on Climate Change (...)"*.

Examples of non-compliance in countries of the region

Peru 2013. The National Development Plan, March 2011: Bicentennial Plan, Peru towards 2021 (approved by supreme decree N° 054-2011-PCM), establishes a series of objectives and actions in CCA (strategic axis 6: natural resources and environment. Point D specific objective 4, pages 253 - 254). However, since this document is available, the Plan is not currently in force since, through S. D. N° 051-2012-PCM, the Government extended the deadline for updating it (and for it to be implemented). This deadline expires on May 7, 2014, so that currently (2013) the condition is not met.

Code GF-1A-7

Closed-ended question	
7. Are there Climate Change regulations that establish Disaster Risk Management as an objective, goal, end, purpose or result?	
Indicator Overview	
The articulation between Disaster Risk Management (DRM) and Climate Change Adaptation (CCA) is a key element in terms of coherence, capacity building and a comprehensive approach. Therefore, it is convenient that CCA and DRM strategies include each other in an articulated way, observing the points in common, promoting synergies and avoiding the duplication of efforts and resources.	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Inquire about the existence of national regulations on climate change, which could include some strategy, policy or national plan on climate change, as well as regulatory documents linked to the environmental sector. 2. Identify within the existing regulations if it has explicit DRM objectives, goals, purposes or results. 3. If necessary, meet with representatives of the leading institutions in the environmental sector or linked to the CCA about the fulfillment of this condition. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
In order for the condition to be met, the country's climate change regulations must explicitly consider objectives, goals, targets, purposes, or results related to DRM.	
<i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their writing is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i>	
Examples of compliance in countries of the region	
<p>Paraguay 2016. In the National Policy on Climate Change approved by the National Commission on Climate Change in session of November 17, 2011 and by the National Council on the Environment in session of December 29, 2011 (GF-1A-7a), risk management is considered as one of the strategic lines of the strategic pillar of "Knowledge and Technology Management". The strategic line on risk management states <i>"Establish risk management plans and programs designed to identify vulnerability and anticipate the impacts associated with Climate Change according to criteria of vulnerability, frequency and intensity of impact, which propose measures, national and local capacity to adapt, and preventive actions that reduce the cost of impact"</i>. Decree No. 14,943 implementing the National Climate Change Program, dated October 9 2001 (GF-1A-7b), establishes in Article 2 the creation of the National Climate Change Commission, whose functions are defined in Article 3, where the following stand out: <i>"(a) To define, supervise and evaluate national policy on climate change "</i>, which allows it to give the regulatory character of the National Policy on Climate Change.</p>	
Examples of non-compliance in countries of the region	

Argentina 2014.Through Decree No. 2213/2002 the Secretariat of Environment and Sustainable Development (SAyDS for its acronym in Spanish) was designated as the Authority for the Application of Law No. 24,295 (Approval of the United Nations Framework Convention on Climate Change). Under the SAyDS, the Directorate of Climate Change (DCC) was created to implement and coordinate policies and actions on issues related to climate change. In December 2009, the DCC set up the Government Committee on Climate Change (GCCC) as an institutional coordination body to lead the process of preparing the National Climate Change Strategy (NCCS). The GCCC prepared the first document "National Strategy on Climate Change: Structure. Background. General Objectives and Means" (2010). This document was submitted to a consultation process with the following sectors: private, academic, civil society and workers. In this way, the construction modality of the NCCS is characterized by a process of agreements that enables the participation and integration of the visions, priorities and options for action of different sectors and government institutions at the national and provincial levels. This participation process concluded with a second document called "First phase of the National Strategy on Climate Change" which defines general objectives, means, lines of action and proposals for specific actions for each line of action. The latter, in turn, will be the basis for initiating a "Second Phase of the National Strategy on Climate Change" where it is expected to advance on the definition of indicators and goals for the proposed actions, including among others, actors involved, resources and time needed to carry them out. The base document for this "second phase" of the NCCS establishes, as the first axis of action, the need to "Incorporate considerations of integrated disaster risk management and adaptation to climate change into territorial planning processes". On the other hand, the DCC, the DNPC and the SPTIP, through the National Program for Disaster Risk Reduction and Territorial Development, have started a joint work to link Climate Change Adaptation and Disaster Risk Reduction. Within this framework, a methodology of local scope called "Manual of Vulnerability and Adaptation to Climate Change for Local Management and Planning" was developed and the "Guidelines for the Incorporation of Climate Change Adaptation and Disaster Risk Reduction in Argentina" have been elaborated. Despite these efforts, so far (2014) both the National Strategy on Climate Change and the Guidelines for the Incorporation of Climate Change Adaptation and Disaster Risk Reduction in Argentina are not legally binding; therefore, the positive condition for this indicator is not met.

Belize 2017. The National Climate Change Policy, Strategy and Action Plan to Address Climate Change in Belize, prepared by the Ministry of Forestry, Fisheries and Sustainable Development, together with the Caribbean Community Climate Change Centre, lines out sectorial strategies and actions related to climate change adaptation. While the above would allow for a positive consideration of the condition, review of national regulations related to forestry and fisheries indicated no regulatory requirement to develop a policy such as the above. Furthermore, the Caribbean Community Climate Change Centre is established in Belize under the Act No. 6 of 2015 "Caribbean Community Climate Change Centre", gazette 1st of August 2015. The said Act in Article IV "Objectives I", section (c) states that the Centre shall provide "[...] *comprehensive policy and technical support in the area of climate change and related issues and spearheading regional initiatives in those areas* ". Nevertheless, there is no provision legally binding the Centre's policies to Members of the Centre.

Code GF-1A-8

Closed-ended question	
8. Are there regulations that establish a professional career regime in public administration applicable to the responsible entities in charge of DRM in the country?	
Indicator Overview	
<p>The existence of regulations governing the civil service or a professional career regime or service, etc. in the public administration can contribute to improving employment stability of personnel and, therefore, preserve investments in human capital formation and the experience generated by practice.</p> <p>This, applied to the institution responsible at the national level for DRM, ensures that the learning and experience at both the technical and operational levels allows for continuity and projection of DRM governance in the country.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of regulations related to the civil service, public or civil service, administrative career or linked to the public administration. 2. Check whether the staff of the national DRM governing body is included in this scheme. 3. Review whether the country's existing DRM regulations establish the professional career regime applicable to its personnel, in accordance with the country's public administration. 4. If necessary, meet with representatives of the DRM governing institution or the state's public administration about compliance with this condition. 	
Link to other indicators	
GF-1A-1 GF-1A-2 GF-1A-3 GF-1A-4	The regulations identified and/or used for these indicators could contain evidence that the staff of the DRM governing institution is under the public administration career system.
Description of the minimum situation required to consider the indicator met	
<p>In order for the condition to be met, there must be regulations governing the civil service, a professional career regime or service, etc., in the public administration, and that these regulations apply to at least part of the staff of the national DRM governing body.</p> <p>If the career system does not apply to all officials of the entity responsible for DRM at the national level, the justification must detail who applies and not the career system.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Bolivia 2015. Law 2027 of the Statute of Public Officials, published on October 27, 1999, establishes a regulatory framework for the professional career in public administration that is applicable to the entities of the System for Risk Reduction and Attention to Disasters and/or Emergencies (SISRADE for its acronym in Spanish). In the General Provisions, Chapter 1, on the Objective of Application and Principles, Article 2 (Object), it is established that: "*The present Statute, within the framework of the precepts of the Political Constitution of the State, has the purpose of regulating the relationship of the State with its public servants, guaranteeing the development of the administrative career and ensuring the dignity, transparency, effectiveness and vocation of service to the community in the exercise of public service, as well as the promotion of its efficient performance and productivity.* Article 3 (Scope of Application), establishes: "*I. The scope of application of this Statute covers all public servants who provide services in a dependent relationship with any State entity, regardless of the source of their remuneration. II. The scope of application of the present Statute also includes public servants who provide services in autonomous and decentralized public entities*".

Uruguay 2015. Law 19.121 of the Statute of the Civil Servant in the Central Administration, of August 20, 2013 (GF-1A-8a), which establishes a career regime in the public administration that applies to the entities responsible for the National Emergency System (SINAE for its acronym in Spanish), is exclusive to people who provide services in the public entities of the State, as well as to those people who are responsible for their management, the exercise of their powers and the provision of services by them. The law establishes key elements such as training of public officials; performance management and evaluation of performance among others.

Examples of non-compliance in countries of the region

Honduras 2014. During interviews with officials of the Permanent Commission on Contingencies (COPECO for its acronym in Spanish)), it was indicated that COPECO's human resources are governed by the labor code and not by the GENERAL REGULATIONS OF THE CIVIL SERVICE AND ADMINISTRATIVE CAREER LAW, which governs the staff of many government institutions.

Code GF-1B-1

Closed-ended question	
1. Are there regulations on integrated water resources management that establish disaster risk management as a purpose, aim or result?	
Indicator Overview	
<p>One of the most relevant physical factors in the generation of disaster risk is linked to hydrometeorological and climatic phenomena, and in particular those related to the water cycle. Therefore, regulations, plans, policies and/or strategies for Integrated Water Resources Management (IWRM) or equivalent constitute one of the main mechanisms to influence the causes and risk factors of hydro-climatic disasters.</p> <p>Therefore, this indicator assesses whether the regulations, plans, policies and/or strategies for IWRM contain concrete elements linked in an articulated way to the components of Disaster Risk Management (DRM).</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Inquire about the existence of regulations, plans, policies and/or strategies in IWRM or equivalent. 2. Consider that IWRM regulations may be contained in environmental regulations. 3. Verify that IWRM plans, policies and/or strategies or equivalent are supported by a policy document. 4. Verify that the IWRM regulations, plans, policies and/or strategies or equivalent expressly establish DRM as one of their objectives, purposes, goals or outcomes. 5. If necessary, meet with representatives of the IWRM and/or DRM lead institution about compliance with this condition. 	
Link to other indicators	
GF 1B-2 GF-1C-4	The regulation identified and/or used to verify these indicators may contain evidence that DRM is considered part of the objectives, purposes, goals or outcomes of the Integrated Water Resources Management (IWRM) or equivalent standards.
Description of the minimum situation required to consider the indicator met	
<p>For the condition to be met, there must be evidence of the existence of regulations, plans, policies and/or strategies for IWRM that explicitly include their articulation with DRM. This articulation will materialize if DRM, or at least one of its components, is considered within the objectives, purposes, goals or results of IWRM.</p> <p>If the condition is verified with IWRM plans, policies and/or strategies, these must be supported by policy documents.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Panama 2014. The National Policy on Water Resources, approved through Executive Decree 480 of April 2013 (GF 1B-1a), incorporates within its principles, the "Right to Prevention", establishing that the integrated management of water resources must take into account a vulnerability reduction approach through integrated risk management. In the same way, it incorporates disaster risk management within the General Objective of the Policy. In addition, the Regulation of Law 44 on Hydrographic Basins, also approved in 2013, through Executive Decree 479, (GF 1B-1b), establishes in its Article 3 that it contributes with aspects related to disaster risk reduction.

Examples of non-compliance in countries of the region

Mexico 2014. No explicit reference was found in the regulations between integrated water resources management and disaster risk management, as a purpose, end or result. The National Waters Law defines integrated water resource management in Article 3, section XXIX: "*...A process that promotes the coordinated management and development of water, land, related resources and the environment, in order to maximize social and economic welfare equitably without compromising the sustainability of vital ecosystems. Such management is intimately linked to sustainable development. For the application of this law in relation to this concept, water and forest are considered primarily.*" It should be noted that Article 7 of the same law identifies the National Water Commission (CONAGUA for its acronym in Spanish) as the highest technical, regulatory and advisory body of the Federation in matters of integrated water resource management, and assigns it the responsibility to "*participate in the national civil protection system and support the implementation of federal plans and programs to prevent and address emergency situations caused by extreme hydrometeorological phenomena.*" However, no evidence was found in CONAGUA's specific regulations to establish disaster risk management as a purpose, end or result of integrated water resource management.

Code GF-1B-2

Closed-ended question	
2. Are there regulations on integrated water resources management that establish adaptation to climate change as a purpose, aim or result?	
Indicator Overview	
<p>Considering that the processes of Climate Change Adaptation (CCA) are linked to hydrometeorological and climatic phenomena, and to the water cycle, then the regulations, plans, policies and/or strategies of Integrated Water Resources Management (IWRM) or equivalent constitute effective mechanisms to influence the causes and consequences of climate change.</p> <p>Therefore, this indicator assesses whether the regulations, plans, policies and/or strategies for IWRM contain specific elements linked in an articulated way to CCA processes.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of regulations on Integrated Water Resources Management (IWRM) or equivalent. 2. Consider that IWRM regulations may be contained in environmental regulations. 3. Verify that IWRM plans, policies and/or strategies or equivalent are supported by a policy document. 4. Verify that the IWRM regulations, plans, policies and/or strategies or equivalent (Water Policy, Water Resources Regulations) explicitly establish CCA as one of its objectives, purposes, goals or outcomes. 5. If necessary, meet with representatives of the IWRM and/or CCA lead institution about compliance with this condition. 	
Link to other indicators	
GF 1B-1 GF-1C-4	<p>The regulation identified and/or used to verify these indicators may contain evidence that CCA is considered part of the objectives, purposes, goals or outcomes of Integrated Water Resources Management (IWRM) or equivalent.</p>
Description of the minimum situation required to consider the indicator met	
<p>For the condition to be met, there must be evidence of the existence of regulations, plans, policies and/or strategies for IWRM that explicitly include their articulation with CCA. This articulation will materialize if CCA is considered within the objectives, purposes, goals or results of IWRM.</p> <p>If the condition is verified with IWRM plans, policies and/or strategies, these must be supported by policy documents.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Ecuador 2016. The Organic Law on Water Resources, Use and Development (GF-1B-2), approved by the National Assembly in 2014, in its article 83 on water policies, establishes in paragraph e) "*Adopt and promote measures with respect to adaptation and mitigation to climate change to protect the population at risk*".

Examples of non-compliance in countries of the region

Bolivia 2015. It was confirmed that the National Mechanism for Adaptation to Climate Change, which included relevant references for the positive assessment of this indicator, no longer exists, and that the current source of information on IWRM-related regulations is the National Basin Plan. As it has not been possible to locate the resolution approving it, or any other means that would provide evidence of its formal adoption, the indicator is not met.

Code GF-1B-3

Closed-ended question	
3. Do the regulations that govern the performance of environmental impact assessments (or equivalent processes) integrate disaster risk analysis?	
Indicator Overview	
Environmental impact assessments (EIA) have become common practice. Both the previous study, and the control that is made on its compliance, offer good opportunities to become instruments that prevent or mitigate the risk of disasters. Therefore, it is considered a good practice that the regulations that govern them establish that elements related to the risk of disasters are analyzed.	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the regulations that govern the development of environmental impact studies, as well as environmental permits and authorizations in the country, which is generally part of the environmental regulations and linked to the roles and responsibilities of the Ministry of Environment or equivalent. 2. Identify the technical tools (guides, manuals, terms of reference) available in the country for conducting and evaluating EIAs 3. Verify that the technical tools for the EIA are supported by a policy document, or that the institution that issued them has been assigned the task of developing them. 4. Verify if the regulations and technical tools identified include as part of the environmental impact studies the analysis of disaster risk, that is, the analysis of the impact that the project itself may suffer as a result of the occurrence of a natural event, as well as the disaster risk that the project may generate or exacerbate as a result of its own characteristics. 5. If necessary, meet with representatives of the leading institution in the environmental sector, in particular the one in charge of reviewing and approving the EIAs, about the fulfillment of this condition. 	
Link to other indicators	
RI-1B-8	The environmental regulations that define the responsibility for conducting disaster risk analysis could provide guidance on whether this role has been incorporated into complementary regulations or into guides and manuals for the EIA.
Description of the minimum situation required to consider the indicator met	
<p>In order for the condition to be met, the regulations governing the execution of environmental impact assessments or the technical tools designed for that purpose must explicitly consider disaster risk or its constituent elements: hazard, exposure and vulnerability.</p> <p>The mention made in the identified regulation must make explicit reference to the "disaster risk analysis" product of dangerous natural phenomena, since in this type of regulation there is the notion of "environmental risk analysis" which is a different concept.</p> <p>It will not be possible to verify this indicator with terms of reference or contracts for the implementation of EIAs for specific projects, since the spirit of the indicator is that disaster risk analysis is applicable to all types of projects established in the country's environmental regulations.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	

Examples of compliance in countries of the region

Chile 2013. Decree No. 40 of 12-08-12, which approves the Regulations of the Environmental Impact System, of August 12, 2012, and entered into force on December 24, 2013, (GF-1B-3a) Paragraph 2º "Regarding the minimum content of the Environmental Impact Studies, refers in *"Article 18.- Minimum content of the Studies... e.1. Physical environment, which will include, the characterization and analysis of the aspects associated to [among others]: - The lithosphere, such as geology, geomorphology, the areas of geological and geomorphological risks, the physicochemical characterization of the soil and the level of existing vibrations;"* These aspects must incorporate the areas of risk on the occurrence of natural phenomena. Likewise, the article considers the formulation of: "... i) *A Plan of Mitigation, Repair and Compensation Measures that will describe and justify the measures that will be adopted to eliminate, minimize, repair, restore or compensate the adverse environmental effects of the project or activity described..."* and "...) *A Contingency Prevention and Emergency Plan associated to the eventual risk or contingency situations identified, as established in Paragraph 2o of Title VI of these Regulations"*.

Examples of non-compliance in countries of the region

Dominican Republic 2014. The regulations governing environmental impact assessments that are set forth in Law No. 64-2000, and especially in the Environmental Authorization Regulations, do not explicitly include the identification of disaster risk. Although there are cases in which it was possible to corroborate that a detailed disaster risk analysis is included, this scope is included in the Terms of Reference of the environmental impact study, but they are specific to each sector and project category, and are not supported by the regulations that govern environmental impact assessments.

Argentina 2014. According to the General Environmental Law N° 25.675 *"all activities that may modify or significantly alter the environment, or its resources or the population's quality of life, must comply with the Environmental Impact Assessment (EIA) procedure"*. In this way, the EIA is highlighted as an instrument of national environmental policy. However, the analysis of disaster risk is not defined as a constituent item of the same. Nevertheless, it is worth noting that the General Environmental Law contemplates, as one of its environmental policy objectives, the *"Establishment of adequate procedures and mechanisms for the minimization of environmental risks, for the prevention and mitigation of environmental emergencies and for the recomposition of damages caused by environmental pollution"* (article 2, section k).

Code GF-1C-1

Closed-ended question	
1. Are there regulations that decentralize responsibilities for development planning, territorial planning or other instruments of territorial planning and management to territorial management units?	
Indicator Overview	
<p>Decentralization and local management are fundamental pillars for ensuring the quality of disaster risk management (DRM) and climate change adaptation (CCA), as communities themselves and local authorities are best positioned to identify the problems, challenges and possible solutions on these issues. Decentralization, as conceived in this indicator, for those countries that, based on their history and characteristics, have adopted a system of state organization in which most decisions emanate from a central government, presupposes the existence of regulations to guide the process of deconcentration or delegation in development planning, territorial planning or other territorial planning and management instruments, for the benefit of territorial management units.</p> <p>In the case of federal countries, in principle, there is no regulation and no decentralizing process, since it corresponds to the Constitution, or some constitutional law, to lay the foundations of the political and administrative organization of the Republic. It is then that certain powers can be reserved for the federal government, while others are established to be shared between the federal government and the territorial management units, or to provide that they be exercised only by the territorial management units.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify, in the case of countries with centralized systems, decentralization regulations, municipal regulations or codes, as well as planning and territorial regulations. 2. Verify that aforesaid regulations establish responsibilities for the territorial management units to carry out development planning processes, territorial ordering or other territorial management instruments. 3. In the case of the federated countries, the constitution or constitutional laws must be used to identify in their articles whether the territorial management units are given responsibility for development planning or territorial ordering. 	
Link to other indicators	
RR-1C-1	The regulations on the functions and competencies of the territorial management units identified in the country, especially the Municipalities, may contain the assignment of responsibilities in the matters investigated by this indicator.
RR-1C-3	The country's existing regulations on land use or planning may contain the assignment of responsibilities in these matters to territorial management units.
Description of the minimum situation required to consider the indicator met	

For the condition to be met, the identified regulations must explicitly establish, at least for the lowest ranking territorial management unit (municipality or equivalent) in the country, competencies for territorial planning, development planning or territorial management.

The justification should make explicit the different territorial management units in the country and for which of them the responsibilities investigated by this indicator have been assigned, as well as detailing the matters that have been delegated to each of them (development planning, territorial planning or other territorial planning and management instruments).

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Nicaragua 2016. The regulations that decentralize the responsibilities for development planning or territorial ordering to the territorial management units are found in Executive Decree No. 78-2002, of Regulation, Guidelines and Criteria for Territorial Ordering, approved on February 19, 2002, which establishes a Sectoral Commission for Decentralization (CSD for its Acronym in Spanish) whose function is to support the processes of territorial ordering, coordinating the institutions to achieve their concurrence in the process in accordance with the respective functions (Article 10); in addition, it delegates to the Regional and Municipal Governments as responsible for the implementation of the dispositions established in the Executive Decree of Regulations, Guidelines and Criteria for Territorial planning, governed according to the powers granted by the applicable legislation in force, with the appropriate inter-institutional coordination (Art. 11).

Examples of non-compliance in countries of the region

Guyana 2017. The Local Democratic Organs Act, enacted by the Parliament on Guyana in 1980 establishes in Part II ("Local Democratic Organs"), numeral 7. *"Without prejudice to the generality of section 5, it shall be the duty of each local democratic organ and the members and officers thereof organs. within its area: (a) to maintain and protect public property; (b) to protect and improve the physical environment; (c) to improve working and living conditions; (d) to stimulate economic activities and improve production and efficiency; (e) to promote the social and cultural life of the people; (f) to raise the level of civic consciousness; (g) to preserve law and order; (h) to consolidate socialist legality; (i) to safeguard the rights of the people; and (j) to give advice, encouragement and support to the people in their daily activities and to give leadership by example."* The iGOPP's team reviewed other regulations in regards to local government, such as the Municipal and District Councils Act, the Local Authorities (Elections) Act amended in 2015, and the Local Government Act amended in 2015, and did not find evidence of the establishment of responsibilities for development planning or territorial planning and land use among the regional and municipal entities.

Code GF-1C-2

Closed-ended question	
2. Are there national regulations that establish a basin or eco-region approach for environmental or water resource management?	
Indicator Overview	
<p>The divergence between the limits of the existing basins in a country and the limits of the territorial management units of the country can represent a serious difficulty in the processes of environmental or water resources management. On the contrary, the existence of regulations, policies, strategies or management instruments at the territorial level, which provide for a basin or ecosystem approach, among others, may give added value to DRM in terms of its effectiveness.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Find out if there are any regulations, programs or policies on water, integrated water resource management, basin management, land use planning or environmental management, or regulations governing the creation and operation of water and/or basin committees in the country. 2. Verify that such regulations establish a basin or eco-region approach to environmental or water resource planning or management. 3. If necessary, meet with representatives of the leading institution in the environmental sector or IWRM about compliance with this condition. 	
Link to other indicators	
GF-1B-1 GF-1B-2 GF-1C-4	<p>The integrated water resources management standards identified for these indicators could establish the basin approach.</p>
Description of the minimum situation required to consider the indicator met	
<p>In order for the condition to be met, the identified national regulations must explicitly establish that the basins or eco-regions are considered the territorial base for environmental or water resource management.</p> <p>The condition will not be met if the identified regulations establish the required approach, but assign responsibilities to territorial management units for the management of basins in the territory under their administration, without recognizing the work to be done in basins shared with other territorial units.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

El Salvador 2016. The Environmental Law, approved by Decree No. 233 published in the Official Gazette No.: 79 Volume No.: 339 with Date of Issue: 02/03/1998 Date of Publication: 04/05/1998 Date of Last Amendment 28/05/2015 and in force since May 12, 1998 (GF-1C-2) ,establishes in its Article 14 paragraph b) that: "*To incorporate the environmental dimension in all policy, plan or program of development and territorial ordering, the following criteria must be taken into account: b) The environmental characteristics of the place and its ecosystems, taking into account its natural and cultural resources and, in particular, the natural vocation and potential use of the land, being the hydrographic basin the base unit for the planning of the territory*,". Likewise, article 48 of aforesaid body refers that: "*The Ministry will promote the integrated management of hydrographic basins, a special law will regulate this matter. The Ministry will create a national inter-institutional committee for the planning, management and sustainable use of hydrographic basins. In addition, it will promote the integration of local authorities of the same.* "

Examples of non-compliance in countries of the region

Chile 2013. No evidence was found of the existence of regulations establishing administration under the basin or eco-region approach to environmental or water resource management. The National Strategy for Water Resources refers to the 101 basins in the country, and recognizes their importance in its strategic axis 1. *In this scenario, Integrated Water Resources Management (IWRM) and integrated basin management are key, in the understanding that each basin is a particular and unique territory. Thus, the Water Users' Organizations (OAU for its acronym in Spanish), made up of the Surveillance Boards, Canal Operators' Associations and Water Communities, are important*". However, no regulation was found that establishes administration under the basin or eco-region approach to environmental or water resource management.

Code GF-1C-3

Closed-ended question	
3. Are there regulations that empower Territorial Management Units to create networks, agreements, alliances or territorial arrangements in DRM?	
Indicator Overview	
<p>The divergence between the spatial scopes of the disaster risk maps and the jurisdictional boundaries of the various Territorial Management Units (TMUs) is an additional difficulty for DRM. The regulations that facilitate the TMUs to seek association among themselves, with the aim of obtaining advantages in the generation of economies of scale and other types of synergy-generating actions, allow the establishment of more efficient mechanisms for disaster risk management.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the regulations on DRM, land management units, land use planning regulations, as well as policies or programs to improve land management. 2. Investigate whether these regulations allow for the formation of agreements, alliances or arrangements applicable to DRM between the different TMUs. 	
Link to other indicators	
GF-1A-1	The regulations on DRM may contain provisions for joint work by TMUs on DRM.
RR-1C-1	The regulations on the functions and competencies of the territorial management units identified in the country, and especially of the Municipalities, may contain the assignment of responsibilities in the matters investigated by this indicator.
Description of the minimum situation required to consider the indicator met	
<p>In order for the condition to be met, there must be national regulations that empower at least the lowest ranking territorial management unit in the country (municipality or equivalent) to form agreements, networks or arrangements between TMUs, which are applicable to at least one of the components of DRM.</p> <p>In the federated countries, in the absence of an explicit normative text, it will be possible to justify, based on the regulations in force in the country, how the TMUs, based on their autonomy, can form these networks, agreements, conventions and alliances.</p> <p>The justification should make explicit the different territorial management units in the country and which of them have been assigned the powers for which this indicator is being investigated.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Other results from the iGOPP applications at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Peru 2013. Law No. 27972, Organic Law of Municipalities, of May 26, 2003 (GF 1C-3a), defines in Article 73, Matters of Municipal Competence, in paragraph (c), the responsibility to *"Promote, support and execute investment projects and municipal public services that objectively present externalities or economies of scale at the provincial level; for which purpose, they sign the pertinent agreements with the respective district municipalities."*

Examples of non-compliance in countries of the region

Brazil 2017. Regarding urban territorial management: the competence is exclusive to the municipality. The Federal Constitution of 1988 defines this process, in its articles 182 and 183, which in 2001 was regulated by Law No. 10.257 on July 10, 2001, establishing general guidelines for urban policy and other measures. In Chapter I of the general guidelines, Article 2 states that *"The objective of urban policy is to order the complete development of the social functions of the city and urban property, through the following general guidelines"* and, in paragraph III, it establishes *"the cooperation between governments, the private sector and other sectors of society in the process of urbanization, to serve the social interest..."*, however, no regulations were found that authorized the Territorial Management Units to form networks, agreements, alliances or territorial arrangements applicable to DRM.

Code GF-1C-4

Closed-ended question	
4. Are there regulations that enable the formation of territorial management structures for integrated water resource management or ecosystem management?	
Indicator Overview	
<p>The approach of setting up management structures in territories that correspond to those of basins or certain ecosystems is considered a desirable objective for Integrated Water Resources Management (IWRM). However, this requires the existence of regulations in this area, and thus providing these territorial IWRM management structures with a regulatory support that establishes both the jurisdiction, authority, definition of territories and other aspects necessary for their operation.</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 territorial management structures in IWRM, basins, eco-regions or ecosystems. These regulations can be environmental, water, water resources, municipal or regional regulations, or linked to planning and land management. 2. Identify if the creation of management units based on basins, eco-regions or ecosystems is established. 	
Link to other indicators	
GF-1B-1 GF-1B-2	The regulations on integrated water resource management can enable the formation of territorial management structures for integrated water resource management or ecosystem management.
RR-1C-1	The regulations on the functions and competencies of the territorial management units in the country, especially the Municipalities, can authorize the formation of territorial management structures for the integrated management of water resources or ecosystem management.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator condition to be met, the identified regulations must establish the basin, eco-region or ecosystem as a management unit, with explicit responsibilities, different from the existing territorial management units in the country.</p> <p>The justification must record both the identified management units and their main responsibilities that are relevant to DRM.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Honduras 2014. GENERAL WATER LAW (DECREE 181-2009) published in the Gazette on December 14, 2009 (GF-1C-4a) "Art 19.- *NATURE OF THE BASIN COUNCILS: The Basin Councils that integrate and represent in their respective Sub-basin and Micro-basin Councils are instances of coordination and agreement of the actions of public and private agents involved in multi-sector management in the geographical area of the basin.*

They constitute entities of community empowerment to ensure citizen participation in the enforcement of the law, policies and plans of water management. Their purpose is to propose, execute programs and actions for the best water management, the development of hydraulic infrastructure and the protection, conservation and preservation of the basin's water resources".

"ARTICLE 21.- FUNCTIONS OF THE BASIN COUNCILS: The Basin Councils have the following functions: 1) To identify and propose actions to be carried out in the basin for their inclusion in the instruments of water management and planning and of the different Government entities that have a presence in the basin area".

Examples of non-compliance in countries of the region

Guatemala 2018. The condition is not met. Although there are regulations that create authorities for the Sustainable Management of Basins, such as those for Lake Izabal, created by Decree No. 10-98 (GF-1C-4b); Lake Atitlán, by Decree No. 133-96 (GF-1C-4c) and the authority for Lake Amatitlán, created by Decree No. 64-96 (GF-1C-4a), these are very specific cases for lake bodies, not rivers. The Municipal Code does not make specific reference to Water Resource Management either, although there are isolated cases, such as the Commonwealth of Municipalities of the Naranjo River Basin (MANCUERNA), and the Letter of Understanding to Implement the Model of Integrated Water Resource Management by Microbasins in the Samalá River Basin in Quetzaltenango, which are not enough evidence to support the positive assessment of the indicator.

Code GF-2-1

Closed-ended question	
1. <i>Is there an official document from the Ministry of Economy and Finance (or whoever is acting as such) or from the DRM governing body that sets out the strategy or policy for financial disaster risk management in the country?</i>	
Indicator Overview	
<p>It is considered desirable that countries generate a strategy or policy for financing disaster risk management (DRM) that considers each of its components, including the financial protection component. It is also considered desirable that such a strategy or policy for financial management of disaster risk be accompanied by a plan for its implementation.</p> <p>In other words, the existence of a disaster risk financial management strategy or policy that proposes different financial instruments that the country should consider to finance the different components of DRM is considered a quality factor. It should be noted that in this indicator we refer to a financing strategy not only for DRM actions after a disaster has occurred (response, rehabilitation, recovery, reconstruction) but also for those to be carried out before the occurrence of the natural event, with a view to dimensioning, reducing, preparing and financially protecting against disaster risk.</p> <p>What is interesting is that the country has discussed the issue and has expressed its vision on how to manage resources for all components of DRM in official documents that reflect its financial disaster risk management strategy, such as Decrees, Ministerial Resolutions, Strategies, Policies or publications of the Ministry of Economy and Finance (or whoever is acting as such) or by the DRM governing body in the country, among others.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Find out if there are any official documents from the Ministry of Economy and Finance (or whoever is acting as such), or from the DRM governing entity in the country, that describe the actions or financial instruments that the country has identified to finance the different components of DRM. 2. If necessary, meet with representatives of the governing institutions of the tax authority, economy or finance and DRM on compliance with this indicator. 	
Link to other indicators	
FP-2-16	If the country has a financial protection strategy, it is likely to have a strategy for the other components of DRM.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be a regulatory or official document from the Ministry of Economy and Finance (or its equivalent) or the DRM governing body that contains or evidences the existence of a financial disaster risk management strategy or policy for the different components of DRM.</p> <p>This document may be published by the official body, approved or issued by decree or ministerial resolution, published on the institutional page of the entity competent in the subject, or any other formality that confers on the document the status of official strategy.</p> <p>In addition, the document must be current and have been prepared or updated within the last 3 years, as well as include the proposal or list of financial instruments that could be considered to finance the identified needs.</p>	

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Examples of compliance in countries of the region

Colombia 2013. The condition is met, since the document "Financial Strategy to Reduce the State's Fiscal Vulnerability to the Occurrence of a Natural Disaster", which was prepared in 2012 (GF-2-1a), is published on the website of the Ministry of Finance and Public Credit (MHCP for its acronym in Spanish). Additionally, in December 2013, the MHCP launched in a seminar of the National Unit of Disaster Risk Management the publication "Colombia: Management Policy Strategy public finance in the presence of disaster risk from natural phenomena".

Examples of non-compliance in countries of the region

Guatemala 2013. However, after the elaboration in 2012 of the document "Guidelines of the State Financial Management Strategy for Disaster Risk Management in Guatemala", with the support of an IDB consultancy, this document is not yet official. Additionally, there is a document entitled "Management for Disaster Risk Reduction, Public Budget and Expenditure Tracking"; First Edition of June 2011, from the Technical Directorate of the Ministry of Finance. Among the contents of this document there is no established financial strategy or policies for financial management of disaster risk in the country.

Uruguay 2015. No evidence was found of a document approved by the Ministry of Economy and Finance establishing the financial strategy or policies for financial management of disaster risk. This was confirmed in an interview with the staff of the Technical Coordination of the National Emergency System (SINAE for its acronym in Spanish). It is worth mentioning that SINAE's regulations, Law No. 18.621 of November 2009, were also reviewed, particularly Article 23 which refers to the financial resources of the National Emergency System, and no references were found related to the condition that the indicator is investigated.

Code GF-2-2

Closed-ended question	
2. <i>Has the entity responsible for the functions of leadership or coordination or articulation of disaster risk management in the country received resources for these functions in the last fiscal period?</i>	
Indicator Overview	
<p>This indicator recognizes as a good practice that the budget allocated to the Disaster Risk Management (DRM) governing entity, in addition to contemplating the necessary resources for its operation, contemplates the allocation of resources for specific activities for the coordination or articulation of DRM in the country.</p> <p>The availability of resources, whether human, material or financial, is decisive for the entity responsible for DRM to be in a position to comply with national regulations and the activities assigned to coordinate or articulate DRM. To this end, resources must be allocated for activities such as (i) call the system's actors; (ii) development of technical and policy instruments for Disaster Risk Management (e.g., Risk Management Plan, DRM Platform/Forum); and other activities related to the DRM components.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify in the allocated budget to the DRM governing entity or in the budget execution and expenditure reports whether the governing entity has received resources for the development of activities that contribute to DRM in the country. 2. Inquire about the sources of funding used by the governing entity for the development of activities such as the call of participants in the DRM system or structure and the development of technical and policy instruments for disaster risk management. 3. Not considering the resources allocated for emergency and disaster response activities. 4. If necessary, meet with representatives of the governing institutions of the tax authority, economy or finance and/or DRM on compliance with this indicator. 	
Link to other indicators	
GF-1A-3 GF-1A-8	These indicators refer to the same governing institution for DRM.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be evidence of resource allocation, through some budgetary instrument, to the national governing entity responsible for DRM coordination or articulation roles, to carry out DRM activities such as (i) call the system's participants; (ii) develop technical and policy instruments for disaster risk management; and other activities related to the different components of DRM. Reports and official documentation prepared by the governing entity on the implementation of such activities are also considered validly verifiable, provided that it can be shown that such activities were financed with budget resources and not with resources coming exclusively from international cooperation.</p> <p>The indicator will not be met with the exclusive allocation of funds for emergency response activities, as this allocation is assessed in indicator DP-2-1.</p> <p>The justification should detail the DRM coordination or articulation activities for which resources have been included in the DRM governing entity's budget, as well as the amount of funds allocated.</p>	

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Examples of compliance in countries of the region

Guatemala 2013. The General Budget of Income and Expenditures of the State for the Fiscal Year extended from January 1 to December 31, 2013 (GF-2-2-a), in its Title II, Expenditure Budget, Chapter I, establishes that the National Coordinator for the Reduction of Disaster Risks (CONRED for its acronym in Spanish) has a budgetary allocation of Q. 52.4 million Quetzals, which constitutes about US\$ 6.7 million. The Executive Secretariat of CONRED is the entity that receives this budget allocation.

Mexico 2014. The Budget allocates resources to the Coordination of the National System of Civil Protection. In the Federal Expenditure Budget for Fiscal Year 2013 (GF- 2-2a) published in the Official Journal of the Federation (DOF for its acronym in Spanish) on December 27, 2012, Administrative Branch 04 is dedicated to the SEGOB, within which is located the budgetary program N001 corresponding to the "Coordination of the National Civil Protection System" which falls under the CNPC. It is worth mentioning that the National Civil Protection Coordination (CNPC for its acronym in Spanish), as the delegate of the executive coordination of SINAPROC, in accordance with Article 19 of the LGPC, is the institution that articulates and coordinates DRM in Mexico.

Examples of non-compliance in countries of the region

Bahamas 2017. There is no entity with a legal mandate to coordinate comprehensive DRM functions in the country. It is important to mention that the *Disaster Preparedness and Response Act*, approved in 2006, identifies the National Emergency Management Agency, NEMA, as the primary institutional agency in charge of preparedness and response responsibilities. In addition, it is important to mention that NEMA has been allocated resources. The "*Commonwealth of the Bahamas, an Agenda for the Modern Bahamas, 2016/2017, Draft Revenue and Expenditure Estimates*" and the "*2016/2017 Development Account Expenditure Estimates*" evidence the allocation of resources in item 911726, which corresponds to the "*NEMA Department*", but does not discriminate resources for the different DRM processes.

Uruguay 2015. In Section 02, corresponding to the Presidency of the Republic, of the National Budget Law for the period 2010-2014, Law No. 18719, dated December 27, 2010, no evidence was found of resource allocation, either for the National Emergency System or for the National Emergency Directorate. On the other hand, in the budget submission for fiscal year 2013, in PROGRAM 481 / PROJECT 911, evidence was found of resource allocation to the Technical Coordination of the SINAE, but it is not specified that it was destined for DRM articulation and coordination activities.

Code GF-2-3

Closed-ended question	
3. <i>Is there an expenditure object or budget tagger (or equivalent instrument) in the national budget to allocate resources to ex-ante disaster risk management activities?</i>	
Indicator Overview	
<p>It is considered desirable to have a budgetary instrument, object of expenditure, catalogue, budget tagger or its equivalent that allows the identification of resources allocated to ex-ante Disaster Risk Management (DRM) activities and, therefore, to be able to monitor the resources that the country invests in ex-ante DRM activities.</p> <p>DRM necessarily involves ex-ante activities such as risk identification, risk reduction and disaster preparedness actions. To this end, great importance is given to the availability of budgetary resources to meet these purposes. In this sense, this indicator recognizes the value of the existence of a budgetary instrument, object of expenditure, catalog, budget tagger or its equivalent that allows the identification and tracking of resources allocated to ex-ante DRM activities. The lack of this type of budgetary instrument not only prevents the visibility of the resources allocated by the State to implement public policy on disaster risk management, but also makes it difficult to carry out a cost- benefit analysis of this public policy with due precision in order to compare it with other policies and adequately justify its prioritization.</p> <p>It is worth mentioning that the budget instrument being investigated does not correspond to a budget line that allocates resources to a specific DRM activity, nor to an emergency item within the budget.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the national budget and official documents that detail the existing budget classifiers or items in the country to verify whether there is a budget instrument, object of expenditure, budget catalogue or label or its equivalent, that makes it possible to identify the resources allocated to ex ante DRM activities (for example, different sectors allocate resources to ex ante DRM activities through this same budget instrument). 2. Find out if there is a document that lists all the classifiers or budget items or their equivalent in the country. 3. If necessary, meet with representatives of the governing institutions of the tax authority, economy or finance and/or DRM on compliance with this indicator. 	
Link to other indicators	
<p>GF-2-2</p> <p>RI-2-3 to IR-2-12</p> <p>RR-2-1 to RR-2-10</p>	<p>The verifiable ones used to validate these indicators could mention the object of expenditure or budget tagger that allows to allocate resources to ex ante disaster risk management activities in the national budget.</p>
Description of the minimum situation required to consider the indicator met	

In order for the indicator to be met, the existence of a budget instrument, object of expenditure, catalogue or budget tagger or its equivalent, which allows resources to be allocated to ex ante DRM activities, must be evidenced by means of an official budget-type document.

The mere existence of the budgetary instrument fulfills the indicator, even if it has not been used in the current fiscal budget.

The existence of national programs in the budget through which the different sectorial and/or territorial entities can request resources for ex-ante DRM activities, within which a National DRM Fund could be found, is admitted as a justification for compliance. Likewise, the budget classifier may establish the National DRM Fund as an expenditure object, catalogue or label.

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Examples of compliance in countries of the region

Panama 2014. Administrative Resolution No. 030 of March 28, 2013 (GF 2-3a), by which the MEF modifies the Budget Classification Manual and creates the Disaster Risk Management Expenditure Object. This object of expenditure is intended to be used by institutions that plan ex-ante disaster risk management investment activities in their budget proposals to the National Budget Office (DIPRENA for its acronym in Spanish). The Ministry of Economy and Finance (MEF) has organized an induction process for the correct use of this new object of expenditure.

Paraguay 2016. In the Appendix of "*Budgetary Classifier of Income, Expenditure and Financing*" of Law No. 5554 approving the general budget of the Nation for fiscal year 2016, published in Official Gazette No. 6 of January 11, 2016 (GF-2-3a), evidence was found of the classifier by object of expenditure and financial control "831" . *Contributions to entities with social purposes and to the National Emergency Fund. In addition, it includes the transfers or contributions to the National Emergency Fund which will be destined to the allocation of expenses inherent to the specific actions focused on the prevention and mitigation of events capable of producing disasters and the preparation response and rehabilitation of communities affected by emergency situations or disasters, in the respective special account enabled with patrimonial, administrative, accounting and statistical independence, in accordance with the norms established in Law No. 2615/05 which creates the Secretariat of National Emergency (S.E.N. for its acronym in Spanish) and the regulations established for such purpose*".

Examples of non-compliance in countries of the region

Venezuela 2015. The "Budgetary Classifier of Resources and Expenditures 2015", published by the National Budget Office of the Ministry of the Popular Power of Economy and Finance, does not include categories of expenditure related to ex ante disaster risk management activities. It is worth mentioning that it includes the item 4.09.11.00.00 for "Emergencies in the national territory", through which "*the budgetary credits to be distributed by the competent Ministry of Finance to attend to disasters occurring in the national territory are allocated by this generic*". On the other hand, in the Budget Law 2015 within the items of the different entities appears the code "Protection and integral attention to the families and people in the shelters in case of emergencies or disasters".

Ecuador 2016. No evidence was found in the consultations carried out to (i) Public Sector Income and Expenditure Budget Classifier, of the Ministry of Finance, updated to June 27, 2016; (ii) Environmental Policy Expenditure Orientation Classifier; (iii) Gender Equality Policy Expenditure Orientation Classifier, which includes an equality policy for "Priority attention to women in cases of natural and anthropic disasters".

Code GF-2-4

Closed-ended question	
4. <i>Is there an expenditure object or budget tagger (or equivalent instrument) in the national budget to allocate resources to climate change adaptation activities?</i>	
Indicator Overview	
<p>It is considered desirable the existence of a budgetary instrument, object of expenditure, catalogue, budget tagger or its equivalent that allows to identify the resources allocated to climate change adaptation activities, and therefore to monitor the resources that the country allocates to climate change adaptation activities.</p> <p>Climate Change Adaptation (CCA) Policies necessarily require the allocation of budgetary resources to comply with their specific regulations, objectives and strategies, so it is considered valuable that there is a budgetary instrument, object of expenditure, catalogue, budget tagger or its equivalent to allow the identification and tracking of resources allocated to climate change adaptation activities. The lack of this type of budgetary instrument not only prevents the visibility of all the resources allocated by the State to implement public policy on adaptation to climate change, but also makes it difficult to carry out a cost-benefit analysis of this public policy with due precision, so that it can be compared with other policies and adequately justify its prioritization.</p> <p>It is worth mentioning that the budget instrument under investigation does not correspond to a budget line that allows the allocation of resources to specific climate change adaptation activities. On the other hand, it is important to note that the indicator refers to the financing of climate change adaptation activities and not to those of climate change mitigation.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the national budget and official budget documents that detail the existing budget classifiers or items in the country to verify whether there is a budget instrument, object of expenditure, catalogue, budget tagger or its equivalent that allows the identification of resources allocated to climate change adaptation activities. 2. Find out if there is a document that lists all the classifiers or budget items or their equivalent in the country. 3. If necessary, meet with representatives of the governing institutions of the tax authority, economy or finance and/or CCAs about compliance with this indicator. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, the existence of a budgetary instrument, object of expenditure, catalogue, label or its equivalent that allows the allocation of resources to climate change adaptation activities must be evidenced by an official document.</p> <p>The existence of programs in the budget through which the different sectorial and territorial entities can request resources for CCA activities, within which a CCA Fund could be found, is admitted as a justification for compliance. Likewise, it may be the case that the budget classifier establishes the CCA Fund as an object of expenditure, catalogue or budget label or its equivalent.</p>	

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Examples of compliance in countries of the region

Peru 2013. Supreme Decree N° 068-2008-EF, which approves the Functional Classifier of the Public Sector, of May 24, 2008 (GF-2-4a) in its article 1 provides the Functional Classifier of the Public Sector and the guidelines of the Programmatic Classifier and "... *those that allow the adaptation of the Strategic Programs to this Classifier*". This Supreme Decree was amended by Directorial Resolution No. 002-2011-EF/50.01, for the Programme and Formulation of the Public Sector Budget, of June 7, 2011 (GF-2-4b). In the Appendix, which corresponds to the General Directive of the National System of Public Investment, Directorial Resolution No. 003-2011-EF/68.01, Appendix SNIP 01, which corresponds to the Programmatic Functional Classifier (GF-2-4c) is within Role 17 Environment and, in turn, within Program 054 Strategic Development, Conservation and Sustainable Use of Natural Heritage, Subprogram 0121 Management of Climate Change

Examples of non-compliance in countries of the region

Guatemala 2013. No evidence was located in the online search on the existence of an expenditure object or budget classifier in the national budget to allocate resources to climate change adaptation activities. The negative assessment of the indicator was corroborated in the interview with officials of the Budget Directorate of the Ministry of Public Finance.

Code GF-2-5

Closed-ended question	
5. <i>Is there a national fund or equivalent financial instrument available for the financing or co-financing of ex-ante disaster risk management activities?</i>	
Indicator Overview	
<p>It is considered desirable that different sources of resources exist to finance ex-ante DRM activities, within which it is considered good practice that national funds can allocate resources to ex-ante DRM activities. The availability of resources is essential for ex-ante DRM activities (e.g., preparation, identification or reduction of risk). Therefore, the existence of national funds or equivalent financial instruments (e.g., a trust or an specific bank account), for the financing or co-financing of some of these activities is relevant. These funds or instruments can be national or multi-country/regional (if the country has joined a regional fund through a formal mechanism and therefore the regulations of this fund stipulate that the country must contribute resources to it).</p> <p>With regard to the interpretation of the term "qualified", this means that the fund or equivalent financial instrument has resources allocated at the time of analysis (whether a balance from previous periods or the current fiscal year, even if these are resources donated by foreign institutions).</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify whether national DRM or budget regulations create a national fund or equivalent financial instrument (such as a trust or an specific bank account) authorized to finance or co-finance <i>ex-ante</i> DRM activities. 2. Check if the national fund or equivalent financial instrument has been assigned resources for that purpose during the current fiscal year, either through the budget or any other means provided for in the corresponding regulations, or if it has a balance of resources from previous periods, even if they are resources donated by foreign institutions. 3. Discard those funds dedicated exclusively to emergency management or to ex-post DRM activities, such as humanitarian care, rehabilitation, recovery or reconstruction, which are the subject of other iGOPP indicators. 4. If it has not been possible to verify by other means, it is recommended to interview representatives of the governing institutions of the tax authority, economy or finance and/or DRM about compliance with this indicator. 5. Verify whether the country is part of regional agreements that have funds created to finance <i>ex-ante</i> DRM activities. 6. If the provisions of paragraph (5) are met, it will be necessary to provide documentation regarding the regulations of the fund, which will also stipulate that the country must contribute resources for the use of the fund and that these resources comply with the provisions of paragraph (3). 	
Link to other indicators	
GF-1A-1	The verifiers used may indicate the existence of the funds sought by this indicator.
GF -2-8	Some of the development funds identified to finance ex-ante disaster risk management activities could support the achievement of this indicator.
Description of the minimum situation required to consider the indicator met	

The following conditions must be met in order to comply with the indicator:

- The existence of a policy document that creates at least one fund or equivalent financial instrument (such as a trust or an specific bank account) for the financing or co-financing of at least one ex-ante DRM activity such as preparation, identification, or risk reduction. Such a fund should be at the national or multi-country/regional level.
- The allocation of resources to such fund or equivalent financial instrument (whether a balance from previous periods or from the current fiscal year, even if these are resources donated by foreign institutions).
-

It is worth mentioning that for the purposes of this indicator, budget lines with the name of Fund or similar are not considered as funds. The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose). It is essential that the fund be authorized, that is, to have a balance of resources, even if these are resources donated by foreign institutions.

The justification should detail the type of ex ante DRM actions that can be financed by the identified fund or financial instrument, as well as which entities can access it.

This indicator cannot be verified with those funds that serve exclusively to finance ex-post DRM activities, such as humanitarian assistance, rehabilitation, recovery or reconstruction, even if these are implemented with an approach that seeks to reduce pre-existing vulnerability.

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Examples of compliance in countries of the region

Dominican Republic 2014. Law No. 147-02, on Risk Management, of September 22, 2002 (GF-2-5a), creates in Article 20 the National Fund for Disaster Prevention, Mitigation and Response "... with administrative, technical and financial autonomy, in order to capture and manage ... to take risk reduction measures or to provide assistance and rehabilitation to the population when disasters occur, in a subsidiary or complementary manner under inter-institutional co-financing and competition schemes". The Fund has 4 million Euros provided by the Spanish Agency for International Development Cooperation (AECID for its acronym in Spanish) (GF-2-5b), as budgetary support. In 2011 it was enabled once the Regulations for the Operation of the National Fund for Disaster Prevention, Mitigation and Response (GF-2-5c) were approved.

Examples of non-compliance in countries of the region

Bolivia 2015. Law No. 113/2013-2014, Law on Risk Management, approved by the National Assembly on November 13, 2014, stipulates in paragraph I of Article 28 "*The Ministry of Defense is authorized to constitute the Trust "Fund for Risk Reduction and Disaster Response and/or Emergencies" (FORADE for its acronym in Spanish) with the purpose of capturing and managing resources to finance risk management, at the national, departmental, municipal and autonomous indigenous and peasant levels within the framework of this law and in accordance with the regulations*". On the other hand, Article 31 of the same Law, related to the administration of the resources of the trust, stipulates: "*The Autonomous Patrimony of the Trust shall be managed in two funds: a) Equity Fund, made up of 100% of the resources indicated in Article 29 of the current Law, as well as its returns, destined to Risk Management. Of all these resources, based on a technical analysis, CONARADE shall establish in a specific regulation the beneficiaries and the percentages destined to the Risk Reduction and the Attention of Disasters and/or Emergencies. b) Exclusive Fund, which shall be defined by means of an express regulation of the central level of the State, destined exclusively to the Attention of Disasters and/or Emergencies in all the territory of the Plurinational State*". Nevertheless, from the interviews held with different authorities, it was pointed out that FORADE does not have, to date, resources assigned to finance ex ante activities of disaster risk management.

Code GF-2-6

Closed-ended question	
6. <i>Is there a national fund or equivalent financial instrument available to finance or co-finance climate change adaptation activities?</i>	
Indicator Overview	
<p>It is considered desirable that there are different sources of resources to finance climate change adaptation activities, within which funds or equivalent financial instruments (such as a trust or a specific bank account) that can allocate resources to climate change adaptation activities (CCA).</p> <p>A CCA policy necessarily requires resources to achieve its objectives, which is why this indicator values the existence of regulations that create national funds or equivalent authorized financial instruments to finance or co-finance CCA activities.</p> <p>The funds can be national or multi-country/regional (e.g., if the country has formally joined a regional fund and the fund's regulations stipulate that the country must contribute resources to it).</p> <p>It is worth mentioning that, for the purposes of this indicator, expenditure items within the budget that are intended to carry out CCA activities are not considered as funds. The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose). In relation to the interpretation of the term "qualified", it means that the fund or equivalent financial instrument has allocated resources (either a balance from previous periods or from the current fiscal year, even if these are resources donated by foreign institutions).</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify in the environmental regulations, CCA-related, disaster risk management (DRM) and budgetary regulations the existence of a regulatory document that creates at least one national fund or equivalent financial instrument (such as a trust or an specific bank account) that is explicitly authorized to finance or co-finance CCA activities. 2. Review national CCA policy, strategy, and plan documents for references to funds or equivalent financial instruments to finance CCA actions. 3. If any funds exist for the financing of ex-ante DRM activities, verify whether they allow for the financing of CCA actions. 4. Check if any of the national funds or equivalent mechanisms referred to are enabled, that is, to have resources allocated (either a balance from previous periods or from the current fiscal year, even if they are resources donated by foreign institutions). 5. If necessary, meet with representatives of the governing institutions of the tax authority, economy or finance and/or CCAs about compliance with this indicator. 6. Verify if the country is part of multi-country/regional agreements that have funds created to finance climate change adaptation activities. If so, it will be necessary to provide documentation regarding the regulations of this fund, which stipulates that the country must contribute resources to this fund. 	
Link to other indicators	
GF-2-5	Funds or equivalent mechanisms enabled to finance <i>ex-ante</i> disaster risk management activities could finance CCA actions.
Description of the minimum situation required to consider the indicator met	

<p>The following conditions must be met in order to comply with the indicator:</p> <ul style="list-style-type: none"> - The existence of a policy document creating at least one fund or equivalent financial instrument (such as a trust or an specific bank account) for the financing or co-financing of CCA activities. Such fund should be at the national or multi-country/regional level. - The allocation of resources to such fund or equivalent financial instrument (whether a balance from previous periods or from the current fiscal year, even if these are resources donated by foreign institutions). <p>It is worth mentioning that for the purposes of this indicator, budget lines with the name of Fund or similar are not considered as funds.</p> <p>The justification should detail the type of CCA actions that can be financed by the identified fund or financial instrument, as well as the entities that can access it.</p>
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>
<p>Examples of compliance in countries of the region</p>
<p>Colombia 2013. The CONPES 3700 "Institutional strategy for the articulation of policies and actions on climate change in Colombia" of July 14, 2011 (GF-2-6a) establishes <i>"the option of allocating fresh resources (e.g. royalties) for the financing"</i> of adaptation and mitigation projects. Currently, this option is being used, as evidenced by Law 1606, of December 21, 2012, which decrees the budget of the general royalty system for the period from January 1, 2013 to December 31, 2014 (GF-2-6b), which includes resources, among others, for: <i>"(i) the restoration, conservation and territorial ordering of coastal areas; (ii) protection of coastal areas; (iii) conformation, implementation and integral sustainability of the regional system of protected areas and their management plans"</i>.</p>
<p>Examples of non-compliance in countries of the region</p>
<p>Mexico 2014. The General Law on Climate Change (GLCC) includes a Chapter VII Climate Change Fund (GF-2-6a), specifying in its article 80 that the purpose of this Fund is to capture and direct public, private, national and international financial resources to support the implementation of actions to deal with climate change. According to Article 82, the resources of the Fund will be allocated, among others, to: <i>"I. Actions for adaptation to climate change, giving priority to social groups located in the most vulnerable areas of the country; II. Projects that simultaneously contribute to the mitigation and adaptation to climate change. However, the condition is negative, since in the Federal Expenditure Budget (PEF for its acronym in Spanish) there was no evidence of resource allocation for this Fund. It is worth mentioning that the PEF allocates resources for the mitigation of the effects of climate change, which is reflected in Appendix 15.</i></p>

Code GF-2-7

Closed-ended question	
7. <i>Is there a fund or equivalent financial instrument at the national level, authorized to contract disaster risk transfer instruments for a portfolio of goods with fiscal responsibility of the state or to contract risk transfer instruments to reduce the fiscal vulnerability of the budget?</i>	
Indicator Overview	
<p>It is desirable that a financial protection strategy for disaster risk considers risk transfer instruments that make it possible to cover a portfolio of assets with fiscal responsibility (by allowing access to resources for their reconstruction) or to reduce the fiscal vulnerability of the budget (by allowing access in the short term to resources to attend to the emergency and rehabilitation phases). Having this type of risk transfer instruments allows the country, through the payment of a premium, to transfer certain probable losses due to future disasters to specialized markets. For the purposes of this particular indicator, it is considered good practice that one of the options to acquire these risk transfer instruments is through a fund or equivalent financial instrument enabled at the national or multi-country level.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of risk transfer instruments in force to cover a portfolio of assets under the fiscal responsibility of the State or to reduce the fiscal vulnerability of the budget in the event of a disaster. 2. Identify the origin of the resources used to finance the identified risk transfer instrument. 3. Investigate if the source of resources corresponds to a fund or equivalent mechanism at the national or regional level, authorized to contract risk transfer instruments. 4. If necessary, meet with representatives of the governing institutions of the tax authority, economy or finance and/or DRM on compliance with this indicator. 	
Link to other indicators	
GF-2-1 GF-2-5 FP-1A-3 FP-2-13	<p>If the country has disaster risk transfer instruments at the national or sectoral level, the sources of financing for these financial instruments should be investigated, which would allow for the verification of this indicator.</p>
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, evidence must be found of the existence of a fund or equivalent financial instrument that is eligible or has been used to contract at least one effective disaster risk transfer instrument: (i) for a portfolio of assets under the fiscal responsibility of the state or (ii) to reduce the fiscal vulnerability of the budget.</p> <p>If the risk transfer instrument in question has been or may be acquired through a national, regional and/or multi-country fund, documentary support must be obtained from the creation and qualification of such fund or equivalent financial instrument (such as, for example, a trust or a bank account with a specific purpose) indicating its existence, operation and capacity to contract financial protection instruments.</p> <p>It is worth mentioning that, for the purposes of this indicator, budget lines with the name of Fund or similar are not considered as funds. The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose).</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. The fund for contracting disaster risk transfer instruments is FONDEN, as stipulated in the General Rules of FONDEN (RGFONDEN) (GF-2-7a) in Article 4, section V, which determines as the purpose of FONDEN the "... To grant resources for the implementation of projects and the establishment of risk management and transfer instruments that are related to the prevention and attention to the effects caused by disruptive natural phenomena; for the financial protection of the assets of the Natural Disasters Fund Trust, as well as for the necessary services related to such contracts, in terms of the provisions of the specific Operating Guidelines that regulate each of the procedures referred to in these General Rules of the Natural Disasters Fund.

Colombia 2013. In 2003, there was the Decree 1547 of June 21, 1984, "*By which the National Calamity Fund (FNC for its acronym in Spanish) is created and rules are issued for its organization and operation*" (2003_GF 2-7a). Subsequently, Decree Law 919 of May 1, 1989, "*which organizes the National System for the Prevention and Attention of Disasters and dictates other provisions*" (2003_GF 2-7b), modifies in its Article 70, the scope of Decree 1547 of 1984 in relation to the expenses that can be financed with the FNC; specifically, it changes Article 2 of Decree 1547 of 1984, on the destinations of the Fund, including, numeral e): "*Take the necessary measures to prevent disasters or to mitigate their effects, which may consist, among others, of insurance policies taken with companies legally established in Colombian territory and seeking mechanisms to cover all or part of the cost of premiums*" (emphasis added). It is concluded that since the enactment of Decree Law 919 of 1989, the FNC was authorized to contract instruments for the transfer of the risk of disasters for a portfolio of goods of The State's fiscal responsibility, and therefore the condition was met in 2003.

Examples of non-compliance in countries of the region

Uruguay 2015. Law N° 18.621 of the NATIONAL SYSTEM OF EMERGENCIES, dated October 12, 2009, in Article 24 of the National Fund for the Prevention and Attention of Disasters, does not stipulate that it is authorized to contract instruments of risk transfer. Nor was evidence found of other mechanisms for contracting risk transfer instruments. The Regulations of the Farming Disaster Fund and the regulations of the Emergency Agricultural Fund were also reviewed, but no relevant evidence was found for this indicator.

Code GF-2-8

Closed-ended question	
8. <i>Is at least one of the national development funds (or equivalent instrument) eligible for financing or co-financing ex-ante activities in disaster risk management?</i>	
Indicator Overview	
<p>It is considered desirable that different sources of resources exist to finance ex-ante DRM activities, within which it is considered good practice that national development funds can allocate resources to ex-ante DRM activities. The fact that such funds can finance ex-ante DRM activities is a recognition of how disaster risk management contributes to social, sectoral, local, subnational and/or national development. National development funds, also known as social investment accounts or equivalent instruments, are mainly focused on providing resources for investment at different scales and different approaches (territorial, sectoral, thematic, etc.), and contribute towards countries' development vision. These funds may be royalty-based, investment funds, social development programs, social action or cohesion, etc. This indicator assesses whether these development funds or equivalent instruments include or consider funding ex-ante DRM activities, such as disaster preparedness, risk identification and/or risk reduction.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Find out if the country has development funds or social investment accounts (or equivalent financial instrument). 2. Review that the regulations governing the operation of development funds or equivalent financial instruments enable them to finance or co-finance at least one ex-ante DRM activity. 3. Finally, verify that the aforesaid fund or financial instrument has been allocated resources (either a balance from previous periods or from the current fiscal year). 	
Link to other indicators	
GF-2-5	The fund or equivalent mechanism enabled to finance <i>ex-ante</i> disaster risk management activities could be national development funds.
Description of the minimum situation required to consider the indicator met	

To meet this indicator, the following conditions must be met:

- Existence of at least one national development fund or social investment account (or equivalent financial instrument).
- At least one of the existing national development funds or social investment accounts (or equivalent financial instrument) is legally entitled to finance or co-finance at least one *ex-ante* disaster risk management activity.
- The identified development fund has been allocated resources (either a balance from previous periods or from the current fiscal year).

It is worth mentioning that for the purposes of this indicator, budget lines with the name of Fund or similar are not considered as funds. The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose).

In order to comply with the indicator, it is not enough that the creation of the fund is established by current regulations. It is essential that the fund is fully operational, that is, it has a balance of resources, even if they are from previous periods.

The justification of the indicator should detail the type of *ex ante* actions that are possible to be financed by the identified fund.

In the event that the indicator is not met, the justification should list, where appropriate, the main funds consulted.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Colombia 2013. Law 1606 of December 21, 2012, which decrees the budget of the general system of royalties for the period from January 1, 2013 to December 31, 2014 (GF-2-8a) includes resources, among others, for (i) Support for integrated risk management and strengthening of disaster prevention and response agencies in the Department of Caquetá and (ii) risk management (for the OCAD South Central Region).

Mexico 2014. One of the funds with the most resources is the Metropolitan Funds, which received an allocation in the 2013 PEF of \$8,616,058,106.00. The purpose of the Metropolitan Fund according to the AGREEMENT issuing the Rules of Operation of the Metropolitan Fund, published in the DOF on April 11, 2011 (GF-2-8a), in its section III, paragraph b, is "...*The viability and reduction of vulnerability or risks due to natural and environmental phenomena and those caused by demographic and economic dynamics...*".

Examples of non-compliance in countries of the region

Ecuador 2016. No evidence was found of the existence of development funds with these conditions. It is worth mentioning that many special funds have been eliminated. In 2009, through the Organic Law for the Recovery of the Public Use of the State's Oil Resources, published in Official Gazette No. 308 of April 3, 2008, approved by the Constitutional Assembly, oil funds were eliminated and their resources were incorporated into the General State Budget (PGE for its acronym in Spanish). On the other hand, the thirtieth transitory provision of the 2008 Constitution of the Republic of Ecuador, published in Official Gazette No. 449 of October 20, 2008, established the liquidation of the Solidarity Fund. On the other hand, no evidence was found of the existence of funds authorized for the financing or co-financing of ex ante disaster risk activities in the legal framework composed of various regulations governing DRM in the country, including (i) Constitution of the Republic of Ecuador 2008, published in Official Gazette 449 of October 20, 2008; (ii) Law of Public and State Security, published in Official Gazette No. 35 of September 28, 2009; (iii) Regulations to the Law of Public and State Security, Executive Decree 486, published in Official Gazette Supplement 290 of September 30, 2010; and (iv) Good Living, National Plan 2013 -2017, Everybody Better, Official Gazette Supplement 78 of September 11, 2013. The lack of development funds authorized to finance or co-finance ex-ante disaster risk management activities was ratified by the Ministry of Economy and Finance.

Code GF-2-9

Closed-ended question	
9. Are there budgetary incentives for territorial management units to implement <i>ex ante</i> actions in disaster risk management?	
Indicator Overview	
<p>It is important that the Territorial Management Units (TMU) promote and develop actions in disaster risk management (DRM), since it is in their jurisdictions where disasters occur. In that sense, it is considered a good practice to generate budgetary incentives, so that there is a financial instrument, such as a fund or a program within the budget to which the TMUs (at least those of lower hierarchy, such as municipalities or equivalent) can present proposals aimed at implementing <i>ex ante</i> DRM activities.</p> <p>An "incentive" does not mean an obligation to program a line item in the national budget, but rather that there is a mechanism that represents budgetary advantages or <u>additional</u> funding for TMUs if they carry out these ex-ante DRM activities</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify in the national budget, or in some fund or program, at least one case of incentives directed to the TMU (at least for the lowest ranking ones), so that they obtain additional resources to those programmed in their budgets to carry out at least one ex-ante DRM activity. 2. Investigate in the regulations related to national DRM and development funds the existence of budgetary incentives for territorial management units to implement <i>ex ante</i> disaster risk management activities. 3. Verify that, among the requirements established in the financial instrument through which the budget incentive can be accessed, it is explicitly established that in order to have access to the incentives, <i>ex ante</i> DRM activities must be carried out. 4. Verify that the identified budgetary incentive has allocated resources (either a balance from previous periods or from the current fiscal year). 5. If necessary, consult the authorities of the treasury, economy or finance, planning for development, and territorial planning, particularly their budget and investment areas. It may also be relevant to consult the governing institution of the DRM on compliance with this indicator. 	
Link to other indicators	
<p>GF-2-5 GF-2-8</p>	<p>The verifiable data used to support compliance with these indicators could also support this indicator if any of these funds (or equivalent financial instrument) were empowered to allocate resources, in the form of <u>incentives</u>, to territorial management units to implement <i>ex ante</i> DRM actions.</p>
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, at least one financial instrument must be identified that allows for the allocation of resources in the form of incentives to TMUs (at least for the lowest TMU ranking), which have as a condition the performance of at least one *ex-ante* DRM activity. Likewise, it must be verified that it has resources assigned (either a balance from previous periods or from the current fiscal year).

The justification should clearly detail how the incentive is made effective, as well as the *ex-ante* DRM activities related to such incentives.

The mere existence of a law establishing the need to encourage territorial investment in DRM does not support compliance with the indicator, unless the incentive has been created and is operational.

Nor can this indicator be verified through the existence of loan contracts that include resources for DRM for the territorial management units, unless figures are included that provide incentives for the territorial management units to access these loan resources.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Peru 2013. Law No. 29332, which creates the Plan of Incentives for the Improvement of Municipal Management, of March 19, 2009 (GF-2-9a), a law that was amended by Emergency Decree No. 119-2009, which amends articles of Laws No. 29332 and 29465 and dictates extraordinary measures for financing the continuity of investments during Fiscal Year 2010, of December 23, 2009 (GF-2-9b) and which has been incorporated into the Public Sector Budget Laws of the following years. This plan includes among its objectives the prevention of disaster risks, as evidenced in Article 2 (aims and objectives of the incentive plan) of Supreme Decree No. 002-2013-EF (GF-2-9c).

Examples of non-compliance in countries of the region

Bolivia 2015. The Law amending Law No. 2140 for risk reduction and attention to disasters and/or emergencies, Law No. 2335, of March 5, 2002, stipulates in its article 6 that "It will be considered, in the evaluation of the projects subject to financing from FORADE resources, the proportion of own resources, assigned by the Prefectures and Municipalities to works of prevention and mitigation of risks in their budgets and in the project, study and research dedicated to the reduction of vulnerabilities and processes of training and diffusion tending to form a culture of prevention". The above is reinforced by another regulation: The Framework Law of Autonomies and Decentralization "Andrés Bóñez", Law No. 031, dated July 19, 2010, which establishes in Article 100 concerning Risk Management and Attention to Natural Disasters, in paragraph I referring to the competences of the central level of the State, in paragraph 8 as competence "To design and establish incentive policies to guarantee a sustained decrease in the existing risk levels in the country". It is worth mentioning that the same law establishes these competencies at the level of departmental and municipal governments. However, the condition is negative, since these incentives do not have a budgetary reflection

Code GF-2-10

Closed-ended question	
10 Are there budgetary incentives for the different sectors (ministries) to implement ex-ante disaster risk management actions?	
Indicator Overview	
<p>It is important that, within the framework of Disaster Risk Management (DRM) mainstreaming, the different sectors develop, program and execute <i>ex-ante</i> DRM actions, since ministries or secretariats of state are responsible for the administration of assets under the fiscal responsibility of the state that may be affected by disasters.</p> <p>In this sense, it is considered a good practice to generate budgetary incentives, so that there is an instrument, such as a fund or program within the budget, to which sectors can submit funding proposals aimed at implementing <i>ex ante</i> DRM activities. This, in the understanding that an "incentive" does not mean an obligation to program an item in the national budget, but that there is an option through a financial instrument that represents budgetary advantages to the sectors and/or <u>additional</u> funding to carry out these <i>ex ante</i> DRM activities.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify in the national budget, or in any fund or program, at least one case of incentives directed to one or several sectors, so that their respective ministries or secretariats of state obtain <u>additional</u> resources to those programmed in their budgets to carry out at least one <i>ex-ante</i> DRM activity. 2. Investigate both the DRM regulations and the budgetary regulations for the existence of budgetary incentives, funds or programs for sectors to implement ex ante disaster risk actions. 3. Consult the authorities, whether they are the tax authorities, the economic or financial authorities, or if necessary, the national development planning authorities, particularly in the areas of budget and investment. The DRM governing body could also be consulted on compliance with this indicator. 4. Consult with the ministries that present greater progress in DRM in the country, the existence of budgetary incentives, funds or programs to implement ex ante actions in disaster risk management. 5. Verify that, among the requirements established in the financial instrument through which the budget incentive is accessed, it is explicitly established that in order to have access to the incentives, <i>ex ante</i> DRM activities must be carried out. 6. Verify that the identified budgetary incentive has allocated resources (either a balance from previous periods or from the current fiscal year). 	
Link to other indicators	
GF-2-5 GF-2-8	The verifiable used to support compliance with these indicators could be empowered to allocate resources, in the form of incentives, to sectors or ministries to implement ex ante DRM activities
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the country must have at least one instrument that allows the allocation of resources in the form of incentives for the sectors, which have as a condition for carrying out *ex-ante* DRM activities. It must also verify that it has allocated resources (either a balance from previous periods or from the current fiscal year).

The justification should clearly detail how the incentive is made effective, as well as the *ex-ante* DRM activities related to such incentives.

This indicator cannot be validated by the mere existence of a law establishing the need to encourage sectoral investment in DRM, unless the incentive has been created and is operational.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no examples of compliance with this indicator in Latin America and the Caribbean, according to the results of the iGOPP applications carried out until 2019, when this protocol was developed. In no case was evidence found of any regulation that encourages sectors or ministries to carry out *ex ante* disaster risk management actions.

Examples of non-compliance in countries of the region

Costa Rica 2014. In an interview with the Planning and Evaluation Unit of the National Commission for Risk Prevention and Emergency Assistance (CNE for its acronym in Spanish), it was stated that there are no budgetary incentives for the different sectors to implement disaster risk management actions. It is worth mentioning that Law 8488 of 2005 "National Law on Emergencies and Risk Prevention" establishes in Article 45, related to budgetary provision for risk management and emergency preparedness, that *"All institutions and public enterprises of the State and local governments shall include in their budgets a budgetary item destined to develop prevention and preparation actions for emergency situations in areas of their competence"*, which is not a budgetary incentive.

Code GF-3-1

Closed-ended question	
1. <i>Does the national regulation on Disaster Risk Management establish that disaster risk management must be controlled by the respective authorized organizations?</i>	
Indicator Overview	
<p>The public function of control, auditing, oversight, comptrollership, etc., executed by national control bodies, audits or comptrollerships or any other equivalent institution, is aimed at monitoring the legality of management, the effective and transparent use of public resources and compliance with budgets, plans and programs.</p> <p>Despite the fact that the legal framework of the public control function already implies its exercise in all areas of national or federal public administration, this indicator recognizes as good practice that the national regulations on Disaster Risk Management (DRM) should explicitly indicate those aspects of legality, expenditure and finance, operation, compliance with goals or objectives, etc., that should be audited by the national bodies of control.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify national regulations and policy instruments that regulate DRM at the national level (law, regulation, national DRM policy or plans, among others). 2. Verify whether such national DRM regulations provide that all of their tasks and/or mandates, or some in particular, are subject to oversight by national control entities. 3. Investigate whether within the national regulations on DRM any regulations or decree has been issued, after the publication of the national regulations, in which new tasks in the matter are assigned to a national control entity. 4. If necessary, meet with the representative of the DRM lead institution about compliance with this indicator. 	
Link to other indicators	
GF-1A-1 GF-1A-2 GF-1A-3	The DRM regulations or policy instruments identified in these indicators may contain what this indicator is about.
GF-3-3 RI-3-5 RR-3-2 DP-3-2 DR-3-3 RC-3-2	In the preamble or considerations of the reports made by the national control entity on any of the components of DRM, information could be found on the DRM regulations that enable the control entity to carry out the control of these components.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the identified national DRM legislation must explicitly establish that at least one of its tasks and/or mandates will be subject to inspection by a national control entity.</p> <p>Compliance with the indicator is accepted when the identified regulation mandates the inspection by the corresponding control entity of at least one of the DRM components. For this indicator, national control entities shall not be understood as an internal control or audit department of the DRM governing entity.</p>	

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Examples of compliance in countries of the region

Costa Rica 2014. Law No. 8488, National Law on Emergencies and Risk Prevention of October 27, 2005 (GF-3-1a), in its Chapter IV, Article 28, establishes the responsibility of the Comptroller General of the Republic and the internal audits of public institutions to monitor the application of regulations to manage the causes of risk and the prevention actions carried out by the institutions in their respective budgets.

Peru 2013. Law No. 29664, which creates the National System of Disaster Risk Management (SINAGERD for its acronym in Spanish), of February 8, 2011 (GF 3-1a) establishes among the guidelines of the National Disaster Risk Management Policy in Article 5, section 5f, "The integration of control measures, accountability and citizen auditing to ensure transparency in the implementation of actions, as well as to promote development processes with criteria of responsibility for the risk". On the other hand, Supreme Decree No. 048-2011-PCM, which approves the Regulation of Law No. 29664, which creates the National System of Disaster Risk Management (SINAGERD), of May 25, 2011 (GF 3- 1b), contains in the Second of its Final Complementary Provisions the indication that the aspects related to infractions and sanctions linked to administrative and functional responsibilities are governed in accordance with the provisions of the Organic Law of the National Control System and the Comptroller General of the Republic, and extends the powers in the process to sanction in matters of functional administrative responsibility.

Examples of non-compliance in countries of the region

Honduras 2014. Although the SINAGER Law, considers in its Article 24.- RISK ASSESSMENT AS A SOCIAL LEARNING PROCESS that SINAGER may establish agreements or arrangements with the "National Human Rights Commissioner, the Superior Audit Court, the National Anti-Corruption Council, the Institute of Transparency and Access to Public Information, and other state agencies, to establish with them the control and follow-up mechanisms of the provisions related to the prevention and reduction of risk in the country", these agreements or arrangements, as they are not mandatory, do not allow for the positive compliance of this indicator.

Guatemala 2013. No specific DRM regulations were found that establish that Disaster Risk Management must be controlled by the General Comptroller's Office, which is the country's comptroller. It should be noted that the Regulations of the CONRED Law, approved in 2012 by Agreement N° 49- 2012, establish in Article 36 the creation of a General Inspectorate, but that it is constituted as an internal control body, which responds to the Superior Office of the SE-CONRED, and therefore cannot be considered as an external control body, as the indicator requires it.

Code GF-3-2

Closed-ended question	
2. Are there regulations regarding transparency or access to public information in public management applicable to DRM?	
Indicator Overview	
<p>The functioning of public administration is not currently conceived if it is not accompanied by the political will to make public the information generated in the course of its work. To this end, countries are developing regulations on transparency or access to public information, which stipulate the ways to comply with this premise.</p> <p>Disaster Risk Management (DRM) finds in the policy of transparency or access to public information an element in favor of the fulfillment of its objectives, since it allows the population to have a wider knowledge of what DRM implies, the role played by the authorities in such public policy and it can also provide knowledge about possible prevention and self-protection measures to the population that is exposed and vulnerable to a certain degree. In addition, the regulations on transparency, access to public information, anti-corruption and accountability offer a fundamental opportunity to reduce the elements that generate risk linked to corruption and to the incorrect application of existing regulations and procedures.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of regulations on transparency, access to public information or anti-corruption that consider all areas of public management. 2. If necessary, interview representatives of the DRM lead institution about compliance with this indicator. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be at least one regulation in force that establishes the principles of transparency, access to public information or anti-corruption in public management that is applicable to DRM or the institution in charge of DRM.</p> <p>For compliance, it is not necessary for the identified regulations to make explicit mention of DRM or its components, but it must be applicable at least to the institution that is in charge of DRM.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Nicaragua 2016. Law No. 621, Law of Access to Public Information, approved on May 16, 2007, published in La Gazette No. 235. *The purpose of this law is to regulate, guarantee, and promote the exercise of the right of access to public information in documents, archives, and databases of public entities or institutions, mixed companies, and those subsidized by the State, as well as private entities that administer, manage, or receive public resources, tax benefits, or other benefits, concessions, or advantages. "*

Examples of non-compliance in countries of the region

Belize 2017. The *Belize Constitution Act*, in its Chapter 4 on the Substantive Laws of Belize, revised edition in 2011, does not refer to the transparency requirements imposed on the Executive, Legislative and Judicial branches. No legislative instruments have been found that promote the transparency. Therefore, the condition is considered not fulfilled.

Code GF-3-3

Closed-ended question	
3. Has the national controlling entity carried out at least one compliance assessment on the existing regulations on disaster risk management in the last 5 years?	
Indicator Overview	
<p>The existence of an external control mechanism on the national entity responsible for coordinating DRM and/or on the mandates of DRM regulations can generate greater transparency in the identification and application of control and adjustment mechanisms. The aim is for the national entities responsible for this type of control and general state audit processes to integrate the analysis of DRM regulation implementation into their processes.</p> <p>Assessments on issues not explicitly related to DRM regulations, such as assessments on contractual procedures in case of disaster, are not included in this analysis.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the national controlling entity or entities. 2. Review the program or reports of audits or audits carried out by the national controlling entity in the last 5 years. 3. Find out if the identified reports relate to the verification or evaluation of compliance with the DRM regulations in force in the country. 4. Consider among the possible verifiable reports of the comptroller on disaster management after a catastrophic situation. These reports could address issues related to any of the DRM components defined in the national regulations (response preparedness, risk assessment, prevention and reduction, recovery, risk transfer as appropriate), and not only by the response processes. 5. If necessary, meet with representatives of the national controlling entity and the national institution in charge of DRM on compliance with this indicator. 	
Link to other indicators	
RI-3-5 RR-3-2 DP-3-2 DP-3-3 RC-3-2	The addition of the available reports on the different DRM components established in the DRM regulations would allow compliance with this indicator.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be at least one evaluation report, prepared by a national control body, on compliance with at least one <i>ex-ante</i> component considered in the national DRM regulations, and that report must have been prepared within the last 5 years.</p> <p>For the verification of this indicator, evaluations conducted by the control entity on disaster response and recovery actions cannot be considered.</p> <p>The justification should detail the DRM issues and components that have been considered in the available reports.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	

Examples of compliance in countries of the region
<p>Costa Rica 2014. Report No. DFOE-PGAA-IF-17-2010 of July 15, 2010, by the Division of Operational Control and Evaluation at the Office of the Comptroller General of the Republic, on the Limitations of the Management of the National Commission for Risk Prevention and Emergency Response (CNE for its acronym in Spanish) in the Coordination, Supervision and Control of Emergency Response in the Rehabilitation and Reconstruction Phases (GF-3-3a). Likewise, Report No. DFOE-PGAA-IF-15-2009 of September 3, 2009, from the same auditing division, on the Management of the National Commission for Risk Prevention and Emergency Care in the Area of Prevention (GF-3-3b), are examples of compliance with the indicator when evaluating the management of the CNE in its functions and not in auditing expenditures in certain emergencies.</p>
<p>Colombia 2013. In July 2012 the General Comptroller of the Republic published the Report on the state of natural resources and the environment. 2011-2012 (GF-3-3a), in which an evaluation is made of the performance of both national and territorial entities in the area of Disaster Risk Management for the aforementioned period. In addition, several departmental comptrollers have issued "warning functions" in 2013. The case of the GC of Putumayo is presented as verifiable to the Governor and the municipal mayors regarding compliance with the provisions of Law 1523 of April 24, 2012 in relation to compliance with disaster risk management regulations (GF-3-3b). NOTE: at least 10 departments are carrying out these actions at the time of applying the iGOPP (August and September 2013).</p>
Examples of non-compliance in countries of the region
<p>Uruguay 2015. No evidence was found from evaluations conducted by the Court of Accounts on compliance with Uruguay's DRM regulations. Only an external evaluation by Tea Deloitte and Touche of Project URU-08-007 "Strengthening the Departmental Capacities of the National Emergency System" was found, which does not fall within the scope of this indicator. It was also mentioned by the SINAE Technical Coordination during the iGOPP implementation mission that the National Congress requested reports from the Presidency on a couple of occasions that included information about the SINAE, but that did not imply an evaluation of the existing regulations on DRM.</p>
<p>Chile 2013. No evidence was found that there is a risk management regulation in the country or that this type of assessment has been carried out on the current civil protection regulations. It is known that another series of evaluations have been carried out, particularly on administrative processes of the National Emergency Office of the Ministry of the Interior (ONEMI for its acronym in Spanish) for emergency situations, but not with respect to regulatory compliance, or the implementation of processes characteristic of risk management.</p>

Code GF-3-4

Closed-ended question	
4. Has the national disaster management coordinating entity conducted a disaster management assessment in the country over the past 3 years?	
Indicator Overview	
<p>This indicator assesses whether the national DRM coordinating entity has conducted, in the last 3 years, an assessment of the national DRM regulations in the country, either as a whole or on one of the DRM components (with the exception of the preparation and response processes which will be the subject of another indicator), since in this way, on the basis of reflection and self-assessment, progress, obstacles and challenges are identified in order to achieve the results that are outlined in the DRM regulations. The assessment should be conducted by the national DRM coordinating entity itself or under contract or agreement with a third party, so the results of the assessment should be officially endorsed by the DRM coordinating entity in the country.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Inquire with the national DRM entity about conducting at least one evaluation of the DRM components in the last 3 years in the country. 2. The evaluation can be on any of the components of DRM, except for preparedness and response, as this process is the subject of another indicator in the iGOPP. 3. This indicator accepts a self-evaluation as a support for compliance, i.e., it does not necessarily require an external evaluation. 4. If necessary, meet with the representative of the DRM lead institution about compliance with this indicator. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be evidence of at least one evaluation report on any of the components of DRM, other than preparedness and response, prepared by or under the auspices of the national DRM coordinating entity in the last 3 years.</p> <p>In order to positively validate this indicator, the Sendai Framework progress reports, CADRI (Capacity for Disaster Reduction Initiative) reports and similar, or evaluations on the Implementation of the National DRM Plan, Policy or Strategy are accepted.</p> <p>The justification should detail the components of the DRM that have been considered in the identified document(s).</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Chile 2013. The National Emergency Office of the Ministry of Interior (ONEMI for its acronym in Spanish) requested the Secretariat of the United Nations International Strategy for Disaster Reduction (UN-ISDR) to conduct a country assessment. This evaluation was carried out and generated a report with the results of the United Nations Inter-Agency Mission that was developed from October 25 to November 3, 2010, called "Diagnosis of the Risk Reduction Situation in Chile (GF-3-4a)

Examples of non-compliance in countries of the region

Bahamas 2017. No evidence was found of the existence of an official assessment report produced by NEMA in the last three years. The iGOPP team researched the NEMA website and other relevant portals, such as the Prevention website and the CDEMA website, and no DRM reports were found. This was confirmed in interviews with NEMA staff and the Office of the Auditor General.

Code GF-3-5

Closed-ended question	
5. Are there any national regulations that establish a mechanism for civil society participation applicable to disaster risk management?	
Indicator Overview	
<p>The fact that some national regulations include social participation criteria gives a quality attribute to disaster risk management (DRM), since it serves both as a control system over planned actions, as well as over the quality of executed activities.</p> <p>The participation of civil society can be specified with the permanent participation of representatives, among others, of academic institutions, representatives of the private sector, representatives of NGOs and / or foundations. Likewise, the participation mechanisms may correspond to any formal instance established in the regulations such as platform, commission, committee, etc.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Inquire about the existence of existing mechanisms or platforms in the country where you have considered civil society or private sector representation to discuss and make decisions on issues related to the components of DRM. 2. Investigate the regulations that support the mechanisms or platforms identified, whether they are specific to DRM, citizen participation or other types. 3. If necessary, meet with the representative of the DRM lead institution about compliance with this indicator. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be regulations supporting the establishment or functioning of at least one civil society participation and consultation mechanism at the national level that includes community-based organizations, civil society and/or the private sector in DRM and that meets or is established for exchange and/or decision-making on a regular basis.</p> <p>The indicator will not be considered met through the existence of mechanisms or platforms that address issues related exclusively to emergency preparedness and response component, such as a local emergency committee, an emergency operations center or a civil protection committee, if the latter only addresses preparedness and response issues. The justification should provide information on the name of the body where civil society participation takes place, as well as the institutions that participate under this category, and the activities and components of DRM in which they have the opportunity to participate.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	

Examples of compliance in countries of the region

Argentina 2014. In Argentina there is a National Platform for Disaster Risk Reduction (PNRRD for its acronym in Spanish), created in October 2007. This platform is defined as a body empowered in the context of the Hyogo Framework for Action and brings together a variety of institutions (national government agencies, civil society organizations, the academic sector, some provincial representatives and the private sector). The PNRRD is co-coordinated by the White Helmets Commission (part of the Ministry of Foreign Affairs) and by the Provincial Undersecretariat for Development and Promotion (under the Ministry of the Interior and Transport) and has held systematic meetings since 2007 (last registered July 2012) (GF-3-5a). It is important to mention that, unlike other international agreements, the Hyogo Framework for Action has not been ratified by a national law.

Panama 2014. The PNGIRD, approved by Decree No. 1101 of December 30, 2010 (GF 3-5a), published in the Official Digital Gazette No. 26698-C on January 11, 2011, establishes in Chapter VII, Section C (Control and Follow-up), the organization of an open forum with the participation of the public sector, civil society, private sector, academy and media, as a "*consultation mechanism for the implementation of the Policy*". In line with the PNGIRD mandate, the National Comprehensive Disaster Risk Management Policy Forum was held on May 16, 2013. The text of the PNGIRD (GF 3-5b) and the Forum's reports are included as evidence of compliance with the condition (GF 3-5c).

Examples of non-compliance in countries of the region

Peru 2013. In an event held by CENEPRED on January 16, 2012, a National Forum on Advances and Perspectives of Disaster Risk Management was established with the Sectors, Regional Governments, Local Governments, Scientific Technical Institutions and International Cooperation entities regarding Prospective Management and Corrective Risk Management. One of its specific objectives was: "*to establish the most efficient coordination, participation and articulation mechanisms aimed at presenting the institutional technical mechanisms for the adequate implementation of the processes of prospective and corrective management of disaster risks*". However, this Forum has not been endorsed by legal regulations, so it is not considered as an established civil society participation mechanism on a permanent basis.

B. RISK IDENTIFICATION AND KNOWLEDGE (RI)

RI-1A-1 Code

Closed-ended question	
1. <i>Are there regulations to designate a national actor responsible for providing technical assistance and guidelines to sectors and territorial management units for disaster risk analysis?</i>	
Indicator Overview	
<p>This indicator gives importance to the fact that there are regulations that provide for the existence of a technical body, with competence, budget and structure, whose functions include carrying out comprehensive disaster risk studies (with their hazard, vulnerability and exposure components), as well as establishing guidelines, criteria, standards, parameters, etc., that serve to quantify and qualify disaster risk analysis, and in that context provide assistance and guidelines to the sectors and territorial management units existing in the country.</p> <p>This instance should not be confused with specialized scientific or technical entities responsible for monitoring and/or specific studies on natural phenomena and hazards (such as, for example, geology or hydrology institutes or services), since the indicator asks for an instance that addresses risk analysis in an integral manner, considering not only natural hazard information but also exposure and vulnerability aspects.</p> <p>As in other components of risk management, there may be a national entity in charge, for example, of "territorial studies". In such cases, it is necessary to verify whether the regulations of this entity consider risk analysis and the other attributes for which this indicator is being investigated.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of regulations that have a national body to study (analyze) the risk of disasters integrally. 2. Verify that the identified entity has been assigned responsibilities in these regulations to provide technical assistance and guidelines for disaster risk analysis to existing sectors and territorial management units in the country. 3. Discard the cases of institutions that carry out scientific or technical studies on dangerous natural processes, that is, that focus only on the studies of the threats or hazards. 4. Review the regulations on territorial studies, or those associated with Land-use-planning. It is possible that within the framework of the Land-use-planning, a research or territorial analysis institute has been created in charge of basic studies. In these cases, it should be verified whether the regulations explicitly include disaster risk analysis among their functions and provide technical assistance and guidelines to the sectors and territorial management units for disaster risk analysis. 5. If necessary, meet with a representative of the DRM lead institution about compliance with this condition 	
Link to other indicators	
GF-1A-1	National regulations establishing the framework of responsibilities for disaster risk management can identify the national actor responsible for providing technical assistance and guidelines for disaster risk analysis.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the regulations identified must designate a national actor responsible for promoting disaster risk analysis in the country as a process that assesses potential damage in advance, and for providing technical assistance and guidelines to territorial management units and sectors for the development of these activities within their areas of competence.

The justification should identify the name of the actor, the functions assigned to it and, if any, some of its tools and standards or guidelines for risk analysis by the sectors and territorial management units.

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Examples of compliance in countries of the region

The Regulations to the Law on Public and State Security, published in the Official Gazette Supplement 290 of September 30, 2010 (last amendment 14 July 2014) (RI-1A-1a), establish in Article 3: *"The National Secretariat of Risk Management is the governing and executing body of the National Decentralized Risk Management System. Within the scope of its competence, it is responsible for: a) Identify natural or human risks, in order to reduce the vulnerability that affects or may affect Ecuadorian territory; b) Generate and democratize access and dissemination of sufficient and timely information to properly manage risk; ...d) Strengthen the capacity of citizens and public and private entities to identify the risks inherent in their respective fields of action".* To exercise this mandate, the Secretariat for Risk Management has created, as part of its organizational structure, the Undersecretariat for Information Management and Risk Analysis, which, according to the Risk Management Committee Manual issued in 2014 (RI-3-6), focuses on *"generating and applying methodologies, standards and other tools for the analysis and use of information and knowledge in the identification and reduction of risks and in the implementation of prevention and mitigation plans, programs and projects.* The Risk Management Committee Manual also states that the "Zonal Coordination and Risk Management Zonal Directorates" are part of the decentralized structure, the latter integrates the Units of Risk Analysis, Risk Management Training, Adverse Event Preparation and Response, and Adverse Event Monitoring". The governing and coordinating mandate of the Risk Management Secretariat (SGR for its acronym in Spanish) covers the entire Decentralized Risk Management System, which, in accordance with Article 13 of the Regulations of the Public and State Security Law, Article 19, is composed of the risk management units of all public and private institutions at the local, regional and national levels. During the mission's visit to the SGR in mid-November 2016, it was possible to see the advisory role of the Undersecretariat for Risk Analysis and to read the requests sent by local governments to the SGR for support with risk assessment of works to be implemented by local authorities.

Examples of non-compliance in countries of the region

Uruguay 2015. There is no regulation that designates a person responsible at the national level to provide technical assistance and guidelines at territorial and sectoral levels for disaster risk analysis. The National Advisory Commission for Risk Reduction and Disaster Response could assume this role, but Law 18.621 that creates the NATIONAL SYSTEM OF EMERGENCIAS which regulates the actions of this Commission does not explicitly establish it: *"It is a technical and advisory commission presided over by the National Director of Emergencies, with physical scope of action in the National Direction of Emergencies, integrated by representatives of the maximum technical level of the Executive Power, the autonomous entities, the decentralized services, the Congress of Intendants, and public and private institutions of investigation and teaching"*. Its competences are: "A) To propose prevention and support studies, in reference to the activities in charge of the National System of Emergencies. B) To integrate advisory commissions on specialized topics, made up of technical, scientific, academic and research organizations. C) To propose measures or actions for the reduction of existing vulnerability. D) To propose plans for risk control, in order to maintain the same socially acceptable levels. E) Validate the training and education activities carried out by entities not subject to the supervision of the National Advisory Commission, in order to enable the integration of human resources into the system. F) To formulate, with the support of the National Directorate, proposals on policies, strategies, regulations and national plans for risk reduction and emergency management".

Chile 2013. No evidence was found that there are regulations designating a national actor responsible for providing technical assistance and guidelines at territorial and sectoral levels for disaster risk analysis, which was confirmed by staff of the National Emergency Office (ONEMI for its acronym in Spanish) and personnel of technical agencies (National Geology and Mining Service and the Geophysics Department of the University of Chile), technical agencies of the National Civil Protection System, who ratified that there are no such provisions.

Code RI-1A-2

Closed-ended question	
2. Are there regulations to designate a national actor responsible to define methodologies for the elaboration of studies on the effects of climate change?	
Indicator Overview	
<p>This indicator attaches importance to the fact that there are regulations that provide for the existence of a technical body, endowed with competence, budget and a structure, which among its functions is to define methodologies to carry out studies and research on the effects of change climate (CC), so that they are useful to the sectors, territorial management units and other possible stakeholders.</p> <p>It could be the case that these functions are assumed by institutions attached to the environmental or hydro meteorological sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of regulations that establish a national body as responsible for studying (analyzing) the effects of climate change. What is interesting is to verify if as part of this analysis the "probable effects" of climate change are studied, that is to say, it is not only a question of physical studies on climate but on its potential effects. 2. Review whether the environmental regulations or specific regulations on climate change that may exist in the country designate a national actor responsible for defining methodologies for the preparation of studies on the effects of climate change. 3. Analyze national communications, reports or resolutions that support international agreements on climate change; these usually include a description of the national legal and institutional framework for the CC. 4. If necessary, meet with a representative of the leading institution in the environmental sector about compliance with this indicator. 	
Link to other indicators	
RI-1A-1	Review whether the regulations considered for this indicator also establish responsibilities for studies on the likely effects of climate change.
GF-1A-7 RI-1B-2 RI-3-2	Review whether any of the regulations considered for these indicators designate a national actor responsible for the definition of methodologies for the elaboration of studies on the effects of climate change.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the identified regulations must explicitly designate a national body responsible for defining methodologies for the preparation of studies on the effects of the CC. It will also be considered fulfilled when the regulations designate an institution responsible in the country for carrying out studies on the probable "effects" of the CC (Note: it must be expressly "effects", not climate studies per se or climate scenario studies).</p> <p>The justification should identify the name of the actor, the functions assigned to him/her and, if any, one of the tools and standards or guidelines to carry out the studies of the effects of the CC.</p>	

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Examples of compliance in countries of the region

Ecuador 2014. The Organic Statute of Management by Processes of the Ministry of the Environment approved in 2012 by its head (RI-1A-2) establishes within the organic structure of this State portfolio, in numeral 7.3, the Undersecretary of Climate Change whose mission is *"to lead the country's mitigation and adaptation actions to face climate change; including facilitating the implementation of technology transfer, financing and communication mechanisms"*. The duties and responsibilities of this Undersecretariat include: *"f) Direct the generation and management of updated information on the causes and impacts of climate change in Ecuador" and "m) Coordinate research for the organization and execution of plans, climate change programs and projects "*.

Examples of non-compliance in countries of the region

Peru 2013. At a general level, the Ministry of the Environment (MINAM for its acronym in Spanish) is the national environmental authority in Peru created by Legislative Decree No. 1013 of May 2008. MINAM has a General Directorate for Climate Change, Desertification and Water Resources (DGCCDRH for its acronym in Spanish). Although for the Second National Communication on Climate Change, SENAMHI was responsible for preparing climate change scenarios at the national level for the year 2030, determining the relationship between climate change, the retreat of glaciers and the impact on water availability in Peru, and strengthening the National Climate Observation System (SNOC for its acronym in Spanish), there are no regulations that state that SENAMHI is responsible for providing this service at the territorial and sectoral levels. SENAMHI was created by Decree Law No. 17532 of 1969. The Organic Law of SENAMHI is Law 24031 of 1984. Article 4, paragraph (d), establishes the responsibility of advising and providing technical support to public and private entities on issues related to SENAMHI.

Colombia 2013. According to Article 217 of Law 1450 of June 16, 2011, by which the National Development Plan (PND for its acronym in Spanish) 2010-2014 is issued, it is the responsibility of the National Planning Department (DNP) with the support of the Ministry of Environment, Housing and Territorial Development (MAVDT for its acronym in Spanish) or whoever takes its place, *"to coordinate the formulation of the National Plan of Adaptation to Climate Change"*. In addition, the DNP, together with the MAVDT and IDEAM, will be responsible for the *"formulation of the methodology from which the public entities of the national order should incorporate a strategy for adaptation to Climate Change in their Sector Plans"*. The Ministry of Environment, Housing and Territorial Development, should support the territorial entities that require it, to develop their territorial adaptation plans (NOTE: in May 2011 the MAVDT was divided into two Ministries: the Ministry of Housing, City and Territory and the Ministry of Environment and Sustainable Development; the latter assumes the responsibilities of Law 1450 on CC). This regulation, however, does not make express reference to the responsibility of defining methodologies for CC studies, only to incorporate the topic in the sector plans, in addition the period of implementation is 4 years (PND), so the condition is not met.

Code RI-1A-3

Closed-ended question	
3. Are there regulations ordering the creation and maintenance of Disaster Risk Management Information Systems?	
Indicator Overview	
<p>It is considered a good practice in DRM public policy that there are regulations that establish the creation of Information Systems as instruments that allow the collection, storage, ordering, systematization and access of useful information to support the disaster risk management tasks promoted by the different actors. Due to the dynamic nature of disaster risk, it is necessary that these information systems be continuously maintained in order to have updated and relevant information.</p> <p>A Disaster Risk Management Information System should ideally integrate information related to the likely occurrence of physical events and the conditions of exposure and vulnerability of the population, infrastructure (at least public), and economic activities in the territory.</p> <p>These systems can be centrally managed at the national level, decentralized, with free or restricted access for certain types of users, and usually contain information at the local level. Additionally, they can be framed in data standardization initiatives within spatial data infrastructures. Likewise, the system can be a "subsystem" of other related systems, such as, for example, it could be a National Environmental Information System or a National Information System for National Planning that have a "disaster risk" module, or Similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze the regulations on DRM, territorial studies or others related to information systems or the environment. 2. Check whether the regulations provide for the creation and maintenance of information systems for the management of information useful for DRM work, which integrate data on the occurrence of natural events, conditions of vulnerability and/or exposure. 3. Discard records and information systems that exclusively record information on natural hazards and historical data on disasters and their effects. 4. If necessary, meet with a representative of the DRM lead institution about compliance with this condition. 	
Link to other indicators	
GF-1A-1 GF-1A-2 RI-1A-4 RI-3-1	Review whether the regulations used to verify these indicators include the creation of the information system for DRM.
RI-3-5	Verify whether the justification for compliance with this indicator refers to regulations that establish the creation of the information system for DRM.
Description of the minimum situation required to consider the indicator met	

In order for the indicator to be met, the identified regulations must explicitly establish the creation and maintenance of an Information System for Disaster Risk Management, in which, in addition to data on the behavior of natural hazards, information on the exposure and vulnerability of the population, infrastructure (at least public), and economic activities in the territory are integrated.

In the case that there are regulations that have effectively ordered the creation of such a system, but it has not yet been designed or implemented, the indicator must be considered fulfilled, since it is investigated by the regulations that create the system. If this is the case, the justification should include the institution in charge of managing the information system, the persons who can access the system, the possible deconcentrated nature of the system, and other relevant information on its operation.

This indicator cannot be verified with regulations that establish hazard or threat monitoring systems (climate or volcano observation and monitoring networks, for example), nor with information systems that record damage, emergencies or historical disasters.

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Examples of compliance in countries of the region

Bolivia 2015. Law No. 113 /2013-2014, RISK MANAGEMENT LAW , approved by the National Assembly on November 13, 2014 (RI-1A-3a), includes the Title on "Information and Warning Systems for Risk Management", established in Article 42 *"I. The INTEGRATED INFORMATION AND WARNING SYSTEM FOR DISASTER RISK MANAGEMENT (SINAGER-SAT for its acronym in Spanish) in charge of the Vice-Ministry of Civil Defense, is the information base on threats, vulnerabilities and risk levels or scenarios, of surveillance, observation and alert, of response capacity and risk parameters at the service of SISRADE, for decision making and risk management administration".* "The same article defines the components of SINAGER-SAT: *"the National System of Early Warning for Disasters (SNATD for its acronym in Spanish), the National Observatory of Disasters (OND for its acronym in Spanish), the Infrastructure of Spatial Data (GEOSINAGER for its acronym in Spanish) and the Virtual Library of Prevention and Attention to Disasters (BIVAPAD for its acronym in Spanish).* Finally, in article 47. (ARTICLE TO INFORMATION SYSTEMS), provides that: *"The institutions of the SISRADE and others related to risk management must articulate to the Information Systems established in this Law.*

Mexico 2014. The General Law of Civil Protection, published in the DOF on June 6, 2012 (RI-1A-3A) in its article 19 instructs: *"... Fraction XXI. Promote the implementation of a Risk, Danger and Vulnerability Information Subsystem that allows the population to be informed in a timely manner; XXII. Supervise, through CENAPRED, that the national risk atlas is created and kept updated, as well as those corresponding to the states, municipalities and delegations; ... The Atlas is integrated with information at the national, state, Federal District, municipal and delegation levels. It consists of databases, geographic information systems and tools for the analysis and simulation of scenarios, as well as disaster loss estimates. Due to the dynamic nature of risk, it should be maintained as an instrument of permanent updating..."*,

Examples of non-compliance in countries of the region

Ecuador 2016. The Risk Management Secretariat has an adverse event monitoring system that operates under the RMS Monitoring Directorate. According to the Risk Management Committee Manual issued by the RMS in 2014 (RI-3-6), the mission of the Monitoring Directorate has three axes: "a. To monitor and follow up on threats and adverse events using information from scientific and technical bodies in the country and abroad. b. To present possible scenarios and consolidated, orderly, timely and secure information to the competent authorities for decision-making. c. To ensure the permanent operation of the monitoring system and the conservation of information in both normal and crisis periods:" In the same way, the Manual details that the RMS's Monitoring Directorate is an integrated network that: "1. Receives and analyzes information from scientific and technical institutes on the evolution of threats, generates risk scenarios and other products and distributes them to decision makers following protocols established by the RMS. 2. Maintains a network with the actors of the decentralized national risk management system to collect and validate information on the evolution of adverse events. 3. Manages the information system on adverse events for data processing, product generation, information conservation and interconnection among decision makers". In the opinion of the consulting team, this system led by the MGS Monitoring Directorate is oriented to the monitoring of adverse events and does not constitute a risk management information system per se, since it is not evident that the system provides information on exposure and vulnerability of socioeconomic elements in the territory, but rather it is more focused on the monitoring of adverse events.

Chile 2013. No information on regulations ordering the creation and maintenance of Information Systems for Disaster Risk Management was located. It is worth noting that the United Nations (UN) carried out a diagnosis of the disaster risk situation in Chile in 2010. *Several institutions are disseminating information and data related to threats and risk, via their website and other channels. However, there is no national risk management information system that integrates multi-sectoral and geographic information. The existing mechanisms for accessing information, when it is possible to do so, do not correspond to the levels of development of the institutions, nor to the technological resources available in the country".*

Code RI-1A-4

Closed-ended question	
4. Are there regulations that establish the creation, systematization or updating of databases on the effects of disasters?	
Indicator Overview	
<p>A good practice in public policies on Disaster Risk Management (DRM) is to have databases on the effects, damages or impacts of disasters that have occurred. These databases make it possible to complement, based on the empirical evidence collected, risk assessment studies. Ideally, catalogues or databases should include data on the effects, damages or impacts of disasters, and not only a record of their occurrence and nature.</p> <p>The effects, damages or impacts of disasters are usually quantified in terms of the population and housing affected, the infrastructure (at least public) damaged, the impact on economic activities and/or the total amount of damages and losses.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze DRM regulations, those related to disaster preparedness, response or management processes, and any others that support DRM information systems. 2. Check the existence of any provision for the creation of catalogues, historical databases or information systems on the effects and consequences of disasters. 3. Confirm that the regulations instruct that these databases be systematized or updated permanently and systematically. 	
Link to other indicators	
GF-1A-1 RI-1A-4 RI-3-1	Review whether the regulations used to verify these indicators include the creation of databases on the effects of disasters.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must explicitly establish that there must be records, databases, information systems or equivalent on the effects, damages or impacts of disasters.</p> <p>If there are regulations that establish the creation of this database, even if it has not been designed or implemented, the indicator will be considered fulfilled, and this fact should be recorded in the justification, as well as informing how the database is updated. The justification should also include the name of the institution responsible for the creation and maintenance of the identified database and, if possible, detail the information recorded to quantify the effects of the disasters and since which year they have been recorded.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Colombia 2013. Law 1523 of April 24, 2012, which adopts the national policy for disaster risk management and establishes the National System for Disaster Risk Management and other provisions (RI-1A-4a), establishes in Article 45 that it is the responsibility of the National Unit for Disaster Risk Management to implement a national information system for disaster risk management that will allow, as provided in paragraph 6 of the same Article 45: "*Respond to the needs for information on the statistics of the effects and support provided by the National System for Disaster Risk Management in emergency situations*".

Examples of non-compliance in countries of the region

Peru 2013. Law No. 29664, which creates the SINAGERD, on February 8, 2011, Chapter V, Art. 54, mandates the Evaluation of Damages and Needs Analysis (EDAN), defined as a mechanism to identify and record, qualitatively and quantitatively, the "extent, severity and location of the effects of an adverse event. There is no talk of systematizing data on historical disasters as such, nor of environmental effects associated with local and recurring events (this is the spirit of this indicator, since the mandate to conduct damage assessments of the EDAN type is part of another indicator in the PD component of the IGOPP). On the other hand, there is the DesInventar database (updated to 2012 by the NGO PREDES). However, this database has not been formally recognized as an official source by SINAGERD, nor has it been established that it will be updated regularly, so it does not comply with the indicator.

Code RI-1B-1

Closed-ended question	
1. Are there regulations which establish that studies on the threat by geological events should consider the frequency of occurrence of such event along with the associated levels and intensities?	
Indicator Overview	
<p>This indicator recognizes the good practice of conducting threat studies of geological events (earthquakes, volcanoes, landslides, etc.) from a probabilistic approach, using existing data series for the estimation of geological hazards that may exist in the country.</p> <p>Probabilistic risk analyses define the so-called "loss exceedance curve", which represents the annual probability of exceedance (i.e., the inverse of the return period) of the parameters of intensity of natural phenomena in the different parts of the territory exposed to such threats. This means that, spatially, at each point of the territory, the frequency of occurrence of a parameter characterizing the intensity of the geological event should be counted, with this frequency represented by a probability distribution function.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze regulations on DRM, infrastructure assurance, financial protection against disasters and design of buildings against geological phenomena. 2. Confirm if any of these regulations establish the probabilistic analysis of the risk associated with geological events. 3. Meet with representatives of the national entity responsible for generating information on geological phenomena or, if one exists, with the institution responsible for providing technical assistance and guidelines for disaster risk analysis, to inquire about compliance with this indicator. 4. Discard those documents that refer to threat studies, without considering the frequency of occurrence associated with the levels of intensity of the events. 	
Link to other indicators	
RI-1A-1	If there is a national actor responsible for providing technical assistance and guidelines for disaster risk analysis, it is suggested that it be consulted on what this indicator asks.
RI-3-3	If there is a national entity responsible for generating information on geological phenomena, it is suggested that it be consulted on what the present indicator investigates.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must expressly establish the requirement of the probabilistic approach, meaning, that the frequency of occurrence associated with the levels of intensity be considered for at least one geological event relevant to the country.</p> <p>In case the probabilistic approach to geological risk studies is mentioned in guides or manuals, in order to comply with the indicator, the regulation and the articulation that supports it must be pointed out, as well as its mandatory use and compliance.</p> <p>Likewise, the justification should record the parameters used to characterize the intensity of the identified geological phenomenon.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Nicaragua 2016. The regulations that establish that threat studies due to geological events must consider the frequency of occurrence associated with the levels of intensity of the events are found in the Guide for Users, Risk Analysis and Incorporation of Preventive Management in Municipal Planning, prepared in the context of Credit Agreement No.3487-NI, "Reduction of Vulnerability to Natural Disasters in Nicaragua", approved April 23, 2001 with Presidential Agreement No. 129-2001 and updated through Technical Cooperation (TC) "Analysis and Incorporation of Disaster Risk Management in Municipal Planning in Nicaragua" (ATN/OC-12298-NI), approved in 2010". In its chapter 2, Subchapter 2.1, defines the methodology to be used for conducting hazard studies due to geological events and considers the frequency of occurrence associated with the levels of intensity of the events: Titles: 2.1.2 - Slope Instability Threat (pages 18-30); 2.1.3. Seismic Threat (pages 30-37); and 2.1.4. This Guide is the official methodological instrument used by SINAPRED to contract, review and approve studies of natural hazards.

Examples of non-compliance in countries of the region

Colombia 2013. In Colombia, the national level competence to produce information, studies and recommendations on geological hazards and risks is assigned to the Colombian Geological Service, whose functions are defined by Decree 2703 of 22 November 2013, which establishes the internal structure of the Colombian Geological Service (GSC for its acronym in Spanish) and designates the functions of its agencies. Article 9, on the "functions of the Directorate of Geo-threats", stipulates in paragraph 2: "To direct the activities leading to the study, analysis and assessment of threats of geological origin and regional and national impact on the national territory"; 3: "To direct, elaborate and disseminate the generation of methodological guides for the evaluation of geological threats with departmental and municipal effects, so that the territorial entities carry out the evaluation of geological threats"; 4: "To investigate, identify, characterize, monitor, evaluate, diagnose and model geological phenomena that generate threats". However, this regulation does not establish in a restrictive way that the studies in mention must consider the frequency associated with the levels of intensity of the events, nor does it establish the probabilistic approach as such, therefore, the indicator is not fulfilled.

Code RI-1B-2

Closed-ended question	
2. Are there regulations which establish that studies of threat from climatic and hydrological events should consider the frequency and occurrence of such event along with the associated levels and intensities?	
Indicator Overview	
<p>This indicator recognizes the good practice that threat studies of climatic and hydrological events (floods, droughts, frosts, hail, tornadoes, hurricanes, river overflows, etc.) are carried out from a probabilistic approach, using existing data series for the estimation of the danger of these types of threats.</p> <p>Probabilistic risk analyses define the so-called "loss exceedance curve", which represents the annual probability of exceedance (i.e., the inverse of the return period) of the parameters of intensity of natural phenomena in the different parts of the territory exposed to such hazards. This means that, spatially, at each point of the territory, the frequency of occurrence of a parameter that characterizes the intensity of the climatic or hydrological event should be counted, with this frequency being represented by a probability distribution function.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze regulations in the field of DRM, infrastructure assurance, financial protection against disasters and security of buildings against natural phenomena. 2. Confirm if any of these regulations establish the probabilistic analysis of the risk associated with hydro-climatic events. 3. Meet with representatives of the national entity responsible for generating information on climate and hydrological phenomena or, if one exists, with the institution responsible for providing technical assistance and guidelines for disaster risk analysis, to inquire about compliance with this indicator. 4. Discard those cases that refer to mere threat studies, without considering the frequency of occurrence associated with the levels of intensity of the events. 	
Link to other indicators	
RI-1A-1	If there is a national actor responsible for providing technical assistance and guidelines for disaster risk analysis, it is suggested that it be consulted on what this indicator asks.
RI-3-4	If there is a national entity responsible for generating information on hydrological and meteorological phenomena, it is suggested that it be consulted on what this indicator is investigating.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the identified regulations must expressly establish the requirement of the probabilistic approach, that is, that the frequency of occurrence associated with the levels of intensity be considered for at least one climate, hydrological or meteorological event relevant to the country.</p> <p>In case the probabilistic approach to hydro-climatic risk studies is mentioned in guides or manuals, in order to comply with the indicator, the regulation and the articulation that supports it must be pointed out, as well as its mandatory use and compliance.</p> <p>Likewise, the justification should record the parameters used to characterize the intensity of the identified climatic, hydrological or meteorological phenomenon.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Nicaragua 2016. The regulations that establish that studies of threats due to climatic and hydrological events must consider the frequency of occurrence associated with the levels of intensity of the events are found in the Methodology, Municipal Risk Management Plans, published on August 30, 2012, prepared within the framework of the Technical Cooperation (TC) "Analysis and Incorporation of Disaster Risk Management in Municipal Planning in Nicaragua" (ATN/OC-12298-NI), approved in 2010, which contains in its chapter 2, Titles: 2.1.1. Flood hazard (pages 8-16) defines the methodology to be used to conduct flood hazard studies, considering the frequency of occurrence associated with the levels of intensity of the events. This methodology incorporates aspects of the User's Guide (prepared under Credit Agreement No.3487-NI, "Reduction of Vulnerability to Natural Disasters in Nicaragua"), and incorporates the variables on Climate Change and Adaptation Measures, and the Risk Management Indicators proposed by INETER, ("Downscaling" methodology).

Examples of non-compliance in countries of the region

Paraguay 2016. In Paraguay, the Directorate of Meteorology and Hydrology (DMH), created by Law No. 1,228 dated December 29, 1986, and currently belonging to the National Directorate of Civil Aeronautics (DINAC for its acronym in Spanish) is responsible for regulating, coordinating and providing the country's meteorology and hydrology services. However, there are other institutions (public and private) that manage meteorological observatories such as ANDE, MAG, MOPC, YACYRETA, ITAIPU and the National Navy. They were analyzed: (i) Law N° 1228/1986, which creates the National Service of Meteorology and Hydrology (ii) Manual of Organization and Functions of DINAC approved by Resolution No. 460 of April 8, 2015, although in this last manual the Directorate of Meteorology and Hydrology (DMH) is assigned the responsibilities of "*promoting and carrying out studies and research in the areas related to climate, meteorology and hydrology*", no evidence was found that these should consider the frequency of occurrence associated with levels of intensity.

Code RI-1B-3

Closed-ended question	
3. Do the national Disaster Risk Management regulations establish that each sector is responsible for carrying out disaster risk analysis within the scope of its sectoral competencies?	
Indicator Overview	
<p>Considering that DRM is a public policy that must be executed transversally in the public administration, in the understanding that its objectives and vision are shared by all sectors, it is therefore desirable that its regulations stipulate that each sector must, within the scope of its competencies, carry out studies to determine its exposure, vulnerability and risk, because to the extent that the sectors analyze and know their levels of risk to natural phenomena, the subsequent processes of risk reduction, disaster preparedness, continuity of operations and recovery planning, and financial protection can be initiated.</p> <p>It should be noted that actions and responsibilities on "risk identification" may be considered using different terminology such as risk estimation or analysis, risk exposure levels or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze current regulations on DRM and verify whether they expressly stipulate that the different sectors of the public administration have responsibilities for carrying out actions to identify disaster risks in their areas of competence. Risk analysis involves the study of the threat, exposure and vulnerability. 2. If the identified regulation assigns general responsibilities for DRM to the sectors, the definition and/or scope of the DRM actions should be identified in the same or other DRM regulation, in order to confirm that the regulation includes the identification of risk as one of the components of DRM. 3. If the regulations identified assign responsibilities for risk identification to the members of the national DRM, civil protection, or similar systems, the definition and/or scope of these national systems must be identified in the same or other DRM regulations, to confirm that the sectors (ministries, public institutions, etc.) are part of these systems. 4. Discard regulations that assign responsibilities to sectors only for actions that relate to other components of DRM, such as risk reduction, disaster preparedness or recovery. 	
Link to other indicators	
GF-1A-1 RR-1B-1 DP-1B-1	Review whether the regulations used to verify these indicators assign responsibilities to the sectors in terms of risk identification.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the DRM regulations identified must explicitly establish that the sectors are responsible for carrying out the disaster risk analysis within the framework of their functions, which implies analyzing the behavior of the hazards and the vulnerability of the exposed elements corresponding to the sector.

If the regulations identified assign general responsibilities for DRM to the sectors, or when the regulations assign responsibilities for risk identification to the members of the national DRM system, the justification must make explicit the scope of the DRM to show that risk identification is part of it, as well as that the sectors are part of the national DRM system (or similar), respectively.

This indicator will not be validated if the risk management regulations assign responsibilities to the sectors only for hazard analysis, exposure analysis or vulnerability analysis, since the indicator seeks to validate the combination of the three analysis elements, so that they result in a comprehensive risk estimate.

The regulations sought should not be confused with those that stipulate that sectors are responsible for actions in the other components of DRM, such as disaster preparedness.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Bolivia 2015. Law No. 113 /2013-2014, RISK MANAGEMENT LAW, approved by the National Assembly on November 13, 2014 (RI-1A-3a) establishes in Title II, Chapter I, Article 20 (Risk Management in Integrated Planning): *"I. The State at all levels must incorporate risk management as a transversal axis in integrated planning, with a mandatory and preferential character, and must also provide guidelines, actions and resources for this purpose in its plans, programs and projects"*. Later, in Chapter II (Scope of Risk Management), article 22, it is established: *"II. Risk management begins with the identification, knowledge, analysis, evaluation, determination of risks and the forecast of trends in events, threats and vulnerabilities, which will be carried out to the full extent."*

Additionally, the General Regulations for Risk Reduction and Disaster and/or Emergency Response (D.S. No. 26739), promulgated on August 4, 2002, (RI-1B-3b), establishes in Chapter III on Risk Assessment and Investment, Article 66: *"Each sector is responsible for establishing specific risk assessment standards following the methodology established by the MDSP and for communicating these standards to the Sectorial Regulation systems for their corresponding application."* It is worth mentioning that this Decree has been abrogated according to the new Law No. 113, but it is left as a reference, in case the regulation of the new Law maintains this mandate.

Examples of non-compliance in countries of the region

Dominican Republic 2014. Although the Regulation for the Application of Law No. 147-02 on Risk Management, approved by Decree No. 874-09 (RI-1B-3a) establishes among the objectives of the National System for PRM (which includes all sectors) that all institutions must develop their internal risk management plans (Article 6), there is no explicit mention of the responsibility to carry out disaster risk analysis within the scope of their competencies.

Code RI-1B-4

Closed-ended question	
4. Do national regulations on Disaster Risk Management establish that public service providers are responsible for carrying out disaster risk analysis in the scope of their operations?	
Indicator Overview	
<p>It is considered a good practice that the DRM regulations expressly establish the obligation of public service providers to carry out risk analyses, which involve the study of the threat, exposure and vulnerability.</p> <p>Usually, the infrastructure related to the provision of public services is public, although in some countries it may be concessioned, and may even be subject to private law. To the extent that public service providers are responsible for knowing the risk of their operations in the presence of natural phenomena (and are also responsible for reducing this risk), the state will have a lower tax burden when facing with the risk of disasters, considering the economic and social cost of their interruption.</p> <p>Actions and responsibilities on disaster risk analysis can be referred to using diverse terminology such as estimation or identification of disaster risk, levels of risk exposure, or other similar terms.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze the current regulations on DRM and verify whether they expressly stipulate that companies providing public services have the responsibility to carry out actions for the analysis of disaster risks in their areas of competence. This analysis involves the study of the threat, exposure and vulnerability. 2. If the identified regulations assign general responsibilities for DRM to public service providers, the definition and/or scope of DRM actions must be identified in the regulations or in another DRM regulation to confirm that the DRM includes the identification of risk as one of its components. 3. If the identified regulations assign responsibilities for risk identification to the members of the National System of DRM, Civil Protection, or similar, this or other regulations on DRM must corroborate that the companies providing public services are part of these systems. 4. Rule out regulations that assign responsibilities to such entities only in other components of DRM such as risk reduction, disaster preparedness, recovery or financial protection (including insurance). 	
Link to other indicators	
GF-1A-1 RR-1B-1 RR-1B-2 DP-1B-1	Review whether the regulations used to verify these indicators assign responsibilities to public service providers for disaster risk analysis.
DP-1B-13 DP-1B-14 DP-1B-15	Review whether the regulations used to verify these indicators refer to DRM regulations that can be used to support compliance with this indicator.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the identified DRM regulations must explicitly state that public service providers are responsible for carrying out disaster risk analysis within the framework of their functions, which implies analyzing the threats and vulnerability of their exposed elements.

If the identified regulations assign general responsibilities for DRM to public service providers, or when the regulations assign responsibilities for risk identification to the members of the national DRM system, the justification must explicitly state the scope of the DRM in order to show that risk identification is part of the DRM, as well as those companies that are part of the national DRM system (or similar), respectively.

It will not be possible to validate this indicator if the risk management regulations assign responsibilities to public service providers only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the analysis of the three elements that result in a comprehensive risk estimate.

The regulations sought should not be confused with those that stipulate that public service providers are responsible for carrying out actions in the other components of DRM, such as disaster preparedness.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Peru 2013. The Regulations of Law No. 29664 creating the SINAGERD, approved by Supreme Decree No. 048-2011-PCM, on May 25, 2011 (RI 1B-4a), establish in Article 13, numeral 13.2 that "the *public entities identify and prioritize the risk in the infrastructure and the economic, social and environmental processes, in their scope of attributions, and establish a corrective management plan, taking into consideration the guidelines established by CENEPRED*". Additionally, Law No. 29664 that creates the SINAGERD, of February 8, 2011, in its article 2, and regarding its scope of application, says "... *the law is applicable and enforced by all public entities and companies at all levels of government, as well as the private sector and the general public...* The same article states that "... *the generic reference to public entities in this law and its regulations refers to the definition of public entities established in law 27444...*". In this last Law, called the Law of General Administrative Procedure issued on March 21, 2001, in its preliminary title refers to the concept of public entities as extending to "... *Legal entities under the private regime that provide public services or exercise an administrative function, by virtue of a concession, delegation or authorization by the State, in accordance with the regulations on the subject*". In this way, it can be concluded that, in Peru, companies that provide public services are obliged to integrate DRM processes into the scope of their operations.

Examples of non-compliance in countries of the region

El Salvador 2016. The Civil Protection Law approved by the Legislative Assembly through Decree No. 777 of August 18, 2005 and the National Civil Protection Plan for Risk Prevention and Mitigation approved in June 2009 were reviewed, and only broad mandates were found for the sectors regarding their responsibility to formulate and execute the respective civil protection work plans, disaster risk management prevention and impact mitigation work plans, but no explicit references were found for public service providers regarding their responsibility to conduct disaster risk analysis within the scope of their sectoral competencies.

Code RI-1B-5

Closed-ended question	
5. Do science, technology and innovation (or equivalent) regulations include the promotion of disaster risk knowledge in the country?	
Indicator Overview	
<p>It is considered a good practice that national regulations governing science, technology and innovation (or equivalent), expressly provide for the promotion of research or development of knowledge on disaster risk in the country.</p> <p>The existence of national regulations, funds, plans and programs that promote the generation of knowledge in this area could facilitate the work of research institutes, universities and the academic community interested in promoting the financing of theses or research projects in this area.</p> <p>The existence of this regulation also allows for indirect verification of the relative importance that the country assigns to research and knowledge of disaster risk.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the national regulations that govern science, technology and innovation (or equivalent) issues, including national science, technology and innovation funds, plans and programs 2. Review this regulation and verify whether there is an express mention of disaster risk knowledge, either as a topic in itself or as a result, goal or objective of the research being promoted in other associated topics. 3. If necessary, meet with a representative of the leading institution in science, technology and innovation. 	
Link to other indicators	
RI-1B-6	Review whether the regulations used in this indicator include the promotion of disaster risk knowledge.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, the identified regulations must contain an express mention of disaster risk knowledge or some other component of DRM, either as a research topic in itself or as a result, goal or objective of the research being promoted in other associated topics such as environmental management, climate change, land use planning or development, among others.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

El Salvador 2016. In the National Plan for Scientific and Technological Development, elaborated in 2010 by the Vice-Ministry of Science and Technology, adopted by Executive Decree No. 12 dated 06/30/2009 (RI-1B-5a), Table 2: "National Research Agenda and its relation to the Five Year Development Plan", Environmental Risk Management is included within the strategic areas, being the Prevention and Management of Natural Risks one of the strategic research areas. The document includes the following as research topics: 1. Characterization of slope movement 2. Characterization of floods 3. Monitoring of seismic activity 4. Monitoring of volcanic activity 5. Effect of natural events 6. Social perception of risks 7. Risk maps 8. Integration of energy plans.

Examples of non-compliance in countries of the region

Colombia 2013. Law 1286 of 2009, "By which Law 29 of 1990 (Law on Science, Technology and Innovation) is modified, Colciencias is transformed into an Administrative Department, the National System of Science, Technology and Innovation in Colombia is strengthened, and other provisions are issued", does not make explicit reference to the promotion of knowledge on disaster risk in the country. The country has a Research Center for the Prevention and Attention to Disasters, Emergencies and Risk Management in Colombia (CIPADEGER for its acronym in Spanish), an agency attached to the National Directorate of the National Circle of Technical Assistants (CINAT for its acronym in Spanish). The operation of CIPADEGER is guaranteed by Colciencias; however, there is no sector standard that expressly promotes research on disaster risk. Finally, the Conpes Document 3582 of April 27, 2009, which establishes the "National Policy on Science, Technology and Innovation", mentions the importance of "advancing actions to mitigate the risk of disasters"; however, the Law that was derived from this Conpes (Law 1286), does not take up this issue explicitly, therefore, the condition is not met (See: <http://www.colciencias.gov.co/noticias/se-conform-en-bogot-la-junta-directiva-del-cipadeger>).

Code RI-1B-6

Closed-ended question	
<i>Do science, technology and innovation regulations (or equivalent) include the promotion of knowledge about climate change in the country?</i>	
Indicator Overview	
<p>It is considered a good practice that national regulations governing science, technology and innovation (or equivalent), expressly provide for the promotion of research or development of knowledge on climate change in the country.</p> <p>The existence of national regulations, policies, funds, plans and programs that promote the generation of knowledge in this area could facilitate the work of research institutes, universities and the student community to encourage the funding of theses or research projects in this area. This regulation also allows for indirect verification of the relative importance that the country assigns to research and knowledge on climate issues in the country.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the national regulations that govern science, technology and innovation (or equivalent) issues, including national science, technology and innovation funds, policies, plans and programs 2. Review this regulation and verify whether there is an express mention of the promotion of knowledge on climate change, either as a topic in itself or as a result, goal or objective of the research being promoted in other associated topics. 3. If necessary, an interview with a representative of the leading institution in science, technology and innovation. 	
Link to other indicators	
RI-1B-5	Review whether the regulations used to support this indicator include the promotion of climate change knowledge
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, the regulations identified must contain express mention of the promotion of knowledge on climate change, either as a research topic in itself or as a result, goal, or objective of the research being promoted in other associated topics such as environmental management, integrated water resource management, land use planning, or development, among others.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Mexico 2014. The Special Program for Science, Technology and Innovation PECITI 2008-2012 (RI- 1B-6^a), which guides the actions of the National Council for Science and Technology, CONACYT (the new Program has not yet been approved), was analyzed and a general reference was found to "*attention to natural disasters and climate change*", within the strategic themes identified (Page 7). In interviews with CENAPRED and the National Council for Ecology and Climate Change, it was confirmed that the National Council for Science and Technology financed studies and analyses of climate change through the academic world, so the indicator's assessment is positive.

Examples of non-compliance in countries of the region

Colombia 2013. Law 1286 of 2009 "By which Law 29 of 1990 (Law on Science, Technology and Innovation) is modified, Colciencias is transformed into an *Administrative Department, the National System of Science, Technology and Innovation in Colombia is strengthened and other provisions are issued*", does not make explicit reference to the promotion of knowledge about climate change in the country. The Research Center for the Prevention and Attention to Disasters, Emergencies and Risk Management in Colombia (CIPADEGER for its acronym in Spanish), (whose operation is guaranteed by Colciencias), identified in September 2009 5 lines of action, the first of which is called "*Climate risk management for the prevention and attention to disasters*". However, these advances, it is concluded that there is still no science technology and innovation regulation that explicitly promotes knowledge on climate change in the country in an express way.

Code RI-1B-7

Closed-ended question	
7. <i>Are there regulations for the continuous development and maintenance of observation and monitoring networks for at least two dangerous natural phenomena in the country?</i>	
Indicator Overview	
<p>To identify and analyze risk, it is essential to have information on natural hazards over a long period of time. This is achieved through the installation, operation and continuous maintenance of observation and monitoring networks. In this sense, this indicator values the existence of regulations that explicitly provide for the continuous development and maintenance of monitoring networks for natural hazards.</p> <p>In most countries there is usually at least one hydro meteorological monitoring network, (usually operated by a hydro meteorological service or a university institute) which should be supported by regulations, providing for its continuous development and maintenance.</p> <p>For the purposes of this indicator, the existence of regulations establishing the operation of at least two independent observation and monitoring networks dedicated to natural phenomena should be confirmed, such as the hydrological network, meteorological network, seismological network (including accelerometers and seismographs), volcanic monitoring network, forest fire detection network, river overflow monitoring network, slope observation network, etc.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the main technical-scientific networks and/or institutions in charge of the study, observation and monitoring of dangerous natural phenomena in the country. 2. Review the regulations associated with these networks and/or technical-scientific institutions. 3. Analyze if it is established by the identified regulations, the development, maintenance and permanent operation of networks for the observation and monitoring of at least two existing natural hazards. 	
Link to other indicators	
RI-3-3 RI-3-4	Review whether the regulations used to verify these indicators include the continuous development and maintenance of observation and monitoring networks for natural phenomena by each institution.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, the identified regulations identified (which may be through various standards) must establish the continuous development and maintenance of observation and monitoring networks for at least two dangerous natural phenomena in the national territory. Hydro meteorological phenomena (floods, droughts, hail, winds, river overflows, etc.), earthquakes, tsunamis, volcanoes, landslides and forest fires may be considered as dangerous natural phenomena.</p> <p>For the purpose of computing the minimum number of natural phenomena monitored by networks, hydro meteorological hazards will be counted as a single phenomenon, unless it is duly justified that the observation networks for the various hydro meteorological phenomena are independent.</p>	

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Examples of compliance in countries of the region

Guatemala 2013. The National Institute of Seismology, Volcanology, Meteorology and Hydrology (INSIVUMEH for its acronym in Spanish) was created by Presidential Agreement of March 26, 1976. From this, Governmental Agreement N° 26-1976, of the Minister of Communications and Public Works of August 13, 1976 (RI-1B-7a) was derived, in which the following articles contemplate: "*Article 7o.- To establish and operate the networks of stations necessary for the knowledge of seismological, volcanological, meteorological and hydrological phenomena in the national territory;*" and "*Article 8o.: To obtain, compile, evaluate, analyze, concentrate, publish and disseminate data and information of a seismological, volcanological, meteorological and hydrological nature and related disciplines, either directly or in cooperation with other entities.*"

Examples of non-compliance in countries of the region

Panama 2014. Geosciences: there is a five-year plan to strengthen Panama's seismic monitoring (MEF document) for the period 2010 to 2014, but this plan is not covered by any regulations (it does not meet the condition). On the other hand, at the level of hydro meteorological events, there is Law 6 of 1997 that orders to operate, expand, maintain and provide services of the hydro meteorology and climatology network (Article 79, numeral 6). Additionally, the National Policy on Climate Change indicates as a "line of action", the "*Strengthening of climate observation networks, for the monitoring of climate change parameters and indicators*". There is also a modernization and expansion program of the hydro meteorological network at a national level approved by ANAM and ETESA with the respective Memorandum of Understanding signed between both institutions in 2012. In conclusion, although in the hydro meteorological topic there are regulations that allow the development and maintenance of the observation and monitoring networks, the same does not happen in the level of geological threats, so the indicator is not fulfilled.

Code RI-1B-8

Closed-ended question	
8. Do the environmental sector regulations define the responsibility to carry out analysis of the risk of disasters or adverse effects of climate change within the scope of its powers?	
Indicator Overview	
<p>This indicator seeks to establish whether the environmental sector's regulatory framework defines responsibilities for conducting disaster risk analysis, or for the adverse effects of climate change within the scope of its competencies.</p> <p>This indicator recognizes that each sector should have the obligation to implement its corresponding responsibilities in the components related to Disaster Risk Management (DRM) or climate change adaptation (CC), in particular with regard to the identification of the risk or adverse effects of climate change.</p> <p>It should be borne in mind that to refer to "risk analysis" each country's environmental regulations may use other terminology, such as "risk estimation", "risk identification" or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the environmental sector's regulations and policies, strategies or plans. 2. Identify if the environmental sector is responsible for carrying out studies and analysis of disaster risk or the adverse effects of climate change. 3. If necessary, consult with representatives of the environmental sector or the national institution in charge of climate change issues. 	
Link to other indicators	
RR-1B-6 RR-1B-7 DP-1B-3 RC-1B-1	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the environmental sector for conducting disaster risk analysis or the adverse effects of the CC.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the identified environmental sector's regulations must explicitly establish competencies for carrying out activities to analyze disaster risk or the adverse effects of climate change, such as (i) development of climate change impact scenarios; (ii) generation of information and studies on meteorology and climate; (iii) meteorological information services.</p> <p>If the regulations assign general responsibilities for DRM, the justification must state that the risk analysis is part of the scope and components of DRM defined in the regulations.</p> <p>It will not be possible to validate this indicator if the identified regulations assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of these three elements of analysis that result in a comprehensive risk estimate.</p> <p>Likewise, the responsibilities assigned to environmental risk analysis should not be confused with those related to disaster risk.</p>	

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Examples of compliance in countries of the region

Dominican Republic 2014. Law No. 64-00, on the Environment and Natural Resources, promulgated on August 18, 2000 (RI-1B-8a), provides in Article 18 that the "The following functions correspond to the Secretariat of State for the Environment and Natural Resources: 20. To evaluate, follow up on, and supervise the control of environmental risk factors and those that may have an impact on the occurrence of natural disasters and to execute directly, or in coordination with other pertinent institutions, the actions tending to prevent the emergency or to impede the extension of its effects

Examples of non-compliance in countries of the region

Bahamas 2017. No explicit evidence was found that supports compliance with this indicator. The National Policy for the Adaptation to Climate Change, approved in 2005, states as one of its goals: "improve knowledge and understanding of, and conduct systematic research and observations on Climate Change issues". Nevertheless, no regulations were found establishing that the Ministry of Environment & Housing or the BEST Commission should carry out disaster risk analysis or analysis of the adverse effects of climate change within the scope of its powers. Additionally, under the Forestry Act 2010, a Forestry Unit is established with a Director who can under section 4(n): "*promoting and conducting forest research and forest education, and promoting forest extension*"; but there is no reference to risk analysis. This was confirmed in interviews with the Ministry of the Environment and Housing.

Code RI-1B-9

Closed-ended question	
9. Do the agricultural sector regulation define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?	
Indicator Overview	
<p>This indicator seeks to establish whether the regulatory framework for the agricultural sector defines responsibilities for conducting disaster risk analysis, or for the adverse effects of climate change within the scope of its competencies.</p> <p>This indicator recognizes that each sector should have the obligation to implement its corresponding responsibilities in the components related to Disaster Risk Management (DRM) or climate change adaptation (CC), in particular with regard to the identification of the risk or adverse effects of climate change</p> <p>It should be borne in mind that each country's agricultural sector regulations may use other terminology to refer to "risk analysis," such as "risk estimation," "risk identification," or other similar terms.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the regulations of the agricultural sector and its policies, strategies or plans. 2. Identify whether the regulations establish responsibilities for the agricultural sector to carry out studies and analyses of disaster risk or the adverse effects of climate change. 3. If necessary, consult with representatives of the agricultural sector or the national institution in charge of climate change issues 	
Link to other indicators	
RR-1B-8 DP-1B-4 RC-1B-2	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the agricultural sector for conducting disaster risk analysis or the adverse effects of the CC.
RI-2-4	In the case of verifying the allocation of resources to the agricultural sector for disaster risk analysis, investigate the regulations that authorize such allocation.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified for the agricultural sector must explicitly establish competencies for carrying out activities to analyze disaster risk or the adverse effects of climate change, such as (i) Studies on the risk of crops in the face of hydro meteorological events; (ii) studies on hydrological risk in basins; (iii) risk analysis in irrigation works.</p> <p>If the regulations assign general responsibilities for DRM, the justification must state that the risk analysis is part of the scope and components of DRM defined in the regulations.</p> <p>It will not be possible to validate this indicator if the identified regulations assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.</p> <p>Likewise, the responsibilities assigned to agricultural risk analysis should not be confused, if it is not specified that they are linked to disasters.</p>	

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Examples of compliance in countries of the region

Argentina 2014. Law No. 26,509, which creates the National System for the Prevention and Mitigation of Agricultural Emergencies and Disasters (Agricultural Emergency), enacted on August 27, 2009 (R1-1B-9a), establishes in Article 1 the objective of the SNPMEDA is "... *prevent and/or mitigate damage caused by climatic, meteorological, telluric, biological or physical factors that significantly affect production and/or agricultural production capacity, putting at risk the continuity of family or business farms, directly or indirectly affecting rural communities*". The National Commission of Agricultural Emergencies and Disasters is in charge of the implementation of the SNPMEDA (Article 2). This Law also establishes in Article 11 that the Secretariat of Agriculture, Livestock, Fisheries and Food "... *will organize, together with the provincial jurisdictions, the corresponding actions to prevent and reduce possible damages from future emergencies and/or agricultural disasters...*". It also specifies that, in order to comply with this, the "(a) *Planning, organization and implementation of actions to determine and/or monitor and/or prevent and/or mitigate the risks that may derive from possible agricultural emergencies and/or disasters, as well as all measures and activities developed to reduce and/or prevent vulnerability and potential losses*" must be carried out.

Examples of non-compliance in countries of the region

Colombia 2013. In the Colombian agricultural sector, the only explicit regulation on the issue of risks is Law 69 of 1993, "*which establishes the Agricultural Insurance in Colombia, creates the National Fund for Agricultural Risks and dictates other provisions on agricultural credit*". Although this regulation defines functions in relation to risk "studies", it refers essentially to the effects of natural events on agricultural production to define the procedures of the insurance policy. In this sense, it is not a regulation that promotes knowledge of the risk "ex ante" and therefore the indicator is not met.

Code RI-1B-10

Closed-ended question	
10. Do the health sectors regulations define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?	
Indicator Overview	
<p>This indicator seeks to establish whether the health sector's regulatory framework defines responsibilities for conducting disaster risk analysis, or for the adverse effects of climate change within the scope of its competencies.</p> <p>This indicator recognizes that each sector should have the obligation to implement its corresponding responsibilities in the components related to Disaster Risk Management (DRM) or climate change adaptation (CC), in particular with regard to the identification of the risk or adverse effects of climate change.</p> <p>It should be noted that the health sector regulations of each country may use other terminology, such as "risk estimation", "risk identification" or similar, to refer to "risk analysis".</p> <p>For this indicator, risks of an epidemiological or public health nature must be ruled out.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review health sector regulations, which could also include sector policies, strategies, and plans. 2. Find out if the country has a "Safe Hospitals" program or policy backed by a policy document. 3. Identify whether the regulations establish responsibilities for the health sector to carry out studies and analyses of disaster risk or the adverse effects of climate change. 4. If necessary, consult with representatives of the health sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
DP-1B-9 DP-1B-5 RC-1B-3	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the agricultural sector for conducting disaster risk analysis or the adverse effects of the CC.
RI-2-5	In the case of confirming the allocation of resources to the health sector for disaster risk analysis, investigate the regulations that allow such allocation.
Description of the minimum situation required to consider the indicator met	

For the indicator condition to be met, the identified health sector regulations must explicitly establish competencies to carry out activities to analyze disaster risk, or the adverse effects of climate change, such as (i) Study and development of the seismic risk program in hospital institutions; (ii) Training of evaluators on the strategy of hospitals safe from disasters (application of a safety index, i.e., risk assessment for infrastructure).

If the regulations assign general responsibilities for DRM, the justification must state that the risk analysis is part of the scope and components of DRM defined in the regulations.

It will not be possible to validate this indicator if the identified regulations assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.

Likewise, the responsibilities assigned to the analysis of health or public health risks should not be confused, if it is not specified that they are linked to disasters.

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Examples of compliance in countries of the region

Peru 2016. The responsibility for conducting disaster risk analysis in the sector is defined through the National Policy on Hospitals Safe from Disasters, approved by Supreme Decree No. 009-2010-SA, of April 23, 2010 (RI 1B-10a). This document incorporates in numeral 4, purposes, objectives and strategies, and it is defined as a Specific Objective. 3 to *"Improve safety levels in existing health facilities in case of disasters"*. Likewise, within this objective, Activity 1 is considered: *"Evaluation of the safety conditions of health facilities"*, this by means of the application of a safety index.

Examples of non-compliance in countries of the region

Dominican Republic 2017. Law 42-01 General Health (RI-1B-10a) in its Section IX - Prevention and Reduction of the Effects of Disasters on Health, considers: *"Art. 58. - SESPAS, in coordination with the Civil Defense, the Dominican Red Cross, the Fire Department, the Secretary of State for the Environment and Natural Resources, municipal authorities, and any other entity commissioned by the State for the prevention and confrontation of disasters, shall carry out activities on the prevention or mitigation and preparation of disaster treatments in order to face them adequately". However, the responsibility for carrying out the analysis of the risk of disasters or adverse effects of climate change is not specifically mentioned*".

Code RI -1B-11

Closed-ended question	
11. Do the housing sector regulations define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?	
Indicator Overview	
<p>This indicator seeks to establish whether the regulatory framework of the housing sector defines responsibilities for carrying out disaster risk analysis, or for the adverse effects of climate change within the scope of its competencies.</p> <p>This indicator recognizes that each sector should have the obligation to implement its corresponding responsibilities in the components related to Disaster Risk Management (DRM) or climate change adaptation (CC), in particular with regard to the identification of the risk or adverse effects of climate change.</p> <p>It should be borne in mind that to refer to "risk analysis" the regulations of the housing sector in each country may use other terminology, such as "risk estimation", "risk identification" or similar.</p> <p>Depending on the country, the housing sector may correspond to a sub-sector or be attached to a larger ministry or secretariat.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the regulations of the housing sector, urbanism and human settlements, and their policies, strategies or plans. 2. Identify whether the regulations establish responsibilities for the housing sector to carry out studies and analysis of disaster risk. 3. If necessary, consult with representatives of the housing sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RR-1B-10 DP-1B-6 RC-1B-4	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the agricultural sector for disaster risk analysis.
RI-2-6	In the case of confirming the allocation of resources to the housing sector for disaster risk analysis, investigate the regulations that allow such allocation.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the regulations identified for the housing sector must explicitly establish competencies for carrying out activities to analyze disaster risk, or the adverse effects of climate change, such as (i) formulation and updating of territorial studies for urban risk analysis; (ii) territorial studies of seismic risk for housing; (iii) monitoring of seismic activity, soil response and structure; (iv) preparation of vulnerability curves for different types of construction.

If the regulations assign general responsibilities for DRM, the justification must state that the risk analysis is part of the scope and components of DRM defined in the regulations.

It will not be possible to validate this indicator if the regulations identified assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.

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Examples of compliance in countries of the region

Nicaragua 2016. The regulations for the housing sector that define the responsibility for carrying out disaster risk analysis *within* the scope of their competencies are found in Executive Decree No. 50- 2009, Regulations to Law No. 677 "Special Law for the Promotion of the Construction of Access to Social Interest Housing," approved on July 6, 2009, published in Gazettes 140 and 141, July 28 and 29, 2009, in Articles 51, 54 and 57, which establish that: "*housing programs* Article 58 of the Regulations, which refers to the "content of the special sub-programs of territorial planning and regional or municipal development of an urban and/or rural nature for housing purposes", lists such content: "*Presentation. Legal framework. 2. Congruence with higher levels of planning. 3. Purposes and scope of the program 4. Diagnosis and prognosis: a) The physical-natural environment. b) Social aspects .c) Economic, tourist, commercial, service and industrial aspects. d) Territorial aspects. e) Infrastructure. f) Equipment. g) Public services. h) Environmental aspects, environmental conservation. i) Risks in general, natural phenomena, accidents. j) Historical and archaeological heritage .k) Synthesis of the diagnosis and prognosis*".

That is, this subprogram should present a general risk diagnosis. This content is repeated both in the program and in the rest of the subprograms. This, of course, ensures that the indicator is met. Complementarily, Article 115 establishes that every housing project or solution of a concentrated nature must contemplate a risk management program in those areas that, due to their nature, require it and comply with the norms established by the different regulations established by law. To implement these regulations, in 2016 the Nicaraguan Institute of Urban and Rural Housing (INVUR for its acronym in Spanish) developed a Manual of Procedures for the Environmental Management System of Social Interest Housing Projects (Internal Institutional Document) that defines the procedure for "Evaluation of the Project Site" applying the filling of histograms that contain variables such as: Seismicity, Erosion, Landslides, Volcanism, Slope Ranges, Soil Quality, Surface Hydrology, among others related to risk analysis.

Examples of non-compliance in countries of the region

Mexico 2014. No explicit evidence was found regarding the responsibility for conducting disaster risk analysis in the housing sector regulations. The Housing Law, published in June 2006, was analyzed in depth, as was the regulatory framework related to the new Ministry of Agrarian, Territorial and Urban Development, which is the responsibility of the new Undersecretary of Urban Development and Housing (a function previously carried out by the Ministry of Social Development and its decentralized bodies such as the National Housing Commission (CONAVI for its acronym in Spanish) and the National Fund for Popular Housing (FONHAPO for its acronym in Spanish). Despite numerous references to risk reduction in general, no explicit reference to disaster risk analysis was found.

Guatemala 2013. The new Housing Law (2012) was reviewed and no evidence was found that there are regulations that define the responsibility of conducting disaster risk analysis within the scope of its powers. It should be noted that the National Housing and Human Settlements Policy (Governmental Agreement No. 163-2004) contemplates in the Main Part, Chapter 3. as a Transversal Axis of the Policy, the numeral 3. Environment and Risk. However, this Policy does not define the responsibility of the sector to carry out disaster risk analysis within the scope of its powers.

Code RI-1B-12

Closed-ended question	
12. Do the education sector regulations define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?	
Indicator Overview	
<p>This indicator seeks to establish whether the regulatory framework of the education sector defines responsibilities for carrying out disaster risk analysis, or for the adverse effects of climate change within the scope of its competencies.</p> <p>This indicator recognizes that each sector should have the obligation to implement its corresponding responsibilities in the components related to Disaster Risk Management (DRM) or climate change adaptation (CC), in particular with regard to the identification of the risk or adverse effects of climate change.</p> <p>It should be borne in mind that each country's education sector regulations may use other terminology to refer to "risk analysis," such as "risk estimation," "risk identification," or other similar terms.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the general regulations of the education sector, as well as those that may exist on the design and construction of educational buildings. 2. Identify whether the regulations establish responsibilities for the education sector to carry out disaster risk studies and analyses. 3. Find out if the country has a "Safe Schools" policy or program supported by a policy document. 4. If necessary, consult with representatives of the education sector about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RR-1B-11 DP-1B-7 RC-1B-5	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the education sector for conducting disaster risk analysis.
RI-2-7	In the case of confirming the allocation of resources to the education sector for disaster risk analysis, investigate the regulations that allow such allocation.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the identified education sector regulations must explicitly establish competencies to carry out activities to analyze disaster risk, or the adverse effects of climate change, such as disaster risk assessment on educational infrastructure.

If the regulations assign general responsibilities for DRM, the justification must state that the risk analysis is part of the scope and components of DRM defined in the regulations.

It will not be possible to validate this indicator if the identified regulations assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.

Likewise, the responsibilities assigned to the education sector should not be confused with the inclusion of risk analysis and other DRM components in the school curriculum.

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Examples of compliance in countries of the region

Costa Rica 2014. Executive Decree No. 36451-MEP on the Administrative Organization of the Central Offices of the Ministry of Public Education of February 7, 2001 (RI-1B-12a) includes: "Article 41. functions of the Internal Control and Risk Management Department... Sections: ... c) To plan, coordinate and execute the Specific System of Institutional Risk Assessment (SEVRI-MEP for its acronym in Spanish). d) To develop, implement and update a database related to disaster risk and social risk in the various departments of the Ministry of Public Education. e) To prioritize the educational centers that face the greatest conditions of disaster and risk

Examples of non-compliance in countries of the region

Peru 2013. There are no regulations in the education sector that define the responsibility for carrying out disaster risk analysis in the area of their competence, despite the fact that there are other related regulations, such as (i) Directive No. 003-2006-OINFE "Guidelines and Actions for Educational Infrastructure Buildings at Risk of Collapse of Free or Loose Walls and Parapets": which seeks to determine the necessary actions to reverse the situation faced by educational institutions in whose infrastructure free or loose walls and parapets are at risk of collapse. (ii) Directive No. 094-2003-ME - VMGI, which establishes the "Evaluation of the Infrastructure in Educational Centers and the Use of the SIED Educational Infrastructure Information System": with this Directive, the bases are given to have an updated information system on the state of the educational infrastructure at a national level that contains information raised by specialists. (i) Vice-Ministerial Resolution 0017 which approves the rules that establish the organization and execution of the permanent activity of Social Mobilization, Safe, Clean and Healthy Schools, and therefore seeks to improve the educational environment in the country.

Code RI-1B-13

Closed-ended question	
13. Do the tourism sector regulations define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?	
Indicator Overview	
<p>This indicator seeks to establish whether the tourism sector's regulatory framework defines responsibilities for carrying out disaster risk analysis, or for the adverse effects of climate change within the scope of its competencies.</p> <p>This indicator recognizes that each sector should have the obligation to implement its corresponding responsibilities in the components related to Disaster Risk Management (DRM) or climate change adaptation (CC), in particular with regard to the identification of the risk or adverse effects of climate change.</p> <p>It should be borne in mind that to refer to "risk analysis" each country's tourism sector regulations may use other terminology, such as "risk estimation", "risk identification" or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Reviewing tourism sector regulations, which could also include national tourism policies, strategies, plans and programs. 2. Identify whether the regulations establish responsibilities for the tourism sector to carry out studies and analysis of disaster risk or the adverse effects of climate change. 3. If necessary, consult with representatives of the tourism sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RR-1B-12 DP-1B-8 RC-1B-6	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the tourism sector to carry out disaster risk analysis or the adverse effects of the CC.
RI-2-8	In the case of confirming the allocation of resources to the tourism sector for disaster risk analysis, investigate the regulations that allow such allocation.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator condition to be met, the identified tourism sector regulations must explicitly establish competencies for carrying out activities to analyze disaster risk, or the adverse effects of climate change, such as (i) risk analysis of the hotel infrastructure in a tourist region of the country; (ii) risk analysis of areas of tourist interest.</p> <p>If the regulations assign general responsibilities for DRM, the justification must state that the risk analysis is part of the scope and components of DRM defined in the regulations.</p> <p>It will not be possible to validate this indicator if the regulations identified assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Trinidad and Tobago 2018. The Ministry of Tourism in the meeting held with the iGOPP team on July 26, 2017, confirmed the existence of a National Tourism Policy approved in 2010 (RI-1B- 13a). In section 4.1 of that document, the need for disaster risk and climate change assessments is recognized: "viii) Develop and implement effective risk assessment and crisis management strategies to address any of the symptoms of climate change and other natural disasters". Unfortunately, tourism legislation has not kept pace with policy development. Therefore, the Tourism Development Law LRO 16/2006 does not mention disasters, risks or climate change. However, the policy document is accepted as a means of compliance, as it is understood that the National Policy complements the Law.

Examples of non-compliance in countries of the region

Honduras 2014. The representatives of the Honduran Institute of Tourism (IHT for its acronym in Spanish), confirm that the actions of the IHT in issues related to disaster risk management do not respond to a regulatory mandate, but rather to opportunities that occur in the daily work of the IHT, funding opportunities or collaborative work within the framework of SINAGER. Examples of the above are the General Rules for the Control of the Bay Islands.

Code RI-1B-14

Closed-ended question	
14. Do the transport sector regulations (or equivalent sector) define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?	
Indicator Overview	
<p>This indicator seeks to establish whether the regulatory framework of the transport sector, understood as road works, defines responsibilities for carrying out disaster risk analysis, or for the adverse effects of climate change within the scope of its competencies.</p> <p>This indicator recognizes that each sector should have the obligation to implement its corresponding responsibilities in the components related to Disaster Risk Management (DRM) or climate change adaptation (CC), in particular with regard to the identification of the risk or adverse effects of climate change.</p> <p>It should be borne in mind that to refer to "risk analysis" each country's transport sector regulations may use other terminology, such as "risk estimation", "risk identification" or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review transport sector regulations, which could also include national policies, strategies, plans and programs. 2. Identify whether the regulations establish responsibilities for the transport sector to carry out studies and analysis of disaster risk or the adverse effects of climate change. 3. If necessary, consult with representatives of the transport sector on the existence of regulations that allow this indicator to be validated. 	
Link to other indicators	
RR-1B-13 DP-1B-9 RC-1B-7	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the transport sector to perform disaster risk analysis or the adverse effects of the CC.
RI-2-9	In the case of confirming the allocation of resources to the transport sector for disaster risk analysis, investigate the regulations that allow such allocation.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the identified transport sector's regulations must explicitly establish competencies for carrying out activities to analyze disaster risk, or the adverse effects of climate change, such as (i) studies to identify disaster risk in the road transport network; (ii) identification of disaster risk in road works of art (bridges, culverts, footbridges, etc.)</p> <p>If the regulations assign general responsibilities for DRM, the justification must state that the risk analysis is part of the scope and components of DRM defined in the regulations.</p> <p>It will not be possible to validate this indicator if the identified regulations assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

El Salvador 2016. The Strategic Plan of the Ministry of Public Works, Transportation, Housing and Urban Development (MOPTVDU for its acronym in Spanish) 2009-2024, published by the MOPTVDU on January 5, 2012, introduces the *"Risk management approach and adaptation to climate change as a strategic axis from a preventive and integral perspective throughout the entire cycle of the works"*, and establishes that *"its policies, programs and projects will address the potential effects and risks associated with climate change, through measures that promote adaptation"*. Similarly, it states that in order to ensure that the programs, policies and projects promoted by the Ministry are sustainable in the face of climate change, and to reduce the risks they pose to associated development investments, minimum requirements must be met, including: *"Identification of climate change risks to programs and projects: all program and project components must be reviewed to determine whether their longer-term viability or sustainability may be threatened by events generated by climate change"*.

Examples of non-compliance in countries of the region

Costa Rica 2014. No evidence was found in the regulations of the transport sector, defining the responsibility to carry out analyses of the risk of disasters or adverse effects of climate change within the scope of its competencies. Decree No. 27917 - MOPT containing the Organizational and Functional Reform of the Ministry of Public Works and Transport of May 31, 1999, only refers in its Article 15- Functions of public works, paragraph e, to the obligation to "coordinate" with the National Emergency Commission in the events aimed at preventing and attending to emergency situations, but it does not establish the sector's own obligations to analyze the risks.

Paraguay 2016. No evidence was found. They were analyzed: (i) Law No. 167 approving with amendments Decree - Law No. 5 dated March 27, 1991 establishing the organic structure and functions of the Ministry of Public Works and Communications, (ii) Decree No. 11,670/00 approving the Regulations to Law No. 1533/2000 establishing the public works regime; and (iii) Decree No. 1350/14 which regulates Law No. 51 02/2013 on the promotion of investment in public infrastructure and the expansion and improvement of goods and services under the responsibility of the State.

Code RI-1B-15

Closed-ended question	
15. Do the water and sanitation sector regulation (or equivalent sector) define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?	
Indicator Overview	
<p>This indicator seeks to establish whether the regulatory framework of the water and sanitation sector defines responsibilities for conducting analysis, identifying disaster risk, or studying the adverse effects of climate change within the scope of its competencies.</p> <p>This indicator recognizes that each sector should have the obligation to implement its corresponding responsibilities in the components related to Disaster Risk Management (DRM) or climate change adaptation (CC), in particular with regard to the identification of the risk or adverse effects of climate change.</p> <p>It should be noted that in some countries the water and sanitation sector involves several institutions in charge of governance, regulation (superintendency) and the provision of these types of services, where each one may have its own regulatory framework. Even in some countries the provision of water and sanitation services can be done under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility for identifying the risk must be defined, regardless of who the actor (public or private) is that must comply with it.</p> <p>It should be noted that actions and responsibilities on "risk analysis" may be considered using terminology such as risk estimation, risk identification or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing entity, regulator, and suppliers) in the water and sanitation sector. 2. Review the regulations related to the water and sanitation sector, including any guidelines, technical regulations and concession contracts that may exist. 3. Identify whether the regulations establish responsibilities for at least one of the relevant actors in the water and sanitation sector to carry out studies and analyses of disaster risk or the adverse effects of climate change. 4. If necessary, consult with representatives of the relevant actors in the water and sanitation sector about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RR-1B-14 DP-1B-10 RC-1B-8	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to relevant actors in the water and sanitation sector to conduct disaster risk analysis or the adverse effects of the CC.
RI-2-10 RI-2-13	In the case of confirming the allocation of resources to any of the relevant actors in the water and sanitation sector to carry out disaster risk analysis, investigate the regulations that allow such allocation.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the identified regulations for the water and sanitation sector must explicitly establish competencies for carrying out activities to analyze disaster risk or the adverse effects of climate change, such as (i) Risk analysis of sanitation service providers; (ii) Risk assessment of critical components of water supply and sanitation systems; (iii) Seismic risk analysis of water and sanitation services.

If the regulations assign general responsibilities for DRM, the justification must state that the risk analysis is part of the scope and components of DRM defined in the regulations.

It will not be possible to validate this indicator if the identified regulations assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Costa Rica 2014. The Institutional Strategic Plan 2007-2015. Costa Rican Institute of Aqueducts and Sewerage (A Y A for its acronym in Spanish) (RI-1B-15a) considers in its number 1.3. Environmental Sub-Management, Development and Research, ". 9. To carry out a risk management analysis of the infrastructure of the systems in relevant operation and the use of the water resource (surface and subway), for the purpose of planning prevention, control or mitigation measures". "2.4. Risk Management Policies. The AyA will implement all of its management by strengthening risk analysis, through the integration of prevention, mitigation, and reconstruction activities with those of conservation, surveillance, and control of water resources, as well as in the installed infrastructure and in any other activity inherent to the institutional task. In addition, it will develop the Risk Assessment Plan, which will have the methodology and regulations in this regard, as well as the Plan for the establishment and operation of the Risk Assessment System (SEVRI for its acronym in Spanish) for AyA and its respective comprehensive training plan for the culturalization and implementation of this". Likewise, it considers under the concepts of "Business Management. ... Strategic Actions: "2. Guide and direct the business management with emphasis on customer service, accountability, efficient management of resources and identification and minimization of risks in the provision of services, ensuring financial sustainability ..." and "Institutional Development and... Strategic Actions: 5. Strengthen the System of Internal Control and Institutional Risk Assessment".

Nicaragua 2016. The Technical Guide for Vulnerability Reduction in Drinking Water Supply and Sewerage Systems, published in 2000 and updated in the period 2008-2010, by the Nicaraguan Institute of Aqueducts and Sewerage (INAA for its acronym in Spanish), which serves as the regulatory entity for the provision of drinking water and sewerage services (according to Article 3 of the General Law on Drinking Water and Sewerage Services). This update introduces risk management in the planning of drinking water and sewerage projects in the phases of the project cycle: Pre-feasibility, Feasibility, Construction and Operation Studies in order to reduce the risk and vulnerability of drinking water and sewerage systems. In Section B: Technical Guide, in section 2, Conceptual Framework of Risk Management, it includes in numeral 2.1 the Methodology for Risk Assessment, in which it evaluates both the threat and the vulnerability. With respect to the Evaluation of Threats, it says that *"It is carried out through inventories of phenomena carried out in a participatory manner with municipalities, community leaders and the population; field observations and measurements, analysis and review of available scientific information (maps, aerial photos, reports, etc.), in order to know the probable location and severity of dangerous natural phenomena, as well as the probability that they will occur in a specific time and area". And it results in "... the elaboration of a map of threats, which represents a key element for the planning of the use of the territory and constitutes an indispensable input for the evaluation of the current and potential risks"*. This is complemented by the "Methodology for Pre-investment in Water and Sanitation Projects" of the General Directorate of Public Investment (DGIP for its acronym in Spanish) of the Ministry of Finance and Public Credit (MHCP for its acronym in Spanish), which is the governing entity of the National System of Public Investment (SNIP for its acronym in Spanish), published in 2013. This Methodology proposes that project profiles should have a "Diagnosis of the current situation" that includes the characteristics of the geographic area in which the service provider unit (or productive unit, if it exists) is currently located, and the site in which the project could be located; as well as the area in which the beneficiary population is located (area of influence). Geographic, physical, climatic, economic and social aspects must be studied. The analysis of the area of influence must incorporate the identification of existing and recently occurring dangers or threats.

Examples of non-compliance in countries of the region

Panama 2014. The regulatory framework for the sector is set forth in Decree Law 2 of January 7, 1997, as amended by Law 77 of December 28, 2001, of the IDAAN (for its acronym in Spanish). The provision of drinking water service, in urban areas, is provided by IDAAN (Institute of Aqueducts and Sewerage), and the participation of third parties is allowed in areas where IDAAN cannot provide the service (temporary licenses are given). For rural areas, the Ministry of Health organizes the construction of aqueducts and assistance to the community. The IDANN regulation does not explicitly include the issue of risk awareness. At the rural level, it assigns responsibilities to MINSA. There is no reference to DRM in the law.

Guatemala 2013. The competencies related to this sector are under the orbit of the municipalities, and the regulations for the territorial management units are the first reference to evaluate the condition that the indicator investigates. In this sense, the Municipal Code created by (Decree No. 12-2002) and its reforms generated by (Decree No. 22-2010), does not define the responsibility to carry out analyses of the risk of disasters or adverse effects of climate change within the scope of its competencies, since it only refers in Article 147, regarding drinking water and general sewage, to the obligation of municipalities to formulate and carry out plans for territorial planning, integrated development and urban planning, and in Article 53, regarding the powers of the mayor who presides over the Municipal Council: *"j) To adopt personally, and under his responsibility in case of catastrophe or disasters or serious risk of the same, the necessary measures, giving immediate account to the full Municipal Council"*. On the other hand, the Institute of Municipal Development (INFOM for its acronym in Spanish) is in charge of executing the projects of Potable Water and Sanitation in the municipalities. The Organic Law of INFOM (Decree No. 1132 of February 15, 1957) does not define the responsibility for carrying out analyses of the risk of disasters or adverse effects of climate change within the scope of its competencies, however, the projects are loans and donations and to that extent some analysis could be done depending on the conditions of the projects.

Code RI-1B-16

Closed-ended question	
16. <i>Do the telecommunications sector regulations (or equivalent) define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?</i>	
Indicator Overview	
<p>This indicator seeks to establish whether the regulatory framework of the telecommunications sector defines responsibilities for conducting analysis, identifying disaster risk, or studying the adverse effects of climate change within the scope of its competencies.</p> <p>This indicator recognizes that each sector should have the obligation to implement its corresponding responsibilities in the components related to Disaster Risk Management (DRM) or climate change adaptation (CC), in particular with regard to the identification of the risk or adverse effects of climate change.</p> <p>It should be noted that, in some countries, the telecommunications sector (understood to include at least telephony services) involves several institutions in charge of governance, regulation (superintendency) and the provision of this type of service where each of these institutions may have its own regulatory framework. There are even cases in which the provision of telecommunications services can be carried out under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility for identifying the risk must be defined, regardless of who the actor (public or private) is that must comply with it.</p> <p>It should be noted that actions and responsibilities on "risk analysis" may be considered using terminology such as risk estimation, risk identification or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing entity, regulator and suppliers) of the telecommunications sector. 2. Review the regulations related to the telecommunications sector, including the guidelines, technical regulations and concession contracts that may exist. 3. Identify whether the regulations establish responsibilities for at least some of the relevant actors in the telecommunications sector to carry out studies and analyses of disaster risk or the adverse effects of climate change. 4. If necessary, consult with representatives of the relevant actors in the telecommunications sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RR-1B-15 DP-1B-11 RC-1B-9	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to relevant actors in the telecommunications sector to carry out disaster risk analysis or the adverse effects of the CC.
RI-2-11 RI-2-15	In the case of confirming the allocation of resources to any of the relevant actors in the telecommunications sector to carry out disaster risk analysis, investigate the regulations that allow such allocation.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the regulations identified for the telecommunications sector must explicitly establish competencies for carrying out activities to analyze disaster risk or the adverse effects of climate change, such as (i) Risk analysis of telecommunications service providers; (ii) Risk assessment of critical components of telecommunications services; (iii) Seismic risk analysis for critical telecommunications services infrastructure.

If the regulations assign general responsibilities for DRM, the justification must state that the risk analysis is part of the scope and components of DRM defined in the regulations.

It will not be possible to validate this indicator if the identified regulations assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Brazil 2017. RESOLUTION No. 656 OF AUGUST 17, 2015, approving the Regulations on Risk Management of Telecommunication Networks and Use of Telecommunication Services in Cases of Disaster, Emergency Situations and State of Public Disaster, in TITLE III, DISASTER PREPAREDNESS AND RESPONSE MEASURES, EMERGENCY SITUATIONS AND PUBLIC CALAMITY, in CHAPTER I, MEASURES OF PREPARATION, establishes in Article 12. "The suppliers covered by this Regulation shall prepare and maintain the Contingency Plan for risk areas mapped by disasters and shall implement them in case of disaster". In addition to TITLE I, GENERAL PROVISIONS, CHAPTER I, PURPOSE AND SCOPE, Article 3 states that: "Suppliers are fully responsible for the adoption and implementation of the risk management process and measures for preparedness and response to disasters, emergency situations or states of public disaster", which means in the text, through the expression risk management, the responsibility to carry out the risk analysis of disasters or adverse effects of climate change within the scope of their competence, without leaving any explicit responsibility. Also in the same decree, in paragraph VI of the "Risk Management Process", the "systematic application of management policies, procedures and practices for communication, consultation, establishment of context, and the identification, analysis, evaluation, treatment, monitoring and critical analysis of risks" is defined.

Examples of non-compliance in countries of the region

Paraguay 2016. The National Telecommunications Commission (CONATEL for its acronym in Spanish) is the regulatory body of the National Telecommunications System in accordance with Law No. 642/05 on Telecommunications, approved on May 21, 1995, which does not assign specific responsibilities for conducting risk identification studies in this sector. In addition, the regulatory documents were consulted: (i) Resolution No. 1232/2003 approving the Regulations on Quality of Service for the Telephone Service, approved by CONATEL on October 23, 2003 and published in Official Gazette No. 2016; and (ii) National Telecommunications Plan for the period 2016-2020, approved by the National Telecommunications Commission by Resolution 244 of February 24, 20016 and published in Official Gazette No. 38, without finding evidence of compliance with the indicator. The failure to comply with this indicator was ratified during interviews with personnel of the National Telecommunications Commission.

Code RI-1B-17

Closed-ended question	
17. Do the energy sector regulations (or equivalent) define the responsibility to carry out disaster risk or adverse effect analyses of climate change within the scope of its competencies?	
Indicator Overview	
<p>This indicator seeks to confirm whether the regulatory framework of the energy sector, understood as electrical energy, defines responsibilities for carrying out disaster risk analysis, or for the adverse effects of climate change within the scope of its competencies.</p> <p>This indicator recognizes that each sector should have the obligation to implement its corresponding responsibilities in the components related to Disaster Risk Management (DRM) or climate change adaptation (CC), in particular with regard to the identification of the risk or adverse effects of climate change.</p> <p>It should be noted that, in some countries, the energy sector involves several institutions in charge of the generation, transmission and distribution of electricity. Likewise, there could be institutions responsible for the leading, regulation (superintendency) and provision of these types of services, and each one could have its own regulatory framework. In some countries, the provision of energy services can even be carried out under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility for identifying the risk must be defined, regardless of who the actor (public or private) is that must comply with it.</p> <p>It should be noted that actions and responsibilities on "risk analysis" may be considered using terminology such as risk estimation, risk identification or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing entity, regulator) of the energy sector. 2. Identify the institutions in charge of the generation, transmission and distribution of electrical energy. 3. Review the regulations related to the energy sector, including any guidelines, technical regulations and concession contracts that may exist, and verify whether they establish responsibilities for carrying out activities to analyze the risk of disasters or adverse effects of climate change. 4. If necessary, consult with representatives of the relevant actors in the energy sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RR-1B-16 DP-1B-12 DP-1B-15 RC-1B-10	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to relevant actors in the energy sector to carry out disaster risk analysis or the adverse effects of the CC.
RI-2-12 RI-2-14	In the case of confirming the allocation of resources to any of the relevant actors in the energy sector to carry out disaster risk analysis, investigate the regulations that allow such allocation.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, some of the conditions listed below must be met:

- The regulatory framework applicable to at least one of the relevant actors in the energy sector (governing or regulatory entity), must establish responsibilities and functions for carrying out activities of risk analysis of disasters or adverse effects of climate change in its area of competence, or
- That there are regulations that establish responsibilities and functions to carry out activities of risk analysis of disasters or adverse effects of climate change for each of the institutions responsible for the generation, transmission and distribution of electricity

Disaster risk analysis, or analysis of the adverse effects of climate change, can be of the type: (i) Risk analysis of energy service providers; (ii) Risk assessment of critical energy service infrastructure; (iii) Seismic risk analysis for critical energy service infrastructure.

If general responsibilities for DRM are assigned in the regulations, the justification must state that the risk analysis is part of the scope and components of the DRM defined in the regulations.

It will not be possible to validate this indicator if the identified regulations assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.

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Examples of compliance in countries of the region

Uruguay 2015. The National Administration of Power Plants and Electric Transmission (UTE for its acronym in Spanish), is the Uruguayan state-owned company engaged in the generation, transmission, distribution and marketing of electricity, providing related services and consultancy. The UTE approved on June 14, 2014, by means of Resolution of the Board of Directors No. 94-1039 (RI-1-17a), the "Risk Management Policy and Methodological Framework" (RI-1B-17b). This policy considers as risks all those potential events that may negatively affect the achievement of the company's main business objectives, including "environmental risks". The Policy establishes that Risk Management will include at least: i) The identification of relevant risks, as previously defined, taking into account the main business objectives; ii) the analysis of such risks, evaluating their probability of occurrence and their potential impact on the company (in terms of economic losses, regulatory non-compliance, image problems, damages to personnel, failures in the provision of service or customer support, etc.).

Examples of non-compliance in countries of the region

Ecuador 2016. The Organic Law of the Public Electricity Service does not contain specific provisions related to the responsibility of carrying out a risk analysis of disasters or adverse effects of climate change for the sector; the only reference is aimed at verifying the feasibility of providing electricity services based on a technical document issued by the National Secretariat of Risk Management (Art.65).

Code RI-1B-18

Closed-ended question	
18. Are there national regulations that define which buildings are essential, indispensable or critical infrastructure for country?	
Indicator Overview	
<p>This indicator recognizes as good practice that there are national regulations that define certain buildings or infrastructure as essential, indispensable or critical, due to their vital and strategic importance in cases of emergency or disaster, whether because of the essential services they provide to society, their strategic importance in the country's development or their special usefulness in emergency tasks.</p> <p>This classification as essential, indispensable or critical implies that they must be designed, built and maintained applying more demanding parameters than the rest of the buildings, in such a way as to ensure their safety and functionality in any time and circumstance.</p> <p>Examples of buildings that are usually considered essential or indispensable are hospitals, fire stations, police stations, army stations and schools. As critical infrastructure are usually considered ports (air, sea or river), main roads, telecommunications systems, energy, water and sanitation, among others.</p> <p>This definition of critical infrastructure is usually included in DRM regulations, general building regulations or earthquake-resistant building codes, although it could also be defined in building regulations related to other natural phenomena, or in other regulations related to the continuity of state operation or safety issues.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the GRD regulations, regulations related to the design and construction of buildings and infrastructure, especially the codes of seismic-resistant design, against winds or other phenomena, or regulations related to the continuity of state operation or in security. 2. Analyze if in such regulations have been determined which buildings or infrastructure are considered critical, indispensable or essential, and therefore subject to more demanding construction parameters, unlike other regular buildings. 3. If necessary, consult directly with representatives of professional associations of engineers or architects, as well as the governing body of the DRM system, on the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
GF-1A-1 RR-1A-3 RR-1B-3 RR-1B-4	Review whether the regulations used to verify these indicators consider the definition of essential, indispensable buildings or critical infrastructure in the country.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the identified regulations must establish the notion of essential, indispensable buildings or critical infrastructure in the country.

The justification must include the text of the regulations containing the definition of this type of infrastructure, and if there is one, the list of buildings, infrastructure and services considered in the definition.

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Examples of compliance in countries of the region

Peru 2013. In the Technical Building Regulation E.30 Seismic Resistant Design, approved by Ministerial Resolution No. 079-2003-Housing, of April 2, 2003 (RI 1B-18a), which has several updates and whose latest version is contained in Supreme Decree No. 017- 2012-Housing, defines in its Article 10, the category of buildings, and contains the table identified as No. 3, in which category A Essential Buildings describes: *"Essential buildings whose function should not be interrupted immediately after an earthquake occurs, such as hospitals, communication centers, fire and police stations, electrical substations, water reservoirs, educational centers and buildings that may serve as shelter after a disaster. There are also included buildings whose collapse may pose an additional risk, such as large furnaces, warehouses, or flammable or toxic materials.*

Examples of non-compliance in countries of the region

Belize 2017. The Construction Act of Belize, Chapter 131 of the Substantive Laws of Belize, revised edition 2011, does not include any definition of essential buildings or critical infrastructure. During interviews with the Ministry of Housing and Urban Development and the Central Building Authority, both regulated by Chapter 182 of the Housing and Urban Planning Act, Belize Substantive Laws, 2011 revised edition, it was specifically stated that there is no building code for Belize and officially accepted building codes from other countries are permitted. As a recommendation, the Central Building Authority recommends the use of the Caribbean Uniform Building Code. In addition, it was specifically stated that an official definition of critical infrastructure has not been developed. In the absence of regulation within the laws in question, the condition is not met.

Code RI-1C-1

Closed-ended question	
1. <i>Do the National Risk Management regulations establish that territorial management units are responsible for disaster risk assessment in their respective territories?</i>	
Indicator Overview	
<p>This indicator refers to a quality attribute of the national DRM regulations, which recognizes the importance of disaster risk management being implemented not only by the national, central or federal government, but also that the Territorial Management Units (TMU) have the competence to carry out certain local risk management functions and that these are in accordance with their functions, resources and capacities.</p> <p>In this sense, this indicator assesses whether the existing DRM regulations in the country assign competencies to the TMUs in terms of disaster risk analysis within their territories (whether regions, states, provinces, departments, municipalities, cantons, etc.).</p> <p>It should be noted that actions and responsibilities on "risk analysis" may be referred to using other terms such as risk assessment, risk estimation, risk identification or similar.</p> <p>In this indicator, one must consider that the TMUs in each country have a series of particularities with respect to their political-administrative regime. Although most countries are located in the decentralized regime, the processes of decentralization vary considerably. On the other hand, in the federated countries the TMUs also present different degrees of autonomy and sovereignty. Whatever the case, it is necessary to determine the DRM regulations that define the role of the TMUs within the components of DRM, and then determine whether these regulations require them to carry out risk assessment tasks in their own territories.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the existing TMUs in the country that have been assigned responsibilities for land use and land management. 2. Identify specific national DRM regulations. 3. Analyze if in such DRM regulations (the one identified in step 2) competences for the identification, estimation or analysis of disaster risk are expressly assigned to the TMUs identified in step 1. 	
Link to other indicators	
GF-1A-1 RR-1C-1 DP-1C-3	Review whether the regulations used to verify these indicators take into account the assignment of responsibilities to the TMUs for conducting disaster risk analysis in their respective territories
Description of the minimum situation required to consider the indicator met	

In order to comply with the indicator, the identified DRM regulations must explicitly establish the TMUs that have been assigned land use and land management responsibilities for the component or activities of analysis, identification or estimation of disaster risk in their respective territories.

If the regulations assign general responsibilities for DRM to these TMUs, the justification must state that the risk analysis is part of the scope and components of the DRM concept defined in the regulations.

If the identifies regulations do not assign differentiated responsibilities for each of the levels of TMUs existing in the country (regions, states, provinces, departments, municipalities, cantons, etc.), this indicator will be met if at least these responsibilities are assigned to the lowest level territorial management unit (municipality or equivalent) existing in the country that has been assigned responsibilities for land use and planning.

It will not be possible to validate this indicator if the identified regulations assign responsibilities only for the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Dominican Republic 2014. Decree No. 874-09, which approves the Regulation of Application of Law No.147-02, on Risk Management, of November 30, 2009 (RI-1C-1a), establishes in its Article 14, Regional, Provincial and Municipal Committees on Prevention, Mitigation and Response to Disasters; that *"Administrative regionalization is the instrument for coordinating Prevention, Mitigation and Response actions that allows and guarantees the greatest efficiency in the response and implementation of sustainable plans in risk management, established in this regulation... The Regional, Provincial and Municipal Committees will be in charge of organizing PRM work in their respective areas, such as:... 4) Technically support the identification of risks, evaluation of their magnitude and formulation of alternative solutions. For this purpose, the National Technical Committee for Risk Prevention and Mitigation should provide advice. 5) To support and promote the identification of human settlements in risk areas and to promote the obtaining of resources for the improvement of their conditions or their relocation..."*

Bolivia 2015. Law No. 113 /2013-2014, RISK MANAGEMENT LAW, approved by the National Assembly on November 13, 2014 (RI-1C-1a) establishes in Title II, Chapter I, Article 21 (RISK MANAGEMENT IN TERRITORIAL ORGANIZATION): *"Based on the guidelines issued by the central level of the State: a) The autonomous territorial entities, within the framework of their competencies, must incorporate basic parameters for the identification, evaluation, measurement and zoning of areas with degrees of vulnerability and/or risk, with the purpose of issuing regulations prohibiting human settlements and social economic activity in these areas, the objective being to protect life, livelihoods and urban and/or rural infrastructure."* Additionally, the Andres Ibañez Framework Law on Autonomies and Decentralization, Law No. 031, enacted on July 19, 2010, establishes in Article 100 (RISK MANAGEMENT AND NATURAL DISASTER CARE),
Within the responsibilities of the Departments and Municipalities: *"To carry out exhaustive risk evaluations, applying the criteria, parameters and common methodology to classify the levels of disaster risk, monitor them, communicate them at the level (municipal/departmental) and report them to the National System for Risk Reduction and Attention to Disasters and Emergencies (SISRADE for its acronym in Spanish)"*.

Examples of non-compliance in countries of the region

Guatemala 2013. The condition is not met. The Regulations of the Law of CONRED approved by Agreement N° 49-2012, in Chapter V Prevention and Mitigation of Disasters, Article 82. Prevention and Mitigation Projects establishes that: "*The Executive Secretariat, the Scientific Council and the Regional, Departmental, Municipal and Local Coordinators, will implement and promote projects of prevention and mitigation of disasters in accordance with the studies of threat, vulnerability and risk that are carried out*". However, it does not refer to the responsibilities of the territorial management units in the specific matter of carrying out these studies. It is clarified that the coordinators mentioned are structures of the SE-CONRED at the territorial levels, and therefore are different from what is defined by territorial management units in the iGOPP glossary.

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 risk in the territory, or that designate a national actor responsible for setting the scale or resolution in which the risk analysis should be carried out for different levels of government?	
Indicator Overview	
<p>In order for the results of risk analysis to be useful for risk reduction activities, such analysis must be developed at an appropriate scale or level of resolution that facilitates decision-making on land use planning or public investment, which are fundamental to risk reduction.</p> <p>For the purposes of this indicator, we are not looking for a resolution reference value or a specific scale, but rather the establishment, through regulations, of an appropriate value for hazard or risk maps to support decision-making. In the absence of working scales or resolution levels, it is necessary to determine whether the regulations define an institutional actor that has the power, within its level of competence, to establish such scales or resolution levels according to the different levels of government. This would allow the maps and studies generated by the national institutes or services to be of practical use to the levels of government that must formulate the plans for land use planning, integrated basins management or similar, as well as the plans or programs for risk prevention or reduction.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze whether the land use planning regulations (or equivalent process) address the scales or level of resolution at which the baseline information for disaster risk analysis should be generated. 2. Analyze whether national DRM regulations establish the scales or levels of resolution for disaster risk analysis or equivalent process in the country. 3. Analyze whether the regulations that govern hydrometeorological or geophysical institutes, spatial data infrastructure, or territorial or environmental studies, designate a national actor as responsible for defining such scales of work or levels of resolution considering the different levels of government. 4. If necessary, consult with representatives of institutions linked to land use planning regulations, hydrometeorological or geophysical institutes, or data infrastructure, as well as the governing body of the DRM system, about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RI-1A-1	If there is a national actor responsible for providing technical assistance and guidelines at territorial levels for the analysis of disaster risk, verify whether guides or guidelines have been developed to verify this indicator.
RI-1A-3	Verify whether the regulations or guidelines for the operation of the disaster risk management information system include the considerations addressed by this indicator.
Description of the minimum situation required to consider the indicator met	

<p>The verification of this indicator may be given with the fulfillment of some of the following conditions:</p> <ul style="list-style-type: none"> - Existence of national regulations that define the working scales or resolution levels at which threats or risks in the territory must be zoned (maps). - Existence of regulations that indicate a national instance in charge of establishing the work scales or resolution levels with which the maps or plans of territorial ordering, of integrated management of hydrographic basins or of environmental planning processes should be formulated.
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>
<p>Examples of compliance in countries of the region</p>
<p>Bolivia 2015. Law No. 113 /2013-2014, RISK MANAGEMENT LAW, approved by the National Assembly on November 13, 2014 (RI-1A-3a), establishes in Title 1, Chapter II; Section II, Article 16 (ATTRIBUTIONS OF THE MINISTRY OF DEVELOPMENT PLANNING), paragraph f): "<i>In coordination with the Ministry of Defense and the Ministry head of the sector, to establish guidelines and directives that allow to evaluate the risk in sectorial projects of the central level of the State</i>". Further on, in Article 18. (OBLIGATIONS OF PUBLIC INSTITUTIONS AT THE CENTRAL LEVEL OF THE STATE REGARDING RISK MANAGEMENT). It is established that ministries and public institutions in terms of risk management should "<i>a) Incorporate risk management into development plans, territorial planning plans and sectoral plans, whether at the national, departmental, regional, municipal or native indigenous peasant, level, as appropriate...</i>", introducing, on a mandatory and preferential basis, actions and resources for risk management, with emphasis on risk reduction through prevention, mitigation, recovery and reconstruction, within the framework of the strategic guidelines and directives formulated by the Ministry of Development Planning, as the governing entity of the State's comprehensive planning. The Ministry of Sustainable Development and Planning (now the Ministry of Development Planning) formulated the Methodological Guide for the Formulation of Departmental Land Management Plans (RI-1C- 2b), section 4.3. Territorial Ordering Plans, numeral 3 (planning levels), establishes that "<i>... the National Territorial Ordering Plan must include maps at a working scale of 1:1,000,000; that the Departmental Territorial Ordering Plan includes maps at a working scale of 1:250,000 or 1:500,000 and that the Municipal Territorial Ordering Plan includes maps at a working scale of 1:100,000 and 1:50,000</i>". From the above, it can be concluded that since risk maps are integrated into territorial planning plans, they must be adjusted to the different scales established in the methodological guidelines mentioned above.</p>
<p>Examples of non-compliance in countries of the region</p>
<p>Colombia 2013. There is no regulation that expressly indicates a person responsible for defining the scale on which the risk analysis is performed. On December 26, 2012, Ministerial Resolution No. 334-2012-PCM was approved, according to which "the technical guidelines of the risk estimation process are approved". These guidelines specify the procedure for conducting the "risk analysis" of a particular geographic area, but do not explicitly define the scale of work. On the other hand, in the context of the Spatial Data Infrastructure (IDEP for its acronym in Spanish), work is being done on a Metadata format that is expected to advance the definition of the attributes of the information generated for the risk issue, among them the scale and its resolution.</p>

Code RI-1C-3

Closed-ended question	
3. Are there regulations that establish the mandatory zoning of threats in cities?	
Indicator Overview	
<p>From the identification and analysis of natural hazards, it is feasible to define or delimit areas of greater or lesser incidence through the use of technologies such as remote sensing (use and management of satellite images), global positioning system (GPS), geographic information systems (GIS) and other systems. With the identification of the threats and their interpretation, the thematic information must be crossed with the urban layout at the level of streets, blocks, plots, or at least at the level of neighborhoods, to define a microzoning.</p> <p>In this way the zoning of threats (or hazards) in cities is key to the subsequent processes of identifying exposed elements and their vulnerability, as well as for land use planning and land management in a sustainable and resilient manner.</p> <p>The indicator seeks to determine whether the identification and analysis of natural hazards in cities has been considered mandatory in the country, for consideration in urban planning processes.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the current regulations on DRM, territorial ordering or equivalent. 2. Identify existing regulations on building design or urban development. 3. Analyze in the identified regulations, if it has been designated the obligation to zone, in the cities, the areas subject to threats (or dangers). 	
Link to other indicators	
RI-1C-1	If there are regulations that establish responsibilities for disaster risk assessment, they could include the responsibility to carry out zoning of natural hazards or threats.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, the existence of national regulations in force must be confirmed, establishing the obligation to carry out zoning for at least one threat (danger) in cities or human settlements.</p> <p>The justification should make explicit the threats for which the zoning should be carried out, as well as elaborate on the objectives and restrictions to which the identified zones will be subject.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Ecuador 2016. The Organic Law on Land Use and Management (RI-1C-3) in Article 11 on the scope of the land use component, provides in paragraph 3, that *"the Decentralized Autonomous Municipal and Metropolitan Governments, in accordance with the provisions of this Law, shall classify all cantonal or district land into urban and rural and define the use and management of the land. In addition, they will identify the natural and anthropic risks at the cantonal or district level, promote environmental quality, safety, social cohesion and accessibility of the urban and rural environment, and establish due guarantees for mobility and access to basic services and public spaces for the entire population"*. The same law in the second reforming provision, number 13, which substitutes article 42 of the Organic Code of Planning and Public Finances, with respect to the minimum contents of the Development and Territorial Ordering Plans that must be formulated and approved by all levels of government, including the cantons (cities), establishes in paragraph 3 *"The identification of the economic-productive activities, risk areas, cultural and natural heritage and large infrastructures that exist in the territorial circumscription of the Decentralized Autonomous Government"*.

Barbados 2018. The Emergency Management Act (RI-1C-3) specifies regulations that establish the obligation to conduct hazard zoning in disaster-prone cities in Part VI, 17 (2) *"The Minister may , on the recommendation of the Director, (a) designate vulnerable areas or critical infrastructure for the purposes of emergency management by delimiting such areas or infrastructure under this section"*.

Examples of non-compliance in countries of the region

Argentina 2014. In the case of seismic threat, the INPRES, an institution created by Law N° 19.616 of 1972, establishes a "national seismic zoning" that indicates 5 different zones in the country; for example, the center-south zone of the province of San Juan and the north of Mendoza are defined as very high danger areas (the highest in the country); the north of San Juan and the center of Mendoza in a high danger area and towards the south of Mendoza the danger decreases from moderate to reduced. However, the minimum situation required to consider the positive condition is not fulfilled, since there are no national regulations that explicitly order the seismic zoning of cities (or at least at the micro-scale level).

RI-2-1 Code

Closed-ended question	
1. <i>Is the subject of disaster risk integrated into educational curricular programs at least at the basic (primary) or secondary level?</i>	
Indicator Overview	
<p>This indicator seeks to verify the integration of disaster risk issues into educational curricula at the basic or secondary level, or equivalent levels in each country, which contributes to building a culture of disaster risk management and, therefore, to the self-care and resilience of individuals and communities.</p> <p>In some countries, the definition and development of curricula for the basic and secondary levels (or equivalent) are defined at the national, central or federal level, depending on the political-administrative model. However, in other cases (for example, where decentralized territorial levels prevail), the definition of curricular programs and curricula are defined in a decentralized manner. In the latter case, to comply with the indicator it is necessary for the DRM issue to be integrated into the educational curricula at the basic or secondary level of all the TMUs. In this sense, it would be sufficient for a single territory not to comply with this integration to consider the indicator as unfulfilled.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze the regulations of the education sector, curricular programs, curricula or similar to verify if the curricular program at the basic or secondary level incorporates DRM (it can be as a specific component in DRM or as a sub-component of environmental or social science education). 2. If necessary, consult with representatives of the education sector in areas related to curriculum development or the ministerial unit in charge of DRM on the existence of curriculum programs that allow for the validation of this indicator. 3. Confirm, in the case that the competence of curriculum development is transferred to the UGTs, if the curriculum of at least one UGT has not incorporated the subject into its curriculum. In the event that this competence has been transferred to the LU's, it would be sufficient to find a case of non-compliance by a LU to consider the indicator unfulfilled. 	
Link to other indicators	
RI-2-2	Review whether the regulations used to verify this indicator consider the integration of DRM into the primary or secondary school curriculum.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the explicit integration of DRM issues into primary or secondary school curricula must be demonstrated at the national level or at the level of all TMUs (if this competence has been transferred from the national to the territorial level). In the latter case, if at least one TMU is identified that has not incorporated the issue into its curricular programs, then this indicator will not be positively verified.</p> <p>The justification should summarize the main aspects and components of DRM that have been included in the primary and/or secondary curriculum.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Venezuela 2015. The Integrating Axis of the Basic Education Subsystem: Environment and Integral Health: *"Promotes and values a lifestyle aimed at risk prevention, through integral training and education for life, building knowledge and tools that allow the development of a health culture as a basis for the Integral Health of individuals, families and communities within the framework of health promotion"* and. Curriculum of the Bolivarian Primary Education Subsystem published in 2011 (RI-2-1a). 2- Profile of the graduate of the subsystem: Skills to detect risk factors in the face of natural or provoked threats. *"4.5.3- Third grade. LEARNING AREA: SOCIAL SCIENCES, CITIZENSHIP AND IDENTITY. Component: citizenship and identity as elements of creation of society. Risk management: development of an evacuation plan, in simple situations. Study on the prevention of environmental disasters, 4.5.4- Fourth grade Contents: Prevention of accidents and socio natural disasters. Awareness activities on self-protection and natural phenomena that cause disasters. Planning and execution of drills to monitor and evaluate training programs, mitigation, and attention to adverse events. 4.5.5- Fifth grade and 4.5.6- Sixth grade Experimentation: Experimentation on the physical and chemical changes that occur in the environment Exploration of the causes of seismic movements Contents: Execution of awareness activities on self-protection and natural phenomena that cause disasters. - Planning, execution and evaluation of simulations to give pursuit, control and evaluation to the training programs, mitigation, and attention of adverse events". In addition, in 2011 the MPPE published a document entitled "Educational Guidelines for Integrated Risk Management in the Basic Education Subsystem of the Venezuelan Educational System" (RI-2-1b). This document contains guidelines for the training of children, promoting cognitive, social and emotional development for organizational actions to be taken before, during and after the occurrence of natural and/or anthropogenic adverse events, through disaster risk management activities.*

Examples of non-compliance in countries of the region

Colombia 2013. In the framework of the School Autonomy established by Article 77 of Law 115 of February 8, 1994 "By which the General Education Law is issued"; the Ministry of Education (MEN) cannot issue regulations that establish the curricular contents as such; what it does is "guide" the generation of the minimum contents of the curricula; in this sense, it has the "Document Number 3: Basic Standards of Competence in Mathematics, Natural and Social Sciences, Language and Citizenship", (see Colombia Aprende portal). This document defines what children should learn in Colombia and it is the conceptual support for the elaboration of the external evaluation tests -SABER test- applied by the MEN through ICFES, based on whose results it demands and accompanies the elaboration of the Institutional Improvement Plans. Additionally, there is the document "National Policy of Environmental Education" (2002) elaborated jointly by the MEN and the Ministry of the Environment. According to this document, the objective of this policy is to "Incorporate Risk Management into Environmental Education processes, at all levels of formal, non-formal and informal education, taking into account the cultural context, at the local, regional and/or national level; by means of an articulated work with the entities that make up the National System for the Prevention and Attention to Disasters - SNPAD" (today SNGRD for its acronym in Spanish). Conclusion: There is no regulation that strictly defines the curriculum and within it the subject of DRM; there are guidelines and guiding documents in this area. The indicator asks about implementation (whether it is integrated or not), and in an interview with the Ministry of Education, the response was not conclusive (some regions do and others do not, or integrate it, but not at all basic or secondary levels), so the indicator is not met.

RI-2-2 Code

Closed-ended question	
2. <i>Is the subject of climate change integrated into the educational curricular programs at least at the basic (primary) or secondary level?</i>	
Indicator Overview	
<p>This indicator attaches importance to the acquisition of knowledge about Climate Change (CC) and its adverse effects, and therefore seeks to verify the integration of this subject matter into educational curricula at the basic or secondary level, or equivalent levels in each country.</p> <p>In some countries, the definition and development of curricula for the basic and secondary levels (or equivalent) are defined at the national, central or federal level, depending on the political-administrative model. However, in other cases (for example, where decentralized territorial levels prevail), the definition of curricular programs and curricula are defined in a decentralized manner. In the latter case, in order to comply with the indicator, it is necessary for the subject of CC to be integrated into the curricular programs of education at the basic or secondary level of all the TMUs. In this sense, it would be sufficient for a single territory not to comply with this integration to consider the indicator as unfulfilled.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze the regulations of the education sector, curricular programs, curricula or similar to verify if the curricular program at the basic or secondary level incorporates CC (it can be as a specific component of CC or as a sub-component of environmental education, science or social sciences). 2. If necessary, consult with representatives of the education sector in areas related to curriculum development or the ministerial unit in charge of the Climate Change issue (generally the Ministry of Environment) and the unit in charge of DRM, on the existence of curriculum programs that allow for the validation of this indicator. 3. Confirm, in the case that the competence of the curricular development is transferred to the TMUs, if the CC has been incorporated in the curricular programs in all the TMUs. In the case that this competence has been transferred to the TMU, the indicator is not considered fulfilled if at least one TMU that has not incorporated the subject in its curricular programs is identified. 	
Link to other indicators	
RI-2-1	Review whether the regulations used to verify this indicator consider the integration of CC into the primary or secondary school curriculum.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the explicit integration of the topic of CC into primary or secondary school curricula must be demonstrated at the national level or at the level of all the TMUs (if this competence has been transferred from the national to the territorial level). In the latter case, if at least one TMU is identified that has not incorporated the topic into its curricular programs, then this indicator will not be positively verified.</p> <p>The justification should reflect the aspects related to the CC that have been included in the primary and/or secondary curricular programs.</p>	

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Examples of compliance in countries of the region

Jamaica 2013. Climate change has been included into secondary educational programs as topics, on the CAPE Geography Syllabus, on the CXC Geography Syllabus and the CAPE Sociology Syllabus. On the CAPE Geography syllabus, they have defined what climate change is, the evidence for it and the causes. The syllabus requires terminologies such as: long-term climate, global warming, ENSO/El Niño, short term climate, ITCZ, and atmospheric circulation to be understood.

Examples of non-compliance in countries of the region

Colombia 2013. The Ministry of Education (MEN) expressed in the interview that the theme of climate change has been integrated into the development of environmental education programs, specifically in school environmental projects (PRAES for its acronym in Spanish), within the framework of environmental sustainability; however, the MEN does not define the curricular content through regulations, but rather guides it through guidelines and standards. Conclusion: In an interview with the Ministry of Education, the response was not conclusive (some regions do and others do not, or integrate it, but not at all levels, basic or secondary), therefore the indicator is not met.

RI-2-3 Code

Closed-ended question	
3. <i>In the last fiscal period, were resources allocated to the Ministry of Environment to carry out disaster risk analysis that can be verified through budget classification instruments?</i>	
Indicator Overview	
<p>It is considered a good practice for the environment sector to allocate resources from its budget to disaster risk analysis activities in the area of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalogue, budget tagger or its equivalent, which allows for the identification of the allocation of public resources to disaster risk analysis in the environmental sector during the last fiscal year or period. Although the ideal situation of compliance is that the allocation of resources can be verified through some of the previous elements, what is relevant is that the environmental sector allocates resources from its budget for risk analysis activities within the scope of its sector competences.</p> <p>It should be noted that "risk analysis" actions can be included in the budget using different terminology such as risk estimation, risk assessment or similar. It should also not be confused with environmental risk analysis actions, unless it is specified that they are linked to natural hazards.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify whether there is a budget instrument, object of expenditure, catalogue, budget tagger or its equivalent, for risk analysis or DRM actions that may have been used to allocate resources in the sector's budget. 2. Review the current year's budget of the Ministry of Environment and its assigned entities in order to identify if there are resources allocated to carry out disaster risk analysis actions. 3. Identify whether the environmental authority (or equivalent entity) or its affiliated entities have programs or projects underway that consider disaster risk analysis actions, and inquire whether they are financed with public resources. 4. If necessary, consult with representatives of the environmental sector (or equivalent entity), specifically with the areas responsible for budgeting, disaster risk management or climate change adaptation, about the allocation of resources for disaster risk analysis. 5. Consult, if necessary, with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
RI-1B-8	The existence of environmental sector regulations that define the responsibility for conducting disaster risk analysis could be an indicator that the sector is allocating resources for this purpose.

GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocation via the budget in the sector.
RR-2-1	Evidence of resource allocation for disaster risk reduction activities in the sector could facilitate the search for information to verify this indicator. Sometimes, the allocation of resources for risk reduction activities is coupled with the financing of risk studies that support these activities.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, there must be evidence of resource allocation in the last fiscal year or fiscal period to the Ministry of the Environment (or equivalent entity) or one of its attached entities, to carry out disaster risk analysis activities through budget resources.</p> <p>The justification should detail the disaster risk analysis activities considered in the budget. On the other hand, it should include, if it exists, the detail of the budget instrument, object of expenditure, catalogue, or budget tagger used.</p> <p>This indicator will not be validated with the allocation of international cooperation resources or other different public resources for projects, programs or risk analysis actions implemented by the environmental sector.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>El Salvador 2016. Among the investment projects to be developed by the Environment and Natural Resources Branch in 2016 are (i) "Project: 5229 - National Risk Reduction Program" (RI-2-3a). The description of this Project stipulates that <i>"The program will strengthen the monitoring networks for landslides and floods, identify the most vulnerable areas in the country, carry out studies to define alert thresholds and areas of higher risk and provide technical assistance to the agencies in charge of investments in public and private infrastructure. Awareness and education campaigns for prevention and risk reduction will be implemented. Dynamic Risk Atlas. This component will strengthen the monitoring network of recording stations with telemetric transmission, for landslides and floods"</i>; the "Project: 5978 - Strengthening of the Seismic Monitoring Network at National Level" (RI-2-3b), whose objective is <i>"To strengthen the work and processes of permanent monitoring of the seismicity that occurs at national level, through the expansion and/or improvement of the Seismic Monitoring Network, that allows to reduce the seismic risk in the country"</i>.</p>	
Examples of non-compliance in countries of the region	

Honduras 2014. In accordance with the consultation made to the discrimination of the resources assigned to the Secretariat of Natural Resources and Environment (SERNAA for its acronym in Spanish) for the Fiscal Year 2014 in Integrated Financial Administration System (SIAFI for its acronym in Spanish), in "Detail of Expenditures by Objects at the Level of Work Activities" and "Programmatic Category" no evidence of resource allocation for disaster risk analysis for SERNAA was located. It is worth mentioning that SERNAA has a Risk Management Unit; however, the resources allocated to this area are not reflected in SIAFI. On the other hand, SERNAA has the Environmental Geographic Information Module (MIGA for its acronym in Spanish), built with international cooperation resources, which includes different layers of information, including risk layers.

Code RI-2-4**Closed-ended question**

4. In the last fiscal period, were resources allocated to the Ministry of Agriculture to carry out disaster risk analysis that can be verified through budget classification instruments?

Indicator Overview

It is considered a good practice for the agricultural sector to allocate resources from its budget to disaster risk analysis activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.

Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection.

This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalogue, budget label or its equivalent, that allows for the identification of the allocation of public resources to disaster risk analysis in the agricultural sector during the last fiscal year or period. Although the ideal situation of compliance is that the allocation of resources can be verified through some of the previous elements, however, what is relevant is that it can be evidenced that the agricultural sector allocates resources from its budget for risk analysis activities within the scope of its sector competences.

It should be noted that "risk analysis" actions can be included in the budget using different terminology such as risk estimation, risk assessment or similar. Similarly, agricultural risk analysis actions (e.g. those related to marketing policies, price variation on the international market, pests) should not be confused if they are not linked to natural hazards.

Steps to follow to obtain the required information

1. Verify whether there is a budget instrument, object of expenditure, catalogue, budget tagger or its equivalent for risk analysis or DRM actions that may have been used to allocate resources in the sector's budget.
2. Review the current year's budget of the Ministry of Agriculture and all its attached entities in order to identify whether there are resources allocated to carry out disaster risk analysis actions.
3. Identify whether the Ministry of Agriculture (or equivalent entity) or its attached entities have programs or projects underway that consider disaster risk analysis actions, and inquire whether they are financed with public resources.
4. If necessary, consult with representatives of the Ministry of Agriculture (or equivalent entity) or its attached entities, specifically with the areas responsible for the budget issue, disaster risk management area or climate change adaptation about the allocation of resources for disaster risk analysis.
5. Consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget.

Link to other indicators

RI-1B-9	The existence of regulations in the agricultural sector defining the responsibility for conducting disaster risk analysis could be an indicator that the sector is allocating resources for this purpose.
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocation via the budget in the sector.
RR-2-2	Evidence of resource allocation for disaster risk reduction activities in the sector could facilitate the search for information to verify this indicator. Sometimes, the allocation of resources for risk reduction activities is coupled with the financing of risk studies that support these activities.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, there must be evidence of resource allocation in the last fiscal year or fiscal period to the Ministry of Agriculture (or equivalent entity) or one of its affiliated entities, to carry out disaster risk analysis activities through budget resources.</p> <p>The justification should detail the disaster risk analysis activities considered in the budget and, if available, the detail of the budget instrument, object of expenditure, catalogue, or budget tagger used.</p> <p>This indicator will not be validated by allocating international cooperation resources or other resources to public projects, programs or risk analysis actions implemented by the agricultural sector.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Brazil 2017. The PPA 2016-2019 Program (RI-2-4a), published in the Official Journal of the Union - Supplement, No. 9, on Thursday, January 14, 2016, establishes the 2077 Program "Sustainable Agriculture" which includes Objective 0601: <i>"Improve climate risk management and income protection mechanisms for agricultural activity, with emphasis on rural insurance"</i>, which is the responsibility of the Ministry of Agriculture, Livestock and Supply. The program includes as a goal 2016-2019 "Review methodologies for 12-crop Agricultural Climate Risk Zoning", and as an initiative "02CM - Provision of information and improvement of agro-climatic risk monitoring mechanisms". Article 2 of PPP 2016-2019 states that "PPP 2016-2019 is a government planning instrument that defines the guidelines, objectives, and goals of the federal public administration for capital and other expenditures arising from and related to programs of duration to enable the implementation and management of public policies".</p>	

Examples of non-compliance in countries of the region

Venezuela 2015. The Law on the Integral Management of Socio-Natural and Technological Risks, published in Official Gazette No. 39,095 of January 9, 2009, establishes in Article 45 of the same law that *"All State organs and entities must include in their budgetary provision resources for the formulation and execution of projects and activities aimed at complying with the national policy of integral management of socio-natural and technological risks, in accordance with the provisions of this Law.* In accordance with the consultation made to the "Summary of the General Distribution of the Budgetary Law of Expenditures for the 2015 Fiscal Year", the "National Annual Operating Plan, Fiscal Year 2014" and the four titles of the "Budgetary Law for the 2015 Fiscal Year", published in the Extraordinary Official Gazette No. 6,161 of Wednesday, December 10, 2014, no evidence was found of the allocation of resources for disaster risk analysis for the Ministry of the Popular Power for Agriculture and Lands (MPPAT for its acronym in Spanish). Nor was any evidence found in the MPPAT's 2014 Report and Account.

RI -2-5 Code

Closed-ended question
<i>5. In the last fiscal year, were resources allocated to the Ministry of Health to carry out disaster risk analysis that can be verified through budget classification instruments?</i>
Indicator Overview
<p>It is considered a good practice for the health sector to allocate resources from its budget to disaster risk analysis activities within the scope of its competencies. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalogue, budget tagger or its equivalent, which allows the identification of the allocation of public resources to disaster risk analysis in the health sector during the last fiscal year or period. Although the ideal situation is that the allocation of resources can be verified through some of the above elements, what is relevant is that the health sector allocates resources from its budget for risk analysis activities within the scope of its sector competencies.</p> <p>It should be noted that "risk analysis" actions can be included in the budget using different terminology such as risk estimation, risk assessment or similar. Likewise, health risk analysis actions should not be confused if it is not specified that they are linked to natural hazards.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none">1. Verify whether there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for risk analysis or DRM actions that may have been used to allocate resources in the sector's budget.2. Review the current year's budget of the Ministry of Health and all its assigned entities, in order to identify whether there are resources allocated to carry out disaster risk analysis actions.3. Identify whether the Ministry of Health (or equivalent entity) or its affiliated entities have programs or projects underway that consider disaster risk analysis actions, and inquire whether they are financed with public resources.4. If necessary, consult with representatives of the health sector (or equivalent entity) or its assigned entities, specifically with the areas responsible for the budget issue, disaster risk management area if any, on the allocation of resources for disaster risk analysis.5. Consult, if necessary, with the tax, economic or financial authorities, specifically with the areas responsible for the budget.
Link to other indicators

RI-1B-10	The existence of health sector regulations that define the responsibility for conducting disaster risk analysis could be an indicator that the sector is allocating resources for this purpose.
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocation via the budget in the sector.
RR-2-3	Evidence of resource allocation for disaster risk reduction activities in the sector could facilitate the search for information to verify this indicator. Sometimes, the allocation of resources for risk reduction activities is coupled with the financing of risk studies that support these activities.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be evidence of resource allocation in the last fiscal year or term to the Ministry of Health (or equivalent entity) to carry out disaster risk analysis activities through budget resources.</p> <p>The justification should detail the disaster risk analysis activities considered in the budget and, if available, the detail of the budget instrument, object of expenditure, catalogue, or budget tagger used.</p> <p>It will not be possible to validate this indicator by allocating international cooperation resources or resources different from public resources for projects, programs or risk analysis actions implemented by the housing sector.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Dominican Republic 2014. Law No. 311-12, of the General State Budget, promulgated on December 19, 2012 (RI-2-5a), includes budget items for a disaster risk analysis activity: Training of evaluators on the strategy of hospitals safe from disasters (application of a safety index, i.e., risk assessment for infrastructure (pages 218 and 388)).</p>	
Examples of non-compliance in countries of the region	
<p>Costa Rica 2014. No evidence was found that there are explicit budget allocations for the sector to conduct disaster risk analysis. However, it is known that the Costa Rican Social Security Fund, which is the leading entity in public health services in Costa Rica, has an area that conducts risk analysis, and part of it does so in conjunction with insurance and reinsurance inspectors.</p>	

Code RI-2-6

Closed-ended question	
6. <i>In the last fiscal period, were resources allocated to the Ministry of Housing to carry out disaster risk analysis that can be verified through budget classification instruments?</i>	
Indicator Overview	
<p>It is considered a good practice for the housing sector to allocate resources from its budget to disaster risk analysis activities within the scope of its competencies. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalogue, budget tagger or its equivalent, which allows for the identification of the allocation of public resources to disaster risk analysis in the housing sector during the last fiscal year or period. Although the ideal situation of compliance is that the allocation of resources can be verified through some of the previous elements, however, what is relevant is that it can be evidenced that the housing sector allocates resources from its budget for risk analysis activities within the scope of its sector competences. It should be noted that "risk analysis" actions can be included in the budget using different terminology such as risk estimation, risk assessment or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify whether there is a budget instrument, object of expenditure, catalogue, budget tagger or its equivalent for risk analysis or DRM actions that may have been used to allocate resources in the sector's budget. 2. Review the current year's budget of the Ministry of Housing (or equivalent entity) and of all its attached entities, in order to identify whether there are resources allocated to carry out disaster risk analysis actions. 3. Identify whether the Ministry of Housing (or equivalent entity) or its affiliated entities have programs or projects underway that consider disaster risk analysis actions, and investigate whether they are financed with public resources. 4. If necessary, consult with representatives of the Ministry of Housing (or equivalent entity) or its attached entities, specifically with the areas responsible for the budget issue or disaster risk management area if any, on the allocation of resources for disaster risk analysis. 5. Consult, if necessary, with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
RI-1B-11	The existence of housing sector regulations that define the responsibility for conducting disaster risk analysis could be an indicator that the sector is allocating resources for this purpose.

GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocation via the budget in the sector.
RR-2-4	Evidence of resource allocation for disaster risk reduction activities in the sector could facilitate the search for information to verify this indicator. Sometimes, the allocation of resources for risk reduction activities is coupled with the financing of risk studies that support these activities.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, there must be evidence of resource allocation in the last fiscal year or fiscal period to the Ministry of Housing (or equivalent entity) or one of its affiliated entities, to carry out disaster risk analysis activities through budget resources.</p> <p>The justification should detail the disaster risk analysis activities considered in the budget and, if available, the detail of the budget instrument, object of expenditure, catalogue, or budget tagger used.</p> <p>It will not be possible to validate this indicator by allocating international cooperation resources or resources different from public resources for projects, programs or risk analysis actions implemented by the housing sector.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Chile 2013. In accordance with the consultation carried out in Law No. 20641 on Public Sector Budgets 2013, dated December 22, 2012 (RI-2-6a), on page 620 it states: <i>"From these resources, M\$ 412,499 will be allocated to contracting risk and urban planning studies linked to the Reconstruction Plan, and the expenses associated with the bidding, contracting, dissemination and publication of these studies may be financed. Ministry of Housing and Urban Development (The MINVU for its acronym in Spanish) will inform the Budget Office and the Special Mixed Budget Committee on a quarterly basis of the progress and execution of these studies."</i></p>	
Examples of non-compliance in countries of the region	
<p>Bolivia 2015. In accordance with the consultation made to the General State Budget Law, Management 2014, Law No. 455, of December 11, 2013, to the institutional budget by programmatic category and expenditure group, including the one where investment projects are discriminated, no evidence of resource allocation for disaster risk analysis was located for the Ministry of Public Works, Services and Housing. It is worth mentioning that Article 25 of Law No. 113/2013-2014, Risk Management Law, approved by the Assembly on November 13, 2014, stipulates that <i>"The entities at the central level of the State shall provide in their annual operating programs and budgets the necessary resources for risk management, as established in their sectoral development plans."</i></p>	

Code RI-2-7

Closed-ended question	
7. <i>In the last fiscal year, were resources allocated to the ministry of education to carry out disaster risk analysis that can be verified through budget classification instruments?</i>	
Indicator Overview	
<p>It is considered a good practice for the education sector to allocate resources from its budget to disaster risk analysis activities in the area of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalogue, budget label or its equivalent, which allows for the identification of the allocation of public resources to disaster risk analysis in the education sector during the last fiscal year or period. Although the ideal situation is that the allocation of resources can be verified through some of the above elements, what is relevant is that the education sector allocates resources from its budget for risk analysis activities within the scope of its sector competences.</p> <p>It should be noted that "risk analysis" actions can be included in the budget using different terminology such as risk estimation, risk assessment or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify whether there is a budget instrument, object of expenditure, catalogue, budget tagger or its equivalent for risk analysis or DRM actions that may have been used to allocate resources in the sector's budget. 2. Review the current year's budget of the Ministry of Education and all its assigned entities in order to identify if there are resources allocated to carry out disaster risk analysis actions. 3. Identify whether the Ministry of Education or its affiliated entities have programs or projects underway that consider disaster risk analysis actions, and inquire whether they are financed with public resources. 4. If necessary, consult with representatives of the Ministry of Education or its attached entities, specifically with the areas responsible for the budgetary issue or disaster risk management area if any, on the allocation of resources for disaster risk analysis. 5. Consult, if necessary, with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
RI-1B-12	The existence of education sector regulations that define the responsibility for conducting disaster risk analysis could be an indicator that the sector is allocating resources for this purpose.

GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocation via the budget in the sector.
RR-2-5	Evidence of resource allocation for disaster risk reduction activities in the sector could facilitate the search for information to verify this indicator. Sometimes, the allocation of resources for risk reduction activities is coupled with the financing of risk studies that support these activities.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, there must be evidence of resource allocation in the last fiscal year or fiscal period to the Ministry of Education (or equivalent entity) or one of its affiliated entities, to carry out disaster risk analysis activities through budget resources.</p> <p>The justification should detail the disaster risk analysis activities considered in the budget and, if available, the detail of the budget instrument, object of expenditure, catalogue, or budget tagger used.</p> <p>It will not be possible to validate this indicator with the allocation of international cooperation resources or other resources different from public resources for projects, programs or risk analysis actions implemented by the education sector.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Mexico 2014. According to Article 16 of the General Law on Physical Educational Infrastructure, published in the DOF on March 14, 2013 (RI-2-7a), the objective of the National Institute of Physical Educational Infrastructure (INIFED for its acronym in Spanish) is <i>"to function as an organism with regulatory capacity, of consulting and certification of the quality of the country's physical educational infrastructure and construction, in terms of this Law, its regulations and other applicable provisions, and to act as an advisory entity in matters of prevention and attention to damages caused by natural, technological or human disasters in the educational sector"</i>. At http://www.transparenciapresupuestaria.gob.mx/Portal/transform.nodo?id=4.0&transformacion=s&excel=n&zip=n&paramts=0=L509331 it is evident that INIFED assigns resources to the identification of disaster risk: through the "E047 program <i>design, construction, certification and evaluation of infrastructure</i>" the activity of <i>"technical evaluation, as well as physical and/or documentary verification of works and critical and/or at risk educational physical infrastructure"</i> is developed.</p>	
Examples of non-compliance in countries of the region	

Nicaragua 2016. No evidence was found in the Budget of the Ministry of Education 2016 for the allocation of resources to carry out disaster risk analysis. However, it is important to mention that Ministerial Agreement 135- 2010, issued by the Ministry of Education on March 11, 2010, Agreement Seven, establishes that educational center construction projects must conform to the Construction Code and Regulations of the Ministry of Transportation and Infrastructure (MTI) in force; to the Regulations and Criteria for the Design of School Establishments, and the Type Designs, approved by the Ministry of Education, and together with the FISE of an evaluation of the existing risks according to the regulations issued by the MTI, FISE, the Mayor's Office and INETER, in order to reduce the risks and provide greater security to the educational community. However, due to the absence of a budget classification instrument, it is not possible to verify this allocation, so the indicator is not met.

RI-2-8 Code

Closed-ended question	
8. <i>In the last fiscal year, were resources allocated to the Ministry of Tourism (or equivalent entity) to carry out disaster risk analysis that can be verified through budget classification instruments?</i>	
Indicator Overview	
<p>It is considered a good practice for the tourism sector to allocate resources from its budget to disaster risk analysis activities in the area of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability, it is difficult to analyze the effectiveness of a public policy, determine whether the budgetary allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalogue, budget tagger or its equivalent, which allows for the identification of the allocation of public resources to disaster risk analysis in the tourism sector during the last fiscal year or period. Although the ideal compliance situation is that the allocation of resources can be verified through some of the above elements, what is relevant is that the tourism sector allocates resources from its budget for risk analysis activities within the scope of its sector competences.</p> <p>It should be noted that "risk analysis" actions can be included in the budget using different terminology such as risk estimation, risk assessment or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify whether there is a budget instrument, object of expenditure, catalogue, budget tagger or its equivalent for risk analysis or DRM actions that may have been used to allocate resources in the sector's budget. 2. Review the current year's budget of the Ministry of Tourism and all its attached entities in order to identify whether there are resources allocated to carry out disaster risk analysis actions. 3. Identify whether the Ministry of Tourism (or equivalent entity) or its affiliated entities have programs or projects underway that consider disaster risk analysis actions, and inquire whether they are financed with public resources. 4. If necessary, consult with representatives of the tourism sector (or equivalent entity) or its attached entities, specifically with the areas responsible for the budget issue. 5. Consult, if necessary, with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
RI-1B-13	The existence of tourism sector regulations that define the responsibility for conducting disaster risk analysis could be an indicator that the sector is allocating resources for this purpose.

GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocation via the budget in the sector.
RR-2-6	Evidence of resource allocation for disaster risk reduction activities in the sector could facilitate the search for information to verify this indicator. Sometimes, the allocation of resources for risk reduction activities is coupled with the financing of risk studies that support these activities.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, there must be evidence of resource allocation in the last fiscal year or fiscal period to the Ministry of Tourism (or equivalent entity) or one of its affiliated entities, to carry out disaster risk analysis activities through budget resources.</p> <p>The justification should detail the disaster risk analysis activities considered in the budget and, if available, the detail of the budget instrument, object of expenditure, catalogue, or budget tagger used.</p> <p>This indicator will not be validated with the allocation of international cooperation resources or other different resources to public resources for projects, programs or risk analysis actions implemented by the tourism sector.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>There are no examples of compliance according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.</p>	
Examples of non-compliance in countries of the region	
<p>Honduras 2014. In accordance with the consultation made to the discrimination of the resources assigned to the Secretariat of Tourism for the Fiscal Year 2014 in the Integrated Financial Administration System (SIAFI for its acronym in Spanish), in "Detail of Expenditures by Objects at the Level of Work Activities" and "Programmatic Category" no evidence of resource allocation for disaster risk analysis was located for the Secretariat of Tourism. It is important to mention that, as a result of the adjustments to the government structure, made official by Executive Decree PCM-001-2014, published in the Gazette of February 22, 2014, the Ministry of Tourism is now called the Honduran Institute of Tourism (IHT for its acronym in Spanish). It is worth mentioning that IHT assigns resources to disaster risk awareness activities, since they are responsible for preparing the Territorial Management Plans for areas of tourist interest. On the other hand, they have the Environmental Sustainability Unit, which supports DRM issues.</p>	

Code RI-2-9

Closed-ended question	
9. In the last fiscal period, were resources allocated to the Ministry of Transport to carry out disaster risk analysis that can be verified through budget classification instruments?	
Indicator Overview	
<p>It is considered a good practice for the transport sector (understood as roads or road works) to allocate resources from its budget to disaster risk analysis activities in the area of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget tagger or its equivalent, which allows for the identification of the allocation of public resources to disaster risk analysis in the transport sector during the last fiscal year or period. Although the ideal situation of compliance is that the allocation of resources can be verified through some of the previous elements, what is relevant is that it can be evidenced that the transport sector allocates resources from its budget for risk analysis activities within the scope of its sector competences.</p> <p>It should be noted that "risk analysis" actions can be included in the budget using different terminology such as risk estimation, risk assessment or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify whether there is a budget instrument, object of expenditure, catalogue, budget tagger or its equivalent for risk analysis or DRM actions that may have been used to allocate resources in the sector's budget. 2. Review the current year's budget of the Ministry of Transport and its assigned entities, understood as road works, in order to identify whether there are resources allocated to carry out disaster risk analysis actions. 3. Identify whether the Ministry of Transport (or equivalent entity) or its attached entities have programs or projects underway that consider disaster risk analysis actions, and inquire whether they are financed with public resources. 4. If necessary, consult with representatives of the Ministry of Transport (or equivalent entity) or its attached entities, specifically with the areas responsible for the budget issue, disaster risk management or climate change adaptation, if any, on the allocation of resources for disaster risk analysis. 5. Consult, if necessary, with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
RI-1B-14	The existence of transport sector regulations that define the responsibility for conducting disaster risk analysis could be an indicator that the sector is allocating resources for this purpose.

GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocation via the budget in the sector.
RR-2-7	Evidence of resource allocation for disaster risk reduction activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is coupled by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, there must be evidence of resource allocation in the last fiscal year or fiscal period to the Ministry of Transport (or equivalent entity) or one of its attached entities, to carry out disaster risk analysis activities through budget resources.</p> <p>The justification should detail the disaster risk analysis activities considered in the budget and, if available, the detail of the budget instrument, object of expenditure, catalogue, or budget tagger used.</p> <p>This indicator will not be achieved with the allocation of international cooperation or other resources different from public resources for projects, programs or risk analysis actions implemented by the transport sector.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Colombia 2013. In the Appendix of Decree No. 2715 of December 27, 2012, by which the General Budget of the Nation is liquidated for the fiscal year 2012 (RI-2-9a), through the budget item 450 600 1, resources were assigned for pre-investment studies for the <i>"implementation of an integral risk management system for the transportation networks in Colombia -road, river, rail and port- prior concept DNP"</i>.</p>	
<p>Nicaragua 2016. In the last fiscal period, resources were assigned to the Ministry of Transport to carry out disaster risk analysis that can be verified through budget classification instruments according to the Settlement Report of the General Budget of the Republic 2015, (RI-2-9a), the Ministry of Transport and Infrastructure (MTI) assigned resources to "Engineering and design studies for the construction of works of mitigation and vulnerability to climate change in critical points on the Chinandega-Guasaule route". The information can be found in Table 20, Specific Programs, Poverty Reduction Strategy, page 327 of the Report of Settlement of the General Budget of the Republic 2015, General Directorate of Budget 2016, Ministry of Finance and Public Credit (MHCP for its acronym in Spanish).</p>	
Examples of non-compliance in countries of the region	

Barbados 2018. Barbados Estimates 2016-2017 does not evidence allocation of resources to perform disaster risk analysis to Ministry of Transport and Public Works, Head 40. Additionally, in January 2017, no information was found in the list of projects in execution published in the web page of the Public Investment Unit (<http://www.piu.gov.bb/pages/Projects.aspx>). Important to mention that the Coastal Zone Management Unit informed the iGOPP team that Lydar data generated for them is being used by other public entities such as the Ministry of Transport and Works. Important to mention that the Coastal Zone Management Unit informed iGOPP mission that Lydar data generated for them is being used by other public entities such as the Water Authority.

Code RI-2-10

Closed-ended question

10. *In the last fiscal year, were resources allocated to the national entity responsible for water and sanitation to carry out disaster risk analyses that can be verified through budget classification instruments?*

Indicator Overview

It is considered a good practice for the national entity responsible for water and sanitation to allocate resources from its budget to disaster risk analysis activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budgetary allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.

Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection.

This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalogue, budget tagger or its equivalent, which allows for the identification of the allocation of public resources to disaster risk analysis to the national entity responsible for water and sanitation during the last fiscal year or period. Although the ideal situation of compliance is that the allocation of resources can be verified through some of the previous elements, what is relevant is that it can be evidenced that the national entity responsible for water and sanitation allocates resources from its budget for risk analysis activities in the scope of its competencies.

In the water and sanitation sector there are a number of institutions that play the roles of leading, regulation and service delivery. This indicator looks at the resources allocated to the entities in charge of guiding or regulating services. Usually the leading role is performed by a ministry (health, public works, environment, etc.) or inter-ministerial council, and the sector is regulated by a public institution that is independent or dependent on the ministry or sector that performs the leading role.

It is important to avoid confusing the entity responsible for water and sanitation services with the institution responsible for integrated water resource management, which may coincide in some countries.

It should be noted that "risk analysis" actions can be included in the budget using different terminology such as risk estimation, risk assessment or similar.

Steps to follow to obtain the required information

<ol style="list-style-type: none"> 1. Verify whether there is a budget instrument, object of expenditure, catalogue, budget tagger or its equivalent for risk analysis or DRM actions that may have been used to allocate resources in the sector's budget. 2. Identify the national entity responsible for water and sanitation, which is usually the lead, or in some cases the regulator, of the sector. 3. Review the current year's budget of the institutions identified as responsible for the water and sanitation sector in order to identify whether there are resources allocated to carry out disaster risk analysis actions. 4. Identify whether the national entity responsible for water and sanitation has any ongoing programs or projects that consider disaster risk analysis actions, and inquire whether they are financed with public resources. 5. If necessary, consult on the allocation of resources for disaster risk analysis with representatives of the institutions identified as responsible for the water and sanitation sector, specifically with the areas responsible for the budget issue or the area of disaster risk management or climate change adaptation, if such an area exists. 6. Consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
RI-1B-15	The existence of regulations in the water and sanitation sector that define the responsibility for conducting disaster risk analysis could be an indicator that the sector is allocating resources for this purpose.
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocation via the budget in the sector.
RR-1B-14 RR-2-8	Evidence of resource allocation for disaster risk reduction activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be evidence of resource allocation in the last fiscal year or period to the national entity responsible for water and sanitation (governing or regulating body), to carry out disaster risk analysis activities through budget resources.</p> <p>The justification should detail the disaster risk analysis activities considered in the budget and, if available, the detail of the budget instrument, object of expenditure, catalogue, or budget tagger used.</p> <p>This indicator will not be achieved with the allocation of international cooperation or other resources other than public resources for projects, programs or risk analysis actions implemented by the water and sanitation sector. Nor will it be possible to verify this indicator with budgetary allocations for risk analysis by the institution providing water and sanitation services.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Peru 2012. In Appendix 8 of Law No. 29951 of the Public Sector Budget for Fiscal Year 2013, of November 30, 2012 (RI-2-10a), a budget is assigned through item 3000443, Sanitation Service Providers with Technical Institutional Strengthening in Disaster Risk Management. Specific item 5001596 for the Formulation and Updating of Vulnerability Analyses of Sanitation Service Providers, contained on page 1633.

Examples of non-compliance in countries of the region

Argentina 2014. With regard to the performance of risk analysis by the national entity responsible for water and sanitation, the National Water Institute (INA for its acronym in Spanish) is a decentralized agency, dependent on the Undersecretariat of Water Resources of the Ministry of Planning, Federal Investment and Public Works. This Institute has the Directorate of Information and Hydrological Alert Systems, which is in charge of the hydrological alert system in the River Plate Basin. Most of the data used for this System is manually collected and transmitted to the INA, where forecasts are prepared. The forecast system was created using a 1D hydrodynamic model, developed by INA. INA carries out research in hydrological and hydraulic engineering. However, the condition is negative, since it was not possible to identify resources for the activities mentioned in the Budget for the year 2013.

Code RI-2-11

Closed-ended question
11. <i>In the last fiscal period, were resources allocated to the national entity responsible for telecommunications to carry out disaster risk analyses that can be verified through budget classification instruments?</i>
Indicator Overview
<p>It is considered a good practice for the national entity responsible for the telecommunications sector (understood as including at least <u>telephone services</u>) to allocate resources from its budget to disaster risk analysis activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budgetary allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalogue, budget tagger or its equivalent, which allows for the identification of the allocation of public resources to disaster risk analysis to the national entity responsible for telecommunications during the last fiscal year or period. Although the ideal compliance situation is that the allocation of resources can be verified through any of the above elements, what is relevant is that it can be shown that the national entity responsible for telecommunications allocates resources from its budget for risk analysis activities within the scope of its competencies.</p> <p>In the telecommunications sector, a series of institutions coexist, playing the roles of leading, regulation (superintendency) and service provision. This indicator looks into the resources allocated to the entities in charge of guiding or regulating services. Usually the leading role is performed by a ministry or inter-ministerial council, and the sector is regulated by an autonomous public institution or one that depends on the ministry or sector that performs the leading role.</p> <p>It should be noted that "risk analysis" actions can be included in the budget using different terminology such as risk estimation, risk assessment or similar.</p>
Steps to follow to obtain the required information

<ol style="list-style-type: none"> 1. Verify whether there is a budget instrument, object of expenditure, catalogue, budget tagger or its equivalent, for risk analysis or DRM actions that may have been used to allocate resources in the sector's budget. 2. Identify the national entity responsible for telecommunications, which is generally the governing body, or in some cases the regulator of the sector. 3. Review the current year's budget of the institutions identified as responsible for the telecommunications sector in order to identify whether there are resources allocated to carry out disaster risk analysis actions. 4. Identify whether the national entity responsible for telecommunications has programs or projects underway that consider disaster risk analysis actions, and inquire whether they are financed with public resources. 5. If necessary, consult on the allocation of resources for disaster risk analysis with representatives of the institutions identified as responsible for the telecommunications sector, specifically with the areas responsible for the budget issue or disaster risk management area, if such an area exists. 6. Consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
RI-1B-16	The existence of regulations in the telecommunications sector that define the responsibility for conducting disaster risk analysis could be an indicator that the sector is allocating resources for this purpose.
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocation via the budget in the sector.
RR-1B-15 RR-2-9	Evidence of resource allocation for disaster risk reduction activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, there must be evidence of resource allocation in the last fiscal year or period to the national entity responsible for telecommunications (governing body or regulator), to carry out disaster risk analysis activities through budget resources.</p> <p>The justification should detail the disaster risk analysis activities considered in the budget and, if available, the detail of the budget instrument, object of expenditure, catalogue, budget tagger used.</p> <p>This indicator will not be achieved with the allocation of international cooperation or other resources other than public resources for projects, programs or risk analysis actions implemented by the water and sanitation sector. Nor will it be possible to verify this indicator with the budget allocation for risk analysis by the institution providing the telephone services.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no examples of compliance according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Guyana 2017. No evidence about allocation of resources to perform disaster risk analysis to Ministry of Public Telecommunications and Public Utility Commission was found at: (i) *"Estimates of the Public Sector, Current and Capital Revenue Expenditures for the year 2017, as presented to the National Assembly, Volume 1"*; (ii) *"Estimates of the Public Sector, Current and Capital Revenue Expenditures for the year 2017, as presented to the National Assembly, Volume 2, Medium Term Macroeconomic Framework, Revenue & Expenditure & Programme Performance Statements"*; (iii) *"Estimates of the Public Sector, Central Government Development Programme, Capital Project Profiles for the year 2017, as presented to the National Assembly, Volume 3"*.

Code RI-2-12

Closed-ended question

12. *In the last fiscal period, were resources allocated to the national entity responsible for energy to carry out disaster risk analyses that can be verified through budget classification instruments?*

Indicator Overview

It is considered a good practice for the national entity responsible for energy (understood as electrical energy) to allocate resources from its budget to disaster risk analysis activities within the scope of its competencies. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budgetary allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.

Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection.

This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalogue, budget tagger or its equivalent, which allows the identification of the allocation of public resources to disaster risk analysis to the national entity responsible for energy during the last fiscal year or period. Although the ideal compliance situation is that the allocation of resources can be verified through some of the above elements, what is relevant is that it can be evidenced that the national entity responsible for energy allocates resources from its budget for risk analysis activities within the scope of its competencies.

In the energy sector, a series of institutions coexist, which perform the roles of leading, regulation (superintendence), generation, transmission and service provision. This indicator looks into the resources assigned to the entities in charge of guiding or regulating electrical services. Usually the leading role is performed by a ministry, national commission or inter-ministerial council, and the regulation of services is carried out by an autonomous public institution or one that depends on the ministry or sector that performs the leading role.

It should be noted that "risk analysis" actions can be included in the budget using different terminology such as risk estimation, risk assessment or similar.

Steps to follow to obtain the required information

<ol style="list-style-type: none"> 1. Verify whether there is a budget instrument, object of expenditure, catalogue, budget tagger or its equivalent for risk analysis or DRM actions that may have been used to allocate resources in the sector's budget. 2. Identify the national entity responsible for electrical energy, which is generally the entity that exercises the leading role, or in some cases the regulation, of the sector. 3. Review the current year's budget of the institutions identified as responsible for the energy sector in order to identify whether there are resources allocated to carry out disaster risk analysis actions. 4. Identify whether the national entity responsible for the energy sector has programs or projects underway that consider disaster risk analysis actions, and investigate whether they are financed with public resources. 5. If necessary, consult on the allocation of resources for disaster risk analysis with representatives of the institutions identified as responsible for the energy sector (sector governing or regulation), specifically with the areas responsible for budget issues or with the area of disaster risk management or climate change adaptation, if such an area exists. 6. Consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
RI-1B-17	The existence of energy sector regulations defining responsibility for conducting disaster risk analysis could be an indicator that the sector is allocating resources for this purpose.
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocation via the budget in the sector.
RR-1B-16 RR-2-10	Evidence of resource allocation for disaster risk reduction activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, there must be evidence of resource allocation in the last fiscal year or period to the national entity responsible for energy (governing or regulating body), to carry out disaster risk analysis activities through budget resources.</p> <p>The justification should detail the disaster risk analysis activities considered in the budget and, if available, the detail of the budget instrument, object of expenditure, catalogue, or budget tagger used.</p> <p>This indicator will not be achieved with the allocation of international cooperation or other resources other than public resources for projects, programs or risk analysis actions implemented by the energy sector. Nor will it be possible to verify this indicator with the budget allocation for risk analysis by the institution in charge of the generation, transmission or distribution of electricity services.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	

Examples of compliance in countries of the region
There are no examples of compliance according to the results of the IGOPP applications carried out until 2019, at the moment this protocol was prepared.
Examples of non-compliance in countries of the region
<p>Ecuador 2016. In accordance with Article 11 of the Organic Law of the Public Electricity Service, published in the Third Supplement of the Official Registry No. 418 on January 16, 2015, the Ministry of Electricity and Renewable Energy (MEER) (for its acronym in Spanish): "It is the governing and planning body of the electricity sector. It corresponds to them to define and apply the policies; evaluate that the regulation and control are met to structure an efficient public electric power service; identification and monitoring of project execution; grant qualifying titles; evaluate the management of the electricity sector; the promotion and execution of renewable energy plans and programs; the mechanisms to achieve energy efficiency, in accordance with the provisions of the Constitution and the law". In the same way, Article 14 of the same Law establishes: "The Electricity Regulation and Control Agency ARCONEL (for its acronym in Spanish), is the technical-administrative body in charge of the exercise of the state power to regulate and control activities related to the public electricity energy service and the general public lighting service, protecting the interests of the consumer or end user". The Institutional Strategic Plan, Annual Operating Plan May 2016, Annual Investment Plan of the Electricity Regulation and Control Agency, which is part of the 2016 expenditure budget of the State General Proforma, were reviewed, and no evidence of resource allocation was found to perform risk analysis.</p> <p>El Salvador 2016. No evidence of resource allocation was found in the 2016 Budget of the Treasury Branch, which includes as an attached unit the Directorate of Electric Power, to perform disaster risk analysis for the energy sector. It is worth mentioning that "The Electric Power Directorate (DEE) (for its acronym in Spanish) is a special administrative unit of technical nature, attached to the Ministry of Economy, created by the Agreement No. 27, dated January 11, 2001, in order to assist the Ministry in fulfilling its role as the governing body for policies in the electricity sector in El Salvador. "According to the strategic planning outlined by the Ministry of Economy, the mission of the Directorate will be to" develop, propose, coordinate and execute the policies, programs , projects and actions that aim at an efficient operation of the activities of generation, transportation and distribution of electrical energy, which benefits consumers and users with a supply of optimum quality, at reasonable non-discriminatory rates, for means of operating conditions and rules based on competition and efficiency in the allocation of resources".</p>

Code RI-2-13

Closed-ended question	
13. <i>Has the company that provides the public water and sanitation service with the largest portfolio of users in the country carried out at least one disaster risk analysis of its infrastructure in the last 5 years?</i>	
Indicator overview	
<p>Public service provider companies must guarantee the provision of their services continuously and with quality to all users, even in situations of natural catastrophe. In the event that a disaster partially or totally affects its operations, the prompt restoration of these services is considered essential.</p> <p>In this context, the analysis of the disaster risks of the companies that provide public services is essential to identify the possibility of failure in the provision of these public services. The information obtained by evaluating its risks is the basis that allows adequate planning of ex-ante risk reduction measures, which aim to prevent damage to the infrastructure and avoid the interruption of said services during an emergency or disaster. These risk analyses are essential to be able to determine an adequate financial protection strategy for these services, including the insurance of their infrastructures.</p> <p>In this sense, this indicator considers it relevant that the company that provides the water and sanitation service with the largest portfolio of users in the country has carried out a disaster risk analysis of its services at least once during the last 5 years.</p> <p>The company that provides the water and sanitation service with the largest portfolio of users in the country usually corresponds to a company that provides its services at the national level, or the one that provides water and sanitation services to the city with the largest population in the country. Said company can be of public nature, or be concessioned to the private sector.</p> <p>It should be noted that “risk analysis” actions can be referred to using other terminology such as risk estimation or evaluation or other similar ones.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the company that provides the public water and sanitation service with the largest portfolio of users in the country. This identification can be carried out by reviewing reports about the sector, the sector's regulating body or the national association of companies in the sector, among others. 2. Review the information published by this company during the last 5 years, related to the management of the company, audit reports, reports from risk rating agencies, sustainability reports or annual reports. 3. If necessary, consult directly with company representatives about whether they have performed disaster risk analysis of their services in the last 5 years. 4. Contact the governing or regulatory entity of the water and sanitation sector to inquire about compliance with the indicator. 	
Link with other indicators	
RR-2-11 DP-2-13	Planning for continuity of operations in the event of an emergency or disaster, as well as disaster risk reduction actions in the water and sanitation service, should be based on the results of risk studies. Inquire if these activities are supported by some type of risk study.
Description of the minimum situation required to consider the indicator met	

In order for the indicator to be met, there must be official documentary evidence from the company that provides the public water and sanitation service with the largest portfolio of users in the country, stating that at least one disaster risk analysis study has been carried out of their services, during the last 5 years. It should be mentioned that said study may have been carried out with its own resources or those of third parties.

In the justification, there should be a mention of the name of the company, as well as the scope of the disaster risk study carried out on its infrastructure, either in its entirety or some of its components.

It will be accepted as verifiable reports of the disaster risk studies, information on the matter published on the company's website, company management reports, annual reports, sustainability reports, audit reports, reports from risk rating agencies or similar official documentation.

"The following examples, both of compliance and non-compliance, reflect the situation in the country during the year of iGOPP application, which means that today the information may have varied. On the other hand, with regard to their wording, these examples should be taken with caution, since the way in which the corresponding justification is presented does not necessarily follow the indications of the iGOPP Application Protocol. You can consult other results of the iGOPP applications at <https://riskmonitor.iadb.org/>."

Examples of compliance in countries of the region

Guatemala 2013. The project that the Municipal Water Company –EMPAGUA (for its acronym in Spanish)- in coordination with the Executive Secretariat of the National Coordinator for Disaster Reduction was found as an example.

–SE-CONRED- (for its acronym in Spanish) carried out through an evaluation of the Ground Penetration Radar –GPR, for its acronym in English, in order to verify the conditions in the drainage network at 7a. Avenida y 1ra. Calle de la zona 1, barrio San Sebastián, Guatemala City, which is outlined in a bulletin published in 2012 (RI-2-13a).

Dominican Republic 2014. The Aqueduct Mitigation Plan in the northeast region of the Dominican Republic (RI-2-13a), was prepared by INAPA in 2009, the main provider of water and sanitation services in the Dominican Republic, which included a study of the vulnerability of the infrastructure of the drinking water systems of the Northeast (including treatment plants, pumping stations, aqueducts, sewers and canals) that are vulnerable to damage due to the occurrence of hydrometeorological and seismic phenomena. This study was carried out within the framework of the Prevention and Mitigation Project (PPD) (for its acronym in Spanish) with support from UNDP, ECHO, and CNE.

Examples of non-compliance in countries of the region

Brazil 2017. No evidence was found that the Companhia de Saneamento Básico del Estado de São Paulo (São Paulo State Basic Sanitation Company) carried out disaster risk analysis. The 2015 Sustainability Report of the São Paulo State Basic Sanitation Company was consulted (<http://www.sabesp.com.br/CalandraWeb/CalandraRedirect/?temp=4&proj=investidoresnovo&pub=T&db=&docid=1D4769482AB57353832574F7005D9F27&docidF7005D9F27&ABcidF7005D9Di88325768C0052105E&pai=filho>), where it is mentioned that "The Public Limited Company with open capital and mixed economy, based in the city of São Paulo, capital of the state of São Paulo, Brazil, is governed by principles and norms of public and private law. According to the most recent edition of the Pinsent Masons Water Yearbook (2012-2013), the Company is the largest sanitation company in America and the fifth largest in the world by population served."

Code RI-2-14

Closed-ended question	
14. <i>Has the energy generation, transmission and distribution company with the highest billing in the country carried out at least one disaster risk analysis of its infrastructure in the last 5 years?</i>	
Indicator overview	
<p>Public service provider companies must guarantee the provision of their services continuously and with quality for all users, even in situations of natural catastrophe. In the event that a disaster partially or totally affects its operations, the prompt restoration of these services is considered essential.</p> <p>In this context, the analysis of the disaster risks of the companies that provide public services is essential to identify the possibility of failure in the provision of these public services. The information obtained by evaluating its risks is the basis that allows adequate planning of ex ante risk reduction measures, which aim to prevent damage to the infrastructure and avoid the interruption of these services during an emergency or disaster. These risk assessments are essential to be able to determine an adequate financial protection strategy for these services, including the insurance of their infrastructures.</p> <p>In this sense, this indicator considers it relevant that the electricity generation, transmission and distribution companies with the highest billings in the country have carried out activities for the analysis of the risk of disasters of their services and infrastructure at least once during the last 5 years.</p> <p>The energy generation, transmission and distribution companies can be different or be grouped into one or more companies; Likewise, they can be of public nature, or be concessioned to the private sector.</p> <p>It should be noted that “risk analysis” actions can be referred to using other terminology, such as risk estimation or evaluation or other similar ones.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the energy generation, transmission and distribution companies with the highest billing in the country. The foregoing can be found in reports of the sector or the energy sector regulator, among others. 2. Review the information published by said companies during the last 5 years, related to the management of the company, audit reports, reports from risk rating agencies, sustainability reports or annual reports. 3. If necessary, consult directly with representatives of each of the identified companies about whether they have carried out disaster risk analysis of their services in the last 5 years. 4. Contact the governing or regulatory entity of the energy sector to inquire about compliance with the indicator. 	
Link with other indicators	
RR-2-12 DP-2-14	Planning for continuity of operations in the event of an emergency or disaster, as well as disaster risk reduction actions in the energy service, should be based on the results of risk studies. Inquire if these activities are supported by some type of risk study.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, there must be official documentary evidence stating that each of the energy generation, transmission and distribution companies with the highest billing in the country, jointly or independently, have carried out at least one analysis study of disaster risk in its services or infrastructure during the last 5 years. It should be mentioned that said study may have been carried out with its own resources or those of third parties.

If the generation, transmission and distribution of energy is carried out by the same company, to validate this indicator it is necessary to verify that the risk analysis has been carried out for the infrastructure of the generation, transmission and distribution of electricity, the results of which may be contained in an independent study or studies corresponding respectively to each phase or process, which have been carried out in the last 5 years.

In the justification, there should be a mention of the name of the company, as well as the scope of the disaster risk study carried out on its infrastructure, either in its entirety or some of its components.

It will be accepted as verifiable reports of the disaster risk studies, information on the matter published on the company's website, company management reports, annual reports, sustainability reports, audit reports, reports from risk rating agencies or similar official documentation.

"The following examples, both of compliance and non-compliance, reflect the situation in the country during the year of iGOPP application, which means that today the information may have varied. On the other hand, with regard to their wording, these examples should be taken with caution, since the way in which the corresponding justification is presented does not necessarily follow the indications of the iGOPP Application Protocol. You can consult other results of the iGOPP applications at <https://riskmonitor.iadb.org/> "

Examples of compliance in countries of the region

Mexico 2014. In Mexico, the company that provides electric power services (generation, transmission and distribution) is the Paraestatal Comisión Federal de Electricidad (CFE) (for its acronym in Spanish). The CFE carries out the risk analysis for all its processes on an annual basis, and provides them to the Risk Management Unit so that it can be considered in CFE's comprehensive assurance. Trades and evidence related to the submission of the risk analysis carried out for the generation infrastructure (RI-2- 14a) are being provided as verifiable, together with the trades submitted in 2013 on updating these studies on the transmission infrastructure (RI-2-14b); and distribution (RI-2-14c). These analyzes are based on the global risk assessment methodology (EGNR), which includes the calculation of the probable maximum loss for all installations.

Venezuela 2015. The company with the highest billing in the country is the Corporación Eléctrica Nacional S.A., CORPOELEC (for its acronym in Spanish), a state company, operator and service provider according to article 28 of the Organic Law of the Electric System and Service. The company carried out the study on "Identification and Reduction of the Vulnerability of the National Electric System (SEN) (for its acronym in Spanish), in the face of threats from extreme hydrometeorological events" (RI-2-14a), financed by the Inter-American Development Bank in 2013. The work was carried out for the Corporate Coordination of Environmental Management of CORPOELECT.

Examples of non-compliance in countries of the region

Costa Rica 2014. In an interview with the Directorate of the Emergency Operations Coordination Center, Sub department of the General Management of ICE, it was stated that ICE performs risk analysis of its infrastructure. The steps were taken to obtain the necessary documents to support the verification of the indicator, 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 to open up the sector.

Surinam 2017. The indicator is not met. The Energy Company (EBS N.V.) has never conducted a disaster risk assessment. The company is planning to carry out disaster risk assessment for the company together with the National Coordination Center for Disaster Relief (NCCR).

Code RI-2-15

Closed-ended question	
15. <i>Has the telecommunications company with the largest user portfolio in the country carried out at least one disaster risk analysis of its infrastructure in the last 5 years?</i>	
Indicator overview	
<p>Public service provider companies must guarantee the provision of their services continuously and with quality for all users, even in situations of natural catastrophe. In the event that a disaster partially or totally affects its operations, the prompt restoration of these services is considered essential.</p> <p>In this context, the analysis of the disaster risks of the companies that provide public services is essential to identify the possibility of failure in the provision of these public services. The information obtained by evaluating its risks is the basis that allows adequate planning of ex ante risk reduction measures, which aim to prevent damage to the infrastructure and avoid the interruption of these services during an emergency or disaster. These risk analyses are essential to be able to determine an adequate financial protection strategy for these services, including the insurance of their infrastructures.</p> <p>In this sense, this indicator considers relevant that the telecommunications company (understood as the one that provides fixed and / or mobile telephone services) with the largest portfolio of users in the country has carried out the disaster risk analysis of its services and infrastructure at least once in the last 5 years. The telecommunications company can be public or private.</p> <p>It should be noted that “risk analysis” actions can be referred to using other terminology such as risk estimation or evaluation or other similar ones.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the telecommunications company with the largest portfolio of users in the country. This identification can be done by reviewing reports of the sector or the regulatory body of the telecommunications sector, among others. 2. Review the information published by said company during the last 5 years, related to the management of the company, audit reports, reports from risk rating agencies, sustainability reports or annual reports. 3. If necessary, consult directly with representatives of the identified company if they have carried out disaster risk analysis of their services in the last 5 years. 4. Contact the governing or regulatory entity of the telecommunications sector to inquire about compliance with the indicator. 	
Link with other indicators	
RR-2-13 DP-2-15	Planning for continuity of operations in the event of an emergency or disaster, as well as disaster risk reduction actions in the telecommunication service, should be based on the results of risk studies. Inquire if these activities are supported by some type of risk study.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met there must be official documentary evidence of the telecommunications provider (landline and / or cell phone) with the largest portfolio of users in the country where it is established that at least one disaster risk analysis study has been carried out in its services for the last 5 years. It should be mentioned that said study may have been carried out with its own resources or those of third parties.

The justification must mention the name of the company, as well as the scope of the disaster risk study carried out on its infrastructure, either in its entirety or in some of its components.

The following will be accepted as verifiable: the reports of the disaster risk studies, information on the matter published on the company's website, company management reports, annual reports, sustainability reports, audit reports, reports from risk rating agencies, or similar official documentation.

"The following examples, both of compliance and non-compliance, reflect the situation in the country during the year of iGOPP application, which means that today the information may have varied. On the other hand, with regard to their wording, these examples should be taken with caution, since the way in which the corresponding justification is presented does not necessarily follow the indications of the iGOPP Application Protocol. You can consult other results of the iGOPP applications at <https://riskmonitor.iadb.org/> "

Examples of compliance in countries of the region

Belize 2017. According to <http://www.belizetelemedia.net/en/our-company/our-history> "Telecommunications in Belize dates back to 1902, when a manual line linked Belize City with Consejo Village in the Corozal District in the Northern region of the country. Since then BTL has grown from a small company to Belize's largest nationalized telecommunications company, providing the latest in cutting edge technology by deploying and maintaining its high-quality networks". BTL mentioned in interviews, in the context of the insurance program they have, that they conduct risk analysis on an annual basis on its infrastructure, to prepare for the inspection meetings of the insurance and reinsurance companies, as these companies present their own risk analysis (RI-2-15a). This was evidenced in the cover page of the confidential Property Risk Report elaborated by Marsh Risk Consulting in 2015.

Examples of non-compliance in countries of the region

Mexico 2014. In terms of telephony, TELMEX controls around 80% of the market for fixed telephony, 70% for mobile telephony (TELCEL) and 74% for fixed internet (Infinitum). It is known that at least since 2008, TELMEX has worked on its contingency plan, derived from the analysis of threats at the regional and local level. However, the condition is negative, since it was not possible to obtain any verifiable from TELMEX, despite the good offices offered by COFETEL to help with that request.

Code RI-3-1

Closed-ended question	
1. Are there regulations that make the availability of information for risk analysis mandatory and define mechanisms or instruments for its exchange?	
Indicator Overview	
<p>This indicator positively values the fact that the existing regulations in the country require public entities that generate information useful for DRM to make it available to other public entities and the general public, free of charge or not, under the mechanisms and restrictions established by these regulations.</p> <p>On the other hand, to make effective the legal mandate to make this information available, the country must have mechanisms or instruments that allow such access.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the regulations where this condition may be contained, such as specific regulations on DRM, those associated with transparency, access and use of public information, and regulations on spatial data infrastructure. 2. Analyse whether the regulations allow public institutions and the general public to access information on disaster risks produced or compiled by certain institutions. 3. Analyze whether the regulations establish the mechanisms or instruments for the exchange of or access to such information by public institutions and the general public. 	
Link to other indicators	
RI-3-3 RI-3-4	The availability of performance assessments of national entities responsible for generating information on geological, hydrological, meteorological or other phenomena could include considerations that guide or enable compliance with this indicator.
RI-3-5	Evidence that the national control entity has conducted some assessment on the generation and availability of disaster risk information should be based on regulations that so establish, which could allow for the validation of this indicator.
Description of the minimum situation required to consider the indicator met	
<p>The following conditions must be met in order to comply with this indicator:</p> <ul style="list-style-type: none"> - Existence of regulations in force that establish that the information for disaster risk analysis must be accessible to public entities or to the general public. - Existence of regulations that establish the instruments or mechanisms for access to information for risk analysis 	
<p>The mechanisms or instruments to access such information can be of several types: (i) information system or computer platform, (ii) procedures and protocols to access the information provided by the authority; among others.</p> <p>The justification should state the name of the mechanism or instrument identified for the exchange, whether it is accessible to public entities or the general public, and include a brief description of the process and conditions for accessing the mechanism.</p> <p>It will not be necessary to validate this indicator that the mechanism or instrument for information exchange is operational. However, the justification should refer to its existence and operability.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

El Salvador 2016. Regarding the mandatory availability of information for risk analysis, the Law on Civil Protection, Prevention and Mitigation of Disasters, approved by the Legislative Assembly through Decree No. 777 of August 18, 2005 (RI-3-1a), in its Article 33 mandates that: *"All public and private organizations that have in their possession ICScientific or technological data or studies of possible seismic, hydric, volcanic, environmental, meteorological or other disaster-related events have the duty to communicate them to the General Directorate immediately and, in addition, to provide all the information it requires to fulfill its objectives.* As to the mechanism for its exchange, the Presidential Decree for the Creation of the National Service of Territorial Studies (SNET) (for its acronym in Spanish) No. 96 published on October 18, 2001 (RI-3-1b) in the literals... *"(b) To carry out the instrumentation, as well as the continuous and systematic monitoring of meteorological, hydrological, seismological, volcanological and geotechnical processes and phenomena for forecasting and warning purposes, for which the government entities responsible for this activity must move physical infrastructure and equipment to enable the SNET to perform this function; (c) "To validate and disseminate information in a timely and efficient manner to the authorities and the general population, about threats and vulnerable conditions whose magnitude and importance could translate into losses and damages.* It is worth mentioning that Executive Decree No. 41, published in the Official Gazette on May 2, 2007, repealed Executive Decree No. 96, pursuant to Executive Decree No. 42, published in the Official Gazette on May 18, 2007 (RI-3-1c), that the Ministry of Environment and Natural Resources assumes all the functions of the SNET, and it is instructed that *"... The Ministry of Environment and Natural Resources will assume the technical, financial and administrative aspects, as well as the obligations and commitments that the National Service of Territorial Studies has acquired, and it is understood that any reference to laws and conventions in which the latter is mentioned, will be functions of the Ministry of Environment and Natural Resources.* This institutional mechanism of MARN, which assumed the responsibilities of SNET as of 2007, is currently called the Environmental Observatory of El Salvador, and includes in its institutional portal a section on risks, where the concept of risk analysis is introduced and where risk scenarios, territorial risk indexes, etc. are made available to the general public. (<http://www.snet.gob.sv/ver/riesgo>). In summary, with the mandates of the Civil Protection Law on the availability of risk information, on the one hand, and the role of the Ministry of Environment, through the Environmental Observatory as an institutional information mechanism with the responsibility to validate and disseminate information in an efficient and timely manner to authorities and the general population, the indicator is considered to be met.

Paraguay 2016. The following are complementary regulatory documents, which together support compliance with this indicator, considering that the National Emergency Secretariat (SEN) (for its acronym in Spanish) is responsible for generating and gathering information related to risk identification. Law No. 2615/5 which creates the Secretariat of National Emergency, approved on June 10, 2005 and published in the Official Gazette No. 53 on June 15, 2005 (RI-3-1a), establishes in Article 4° *"To carry out the purposes established in this Law, the S.E.N. may: a) gather all information that allows knowing the general behavior of the meteorological and hydrological conditions or of any other agent that may give rise to the emergency situations defined in this Law; b) identify the foreseeable risks and determine their incidence on the population, its assets and its economic activities.* Complementary to the above, Decree No. 11632/13 which regulates Law 2615/05 creating the Secretariat of National Emergency published on August 19, 2013 in Official Gazette No. 155, (RI-3-1b) indicates the responsibilities of the S.E.N related to the gathering and consolidation of relevant information for the risk analysis, as indicated in Article 4 *"The S.E.N. shall be in charge of creating and keeping updated a directory of institutions and actors linked to the generation, production, administration or dissemination of information and knowledge related to risk management and reduction"*, and in Art 5 *"The S.E.N. shall be in charge of: maintaining updated records that include current and ancestral empirical knowledge and experiences of the community as well as ICSentific knowledge, the transfer of these and the corresponding innovation processes for the production of technology and information leading to the reduction and/or elimination of threats, vulnerabilities and risks"*. Finally, the Institutional Strategic Plan 2015-2018 of the Secretariat of National Emergency, approved by Resolution SEN No. 915/2015 of October 23, 2015 (RI-3-1c), proposes the development of a Management Information System for decision making within strategic line 5 that refers to "Communication and Information", whose institutional objective is *"To manage an institutional policy and develop an efficient communication system, effective, timely and innovative, both internally (SEN) and externally (citizens, stakeholders) to define the meaning of actions and decision making by integrating the different social and institutional actors in DRR, using for this purpose the technical capabilities, technology and media available, in order to enhance internal (administrative) and external (risk management) processes"*.

Examples of non-compliance in countries of the region

Honduras 2014. Although the State Policy for Integrated Risk Management in Honduras (2013) (RI-1B-7a), mentions in one of its strategic guidelines the implementation of SIGRET *"... for the prevention, management and attention to disasters based on Systems - Institutional Nodes, as a unique and official system that provides quality, reliable, updated and timely information on the main threats, vulnerabilities and risks to estimate the process of social construction of disaster risks and the presence of physical events whose intensity and magnitude represent concrete probabilities of loss and damage"*, it is not indicated that SIGRET is of mandatory implementation as well as free access for relevant actors and the Honduran community in general.

Code RI-3-2

Closed-ended question	
2. Are there regulations that make the availability of information for climate change studies mandatory and define mechanisms or instruments for its exchange?	
Indicator Overview	
<p>This indicator values positively the fact that the existing regulations in the country establish the obligation for public entities that generate useful information on Climate Change (CC) to make it available to other public entities and the general public, free of charge or not, under the mechanisms and restrictions established by these regulations.</p> <p>On the other hand, to make effective the legal mandate to make this information available, the country must have mechanisms or instruments that allow such access.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the regulations where this condition may be contained, such as CC regulations, those associated with transparency, access and use of public information, and regulations on spatial data infrastructure. 2. Analyze whether the regulations allow public institutions or the general public to access information on CC produced or compiled by certain public entities. 3. Analyze whether the regulations establish the mechanisms or instruments for the exchange of or access to such information by public institutions or by the general public. 	
Link to other indicators	
RI-3-4	The availability of assessments by national entities responsible for generating information on hydrological and/or meteorological phenomena could include considerations that guide or enable compliance with this indicator.
Description of the minimum situation required to consider the indicator met	
<p>The following conditions must be met in order to comply with this indicator:</p> <ul style="list-style-type: none"> - Existence of regulations in force that establish that the information to determine probable scenarios of future affectation by changes in the climate must be accessible to public entities or to the general public. - Existence of regulations that establish the instruments or mechanisms that allow access to the information used to determine probable scenarios of future effects of changes in the climate. <p>The mechanisms or instruments for the exchange can be of various types: (i) information system or IT platform, (ii) procedures and protocols to access information arranged by the authority; among others.</p> <p>The justification should state the name of the mechanism or instrument identified to facilitate access to information, whether it is accessible to public entities and/or the general public, and should include a brief description of the process and conditions for accessing the mechanism.</p> <p>It will not be necessary to validate this indicator that the mechanism or instrument for information exchange to be operational. However, the justification should refer to its existence and operability.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Argentina 2014. Law No. 24.295, that is approved by the United Nations Framework Convention on Climate Change, of 11 January 1994 (RI-3-2a), states in Article 6, Education, Training and Sensibilization of the Public, that *"By implementing the commitments referred to in Article 4, paragraph 1 (i), the Parties: ... (ii) Public access to information on climate change and its effects"*. However and in accordance with the conditions to be satisfied by this indicator, it can be stated that it is not necessary to designate a special mechanism for access to this information, since Law No. 25,831, on the Regime of Free Access to Public Environmental Information, of January 7, 2004 (RI-3-2b), would undoubtedly be applicable to it, and in particular Article 3, which instructs that *"Access to environmental information shall be free for any natural or legal person, with the exception of those expenses related to the resources used for the delivery of the requested information. In order to access the environmental information, it will not be necessary to prove any reason or interest. A formal request shall be submitted to whom it may concern, and it shall contain the required information and the identification of the applicant(s) residing in the country, except for agreements with countries or international organizations on the basis of reciprocity"*.

Examples of non-compliance in countries of the region

Chile 2013. The country complies with the first condition of the indicator referring to the obligation to make information available through Law No. 20825 on Access to Public Information, of August 20, 2008, which constitutes the regulatory framework on free access to information, where among other things it states: *"Article 1.- The present law regulates the principle of transparency of the public function, the right of access to information from State Administration bodies, the procedures for the exercise of the right and for its protection, and the exceptions to the publication of information..."* and *"Article 10.- Everyone has the right to request and receive information from any State Administration body, in the form and conditions established by this law. Access to information includes the right to access information contained in acts, resolutions, minutes, files, contracts and agreements, as well as all information prepared with public funds, whatever the format or support in which it is contained, except for legal exceptions..."* However, it does not establish any specific mechanism for the exchange of information on climate change studies, so this indicator is not met.

Code RI-3-3

Closed-ended question	
3. <i>Has the national entity responsible for generating information about geological phenomena conducted at least one assessment of the quality of its research, monitoring and information dissemination processes over the last 3 years?</i>	
Indicator Overview	
<p>Considering that geological phenomena (earthquakes, tsunamis, landslides, volcanic eruptions) cause disasters, it is essential to generate information that characterizes and informs about the frequency and intensity of geological phenomena.</p> <p>The information generated by the national entity responsible for the study and monitoring of geological phenomena is essential for the analysis of geological risk, particularly from the perspective of natural hazards. Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without adequate risk measurement it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection. In that sense, this indicator considers relevant that the national geological service or institute (or equivalent entity) has carried out, at least in the last 3 years, an internal evaluation on the quality of its research, monitoring and information dissemination processes that they elaborate and share with other institutions.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the national geological service or the national entity responsible for generating information on geological phenomena relevant to the country. In some countries there could be more than one national institution generating information on specific geological phenomena (earthquakes, volcanoes, etc.) 2. Identify the existence of reports, evaluations or similar documentation prepared by, or in coordination with, the national entity responsible for generating information on geological phenomena, on the quality of their research, monitoring and dissemination processes. 3. If necessary, consult directly with representatives of the identified institution if an assessment of the quality of its research, monitoring and dissemination processes has been conducted in the last 3 years. 4. Check that the research, monitoring, and information dissemination processes have been included in that quality assessment. 	
Link to other indicators	
RI-1B-7	The regulations that define a national entity responsible for generating information on geological phenomena and its functions could guide the search for information that supports the compliance with this indicator.
Description of the minimum situation required to consider the indicator met	

In order for the indicator to be met, there must be a report, evaluation or similar document prepared in the last three years by, or in collaboration with, the national geological service or the national entity responsible for generating information on geological phenomena, in which the quality of its research, monitoring and information dissemination processes is addressed.

If the country will have more than one institution generating information on geological phenomena, for example, a seismological institute, volcanological institute or similar, it would be sufficient for one of them to satisfy the condition of this indicator to support its fulfillment. However, the justification should identify the different institutions existing in the country.

It will not be allowed to validate the indicator with "annual" or "management" reports, which usually address exclusively the reporting of the budget, activities and goals during a given period of time.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. Several national public institutions assume responsibility for generating information on geological phenomena, and all are frequently audited for the quality of their processes and the use of allocated resources. Taking CENAPRED as a national reference, reference is made to the "CENAPRED's APF Accountability Report 2006-2012, published in 2012" (RI-3-3a). That in section 11.3 "The relevant actions and results obtained during the period from December 1, 2006 to December 31, 2011", it dedicates space to the topic of the "CENAPRED Seismic Observation Network", on which it states: *"all the communication links in the Network were modernized, in addition to updating the seismic equipment in some recording stations. Several works were carried out for the temporary instrumentation of seismic equipment"*.

Examples of non-compliance in countries of the region

Colombia 2013. The Colombian Geological Survey periodically carries out accountability processes both through specialized reports and Public Hearings (the last one published covers the period of September 2011 - August 2012); additionally, it has a system to facilitate citizen participation and for the publication of management reports. Finally, it has a public information system that includes news and the publication of the magazine "Ingeominas al día". After reviewing the published documentation, it was not possible to verify that the entity has carried out an evaluation of the quality of its research, monitoring and information dissemination processes in the last 3 years.

Code RI-3-4

Closed-ended question	
4. <i>Has the national entity responsible for generating information on hydrological and meteorological phenomena made at least one assessment of the quality of its research, monitoring and information dissemination processes in the last 3 years?</i>	
Indicator Overview	
<p>Considering that hydrometeorological phenomena (floods, torrential rains, tornadoes, hurricanes, droughts, river overflows, etc.) are the cause of disasters, it is essential to generate information that characterizes and informs about the frequency and intensity of this type of natural phenomena.</p> <p>The information generated by the national entity responsible for the study and monitoring of hydrometeorological phenomena is essential for the analysis of hydrometeorological risk, particularly from the perspective of natural hazards. Disaster risk analysis is the first link in the chain of components that comprise Disaster Risk Management (DRM), and without an adequate measurement of risk it is doubtful that interventions can be adequately prioritized through the other components of DRM, such as risk reduction, preparedness and financial protection. In that sense, this indicator considers relevant that the national meteorological or hydrological service (or equivalent entity) has carried out, at least in the last 3 years, an internal evaluation on the quality of their research, monitoring and information dissemination processes that they elaborate and share with other institutions.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the national entity responsible for generating information on hydrological and meteorological phenomena. In some countries, there may be more than one national institution that generates information on hydrological and/or meteorological phenomena. 2. Identify the existence of reports, evaluations or similar documentation, prepared by or in conjunction with the national entity responsible for generating information on hydrological and meteorological phenomena, on the quality of their research, monitoring and dissemination processes. 3. If necessary, consult directly with representatives of the institution(s) identified about whether an assessment of the quality of their research, monitoring and dissemination processes has been conducted in the last 3 years. 4. Check that the research, monitoring, and information dissemination processes have been included in this quality assessment. 	
Link to other indicators	
RI-1B-7	If there are regulations that define a national entity responsible for generating information on geological phenomena and its functions, they could guide compliance with this indicator.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, there must be a report, evaluation or similar document prepared, within the last three years, exclusively or with the collaboration of the national entity responsible for generating information on hydrological and meteorological phenomena, in which the quality of its research, monitoring and information dissemination processes is addressed.

If the country will have more than one institution generating information on hydrological and meteorological phenomena, it will be sufficient to meet this indicator if at least one of them satisfies the condition in question. However, the justification should identify the different institutions existing in the country.

It will not be allowed to validate the indicator with "annual or management reports", if they only report about the executed budget, activities carried out and the goals achieved during a certain period of time.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Paraguay 2016. The current staTMUs report of the Directorate of Meteorology and Hydrology of the Republic of Paraguay and recommendations for its evolution towards a New Organization, prepared by the World Meteorological Organization, National Directorate of Civil Aviation and the Spanish State Agency of Meteorology (AEMET) (for its acronym in Spanish) in April 2015 (RI-3-4a), allows the validation of this condition, since it has had as an objective *"the revision of the current location of the DMH and the formulation of arguments (ICSentific, technical, legal and economic) and proposals that make possible the evolution of the Meteorology and Hydrology Directorate towards a new legal, organizational and functional framework capable of satisfying the country's needs in the field of meteorology and hydrology"*. This report presents an analysis and recommendations in relation to the products and services of the Meteorology and Hydrology Directorate, among which the following stand out: aeronautical meteorology, meteorological warnings, weather forecasting, climate services, hydrological services and specific services for productive sectors. Likewise, the report analyzes the way in which the Meteorology and Hydrology Directorate disseminates products.

Examples of non-compliance in countries of the region

Guatemala 2013. According to the officials consulted by the National Institute of Seismology, Volcanology, Meteorology and Hydrology (INSIVUMEH) (for its acronym in spanish) no formal evaluations of this type of information have been made. Only evidence was found of quality controls carried out by INSIVUMEH on the meteorological and hydrological data generated by the monitoring infrastructure deployed at the national level, which is the basis for applied research, especially with regard to the characterization of hazards associated with natural phenomena. One of the quality controls is applied through the statistical software Rclimindex, which allows evaluating the degree of homogeneity of the historical data series and making the corresponding corrections. Examples of the type of output generated by this package were provided in the case of a particular station such as San Marcos station, but it is considered that this type of control corresponds to a very specific aspect (ICSentific quality of data) and is not sufficient for a positive evaluation of the indicator that considers the quality of research, monitoring and dissemination processes.

Code RI-3-5

Closed-ended question	
5. <i>Has the national control entity carried out at least one verification or evaluation of the generation and availability of disaster risk identification information in the last 5 years?</i>	
Indicator Overview	
<p>It is relevant that the national control, audit, comptroller or national audit body (or whoever is acting as such in the country) has carried out some verification or assessment on the availability of information on the identification of disaster risk in the last 5 years.</p> <p>It should be borne in mind that references to "risk identification" of disasters can be considered using diverse terminology such as risk analysis, risk estimation, risk exposure levels or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the control entity or entities in the country (may be audit, comptroller or equivalent entity). 2. Identify the existence of reports, evaluations or similar documentation, prepared by the national control entity, on the generation and availability of information on disaster risk identification. 3. If necessary, consult directly with the representatives of the national control entity if an assessment has been made of the generation and availability of disaster risk identification information over the past 5 years. 	
Link to other indicators	
GF-3-3	If the national control body has carried out an assessment of compliance with existing disaster risk management regulations, check whether it includes an assessment of the generation and availability of disaster risk information.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be a report, evaluation or similar document that has been prepared in the last five years by, or with the collaboration of, the national control entity, in which the generation and availability of information on disaster risk is addressed.</p> <p>If the country will have more than one national control institution, it will be sufficient to positively verify this indicator that at least one of them meets the condition. However, the justification should identify the different institutions existing in the country.</p> <p>It will not be allowed to validate the indicator with "annual" or "management" reports, if they only report about the executed budget, activities carried out and goals achieved during a certain period of time.</p> <p>This indicator will not be validated if the evaluation is carried out only for threat analysis, inventory of exposed elements or vulnerability analysis, since the indicator seeks to validate the combination of the three analysis components that result in a comprehensive risk estimate.</p> <p>A performance evaluation report of a single entity (e.g., the national geological or hydrometeorological service) or a group of entities regarding the generation and availability of the information they generate would be accepted as verifiable.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. CENAPRED (for its acronym in Spanish), which has among its attributions the dissemination of what it produces through its monitoring and investigation processes of the different disturbing phenomena, has the Directorate of Dissemination, which was audited by the Superior Audit Office of the Federation, in the "Performance Evaluation 1089" whose observation work to its recommendations and observations were carried out during the years 2010 and 2011. Likewise, the General Coordination of Civil Protection (now the National Coordination by legal provision), on which CENAPRED depends, was audited the same year, 2009, and under the name of "Performance Evaluation 141", an audit that considers information related to the dissemination process in its quality and impact.

Examples of non-compliance in countries of the region

Peru 2013. Since 2007, the General Comptroller's Office has had Directive No. 02-2007- CG/CA, "*for the exercise of Preventive Control of the National Control System in the event of a Declaration of a State of Emergency due to a Disaster*". This regulation does not address the control over the application of ex ante (prevention) policies, since its scope is "*in the event of a declaration of a state of emergency to meet the needs arising as a result of disasters*".

Code RI-3-6

Closed-ended question	
6. Do national DRM regulations establish the responsibility to inform citizens about disaster risk?	
Indicator Overview	
<p>This indicator seeks to verify a quality element in national DRM regulations, related to the responsibility to inform the population, community or general public about disaster risk (information about possible losses and damages) in order to raise awareness about such risk, make appropriate preparations to face it, and eventually adopt measures to reduce it and to protect themselves financially against such risk.</p> <p>It is important to determine whether the national DRM regulations have provided that the population, community or general public should be informed about disaster risk (i.e., about possible losses and damages). It should not be confused with information during disaster situations, such as warnings, what to do in case of disaster, etc.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify national DRM regulations. 2. Analyze if such regulations address the concepts of public information or community information. 3. Determine whether the standard establishes responsibility for reporting disaster risk (information about possible loss and damage) to the population, community or general public. 	
Link to other indicators	
RI-1A-3	Disaster Management Information Systems can be used to inform citizens about disaster risks.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the national DRM policy must explicitly establish some level of responsibility for at least one national institution for the dissemination of information to the community, citizens or the general public about disaster risks, i.e. about possible losses and damages from natural events.</p> <p>This indicator will not be validated if the information disclosure mandate is limited only to hazard or vulnerability aspects, as the indicator seeks to make the information dissemination about disaster risk, that is, about possible losses and damages.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Guatemala 2013. The Regulations of Law No. 109-96, Law of the National Coordinator for the Reduction of Natural or Provoked Disasters (CONRED) (for its acronym in Spanish), adopted by Governmental Agreement No. 49-2012, of March 14, 2012 (RI-3-6a), in Article 79, Manuals, section D, National Organization Manual, Annex III of the Functions of the Commissions of the Coordinators at the municipal and departmental levels, in numeral 13, establishes <i>"Inform the population in the jurisdiction about possible risks, as well as the state of affairs in case of emergencies or disasters."</i></p>	
Examples of non-compliance in countries of the region	

Chile 2013. No national DRM regulations were found that establish the responsibility of informing citizens about disaster risk. The National Civil Protection Plan, Supreme Decree 156 of 2002, is an instrument of an indicative nature and only refers to informing the population about emergency situations: "*VII. Emergency Flows and Reports. 1... The administration of emergencies and disasters implies the solution of complex situations, which necessarily obliges the authorities to have the best possible information, in such a way that it allows them to ... truthfully inform the population... 2.1 Types of Emergency Reports... d) Informing the Population: messages that authorities deliver with the purpose of informing the population about the seriousness of an emergency situation in its proper measure, in order to reduce uncertainty, anxiety and natural shock...* ".

A. RISK REDUCTION (RR)

Code RR-1A-1

Closed-ended question	
1. Are there regulations that establish competences in an articulated way between disaster risk reduction and climate change adaptation for the sectors and territorial entities?	
Indicator Overview	
<p>This indicator seeks to determine whether the legal framework in force in the country, which is different from the national DRM regulations, recognizes the need to reconcile, on the one hand, and to make compatible, on the other hand, the areas and values protected between DRM, specifically in its risk reduction (RR) phase, and Climate Change Adaptation (CCA); so that the implementation of both policies generates synergies with respect to common or shared issues and objectives, highlighting risk reduction and its contributions to sustainable development; also avoiding duplication of actions between sectors and territorial entities.</p> <p>The expression "in an articulated manner", means a designation of responsibilities for disaster risk reduction, both for sectors and territorial entities, in the regulations related to climate change adaptation.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify climate change regulations (strategies, plans or policies), environmental regulations, national development plans or any other regulations that relate to DRM and CCA (excluding DRM regulations, since they have already been analyzed in indicator GF 1A- 4). 2. Analyze if these regulations address the articulation of disaster risk reduction and CCA competencies, with respect to the actions to be carried out by both sectors and territorial management units. 3. If necessary, meet with representatives of the DRM and CCA governing institutions about compliance with this condition. 	
Link to other indicators	
GF-1A-4	The standards used to verify this indicator could be used to identify standards other than those for DRM in order to validate this condition.
GF-1A-7	The regulations used to verify this indicator could establish disaster risk reduction competencies for sectors and territorial entities.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator's condition to be met, the identified policy should establish a synergistic and complementary approach between disaster risk reduction and climate change adaptation in the sectors and territorial management units.</p> <p>If the regulations used to verify this condition mention DRM in a general way, the justification must explicitly state the scope of DRM, in order to show that risk reduction is part of it, otherwise this condition cannot be validated.</p> <p>If the regulations identified do not assign responsibilities to each of the different TMUs in the country (regions, states, provinces, departments, municipalities, cantons, etc.), this indicator can be validated if it at least assigns them to the lowest ranking territorial management unit (municipality or equivalent) in the country.</p>	

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Examples of compliance in countries of the region

El Salvador 2016. The Environmental Law, published in the Official Gazette on March 2, 1998, and in whose modification published on November 12, 2012 (RR-1A-1a), Title VI-BIS Adaptation to Climate Change was included, in which Article 64-A establishes that *"... The State, through the Central Government, decentralized, autonomous, semi-autonomous and municipal entities, shall adopt the necessary regulations to study, investigate, prevent, plan and respond in an urgent, adequate, coordinated and sustained manner to the negative impacts of climate change"*. Further on, Article 64-D introduces the figure of the National Climate Change Plan, which it defines as: *"... the framework for inter-institutional coordination of public administration and inter-sectorial in the evaluation of policies, impacts, vulnerability of different sectors and systems to climate change adaptation"*. Once the five-year elaboration of the National Climate Change Plan of El Salvador (PNCC) (for its acronym in Spanish) was arranged, and the process ordered by Article 64-E of the same Law was passed, that is, the approval of the Ministry of Environment and Natural Resources, with the support of the National System of Environmental Management, and submitted to a public consultation process, the Plan was finally presented on June 5, 2015 (RR-1A-1b). The NCCP deploys its content in components, and each of these in key actions. Thus, Component 1 *"Program for incorporating climate change and disaster risk reduction into development plans, public policies and the modernization of public institutions"*, includes Action 1 *"Strategic incorporation of climate change and risk reduction into national, territorial and sectoral development policies and plans, and into the national budget"*. Action 3, on the creation of the Sustainability Cabinet, is equally important *"... aimed at ensuring the integration of climate change and risk management into national public policy and development planning, leading initiatives and creating conditions for the country's transition to a resilient, low-carbon economy"*. The "ENVIRONMENTAL LAW", approved by Decree No. 233 published in the Official Gazette No. 79, volume 339, with Date of Issue: 02/03/1998, Date of Publication: 04/05/1998 Date of Last Modification 28/05/2015 and in force since May 12, 1998 (RR-1A-1a) in TITLE VI-BIS (2) "ADAPTATION TO CLIMATE CHANGE", defines the National Climate Change Plan as: *"the framework for inter-institutional coordination of public and inter-sectorial administration in the evaluation of policies, impacts, vulnerability of the different sectors and systems in the face of adaptation to climate change"*. (Art. 64-D), detailing then the objectives of that. The document NATIONAL PLAN OF CLIMATE CHANGE OF EL SALVADOR, approved by the Ministry of Environment and in force since June 2015 (RR-1A-1b) in its development sets the components and key actions that integrate it, and that express the priorities of the country in adaptation and mitigation to climate change. The first action contained in the first component consists of: *"Strategic incorporation of climate change and risk reduction in national, territorial and sectoral development policies and plans, and in the national budget"*. Additionally, with the creation of the Sustainability Cabinet by means of Decree No. 12 of the President of the Republic and published in the Official Gazette, Volume No. 403, page 72 published on June 13, 2014 (see page 72 of document RR-1A-1c) which is composed of Minister of the Environment and Natural Resources, who coordinates the Cabinet, Minister of Government and Territorial Development, Minister of National Defense, Minister of Public Works, Transportation and Housing and Urban Development and the Secretary for Vulnerability Issues of the Presidency of the Republic, is the body in which the Secretary for Vulnerability and the Ministry of the Environment participate, addressing issues of adaptation and risk management, which shows that there is an area of inter-institutional coordination for both policies of the two governing institutions on the subject.

Examples of non-compliance in countries of the region

Mexico 2014. The General Law of Civil Protection (LGPC) (for its acronym in Spanish) and the General Law of Climate Change (LGCC) (for its acronym in Spanish) were analyzed, both published on the same day in the Official Gazette (June 22, 2012), and there is no explicit designation of shared and differentiated responsibilities between RR and CCA in either of the two regulatory frameworks. Although the LGCC refers to the ISDR, it does not define it and does not refer to risk management regulations. This lack of articulation could be verified in the interviews conducted during the mission. However, it should be noted that the regulatory processes of both laws offer an important space to establish such articulation.

Code RR-1A-2

Closed-ended question	
2. Are there regulations that define acceptable risk references for at least 2 threats in the country?	
Indicator Overview	
<p>This indicator values the validity of some national regulations, which establish the notion of acceptable or tolerable risk with respect to at least two relevant natural hazards in the country.</p> <p>Acceptable risk" should be understood as the level of loss or affectation within a period of time, which is considered admissible to determine the minimum demands or safety requirements, for protection and planning purposes, in the face of possible dangerous phenomena. In general, it refers to the social, economic and environmental consequences that a society assumes or tolerates because it considers an intervention for their reduction unnecessary, unfeasible, 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 define the intensities and probabilities of occurrence of a hazard that must be incorporated as minimum design parameters or standards for a given infrastructure.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the main natural hazards to which the country is exposed. 2. Identify current regulations and building codes for land occupation processes, as well as other regulations that may exist on relevant threats in the country (seismicity, volcanism, winds, mass removal phenomena, floods, forest fires, etc.) 3. Find out if this regulation defines the concept of acceptable risk for at least two threats in the country. 4. If necessary, meet with representatives of professional associations (engineers and architects) about the fulfillment of this condition. 	
Link to other indicators	
RI-1B-18	In the regulations that define and/or identify the essential, indispensable buildings or critical infrastructure in the country, the acceptable risk levels for this type of infrastructure could also have been defined.
RR-1A-3	The regulations that mandate risk reduction for essential, indispensable buildings or critical infrastructure could also define the level of risk reduction of that mandate.
RR-1B-3 RR-1B-4	The standards identified to verify these indicators could contain the acceptable risk considerations being investigated.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with the indicator, the country must have regulations that establish safety levels for construction and occupation of the territory that must be complied with, taking into account parameters of intensity of phenomena associated with periods of return or the annual frequency of excess losses or effects for at least two threats.</p> <p>If necessary, any interpretation of the concept of "acceptable risk" should be recorded in the justification.</p>	

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Examples of compliance in countries of the region

Venezuela 2015. The Venezuelan Norm COVENIN 1756-2:2001, on Earthquake Resistant Buildings, published in 2001 (RR-1A-2a), establishes in section 7.2 the Design Spectrum. In the country there is also a set of norms that make recommendations on specific load parameters, such as COVENIN 2003-89 Norm on *"Wind Actions on Buildings"* (RR-1A-2b) and COVENIN 2002-88 Norm on *"Criteria and Minimum Actions for Building Projects"* (RR-1A-2c)

Examples of non-compliance in countries of the region

Colombia 2013. The Colombian Earthquake Resistant Construction Regulations NSR-10 of 2010, contained in an Annex to Decree No. 926 of March 19, 2010, which establishes the technical and ICSentific requirements for seismic-resistant construction NSR-10, and updates Law 400 of 1997, provides that the buildings that are designed and built in Colombia must withstand at most a seismic event whose probability of occurrence is low enough so that the work can be effective in the vast majority of cases (ie for the most frequent events), specifically, section A.1.2.2.2., defines that: *"A building designed according to the requirements of these Regulations, must be capable of resisting, in addition to the forces imposed by its use, low intensity tremors without damage, moderate tremors without structural damage, but possibly with some damage to the non-structural elements and a strong tremor with damage to structural and non-structural elements but without collapse"*. Specifically, in relation to the acceptable risk at the probabilistic level, the Regulations define in Chapter A.2 on seismic design movements, a level of 10% probability of exceedance within fifty years. Finally, the risk references are also determined by the type of building (if they are indispensable or not), in this sense, the section A.1.2.2.5., defines that *"For the indispensable buildings and of attention to the community as defined in the Chapter A.2 of the present Regulation, it is expected that the damage produced by seismic movements of similar Characteristics to the seismic movements of design prescribed in it is repairable and is not so severe that it inhibits the operation and immediate and continuous occupation of the building"*. Although the NSR-10 standard also establishes resistance parameters for wind forces (Title A.9.5.4) and fire protection requirements in buildings (Title J), in these two cases there is no clear determination of probability of occurrence parameters associated with intensity levels of these threats that are considered for the design of buildings; on the other hand, it was not possible to verify the existence of regulations that define acceptable risk levels for other threats in the national territory, therefore the indicator is not met.

Code RR-1A-3

Closed-ended question	
3. <i>Is there at least one national regulation that requires public entities to reduce the vulnerability of essential, indispensable buildings or critical infrastructure through reinforcement or replacement measures?</i>	
Indicator Overview	
<p>It is considered a good practice that in countries where the notion of "essential", "indispensable" or "critical infrastructure" has been defined in the regulations (which is analyzed in the indicator "RI 1B-18"), the reduction of their vulnerability to natural phenomena through reinforcement or substitution actions is mandated.</p> <p>Examples of "essential", "indispensable" or "critical infrastructure" buildings are hospitals, schools, fire or police stations, emergency management centers and facilities for communications, power generation and supply, etc. Because of their strategic nature and the importance of the services they provide, they should not be rendered useless or collapse in the event of a disaster.</p> <p>The indicator does not seek to confirm that such reinforcements or replacements of vulnerable critical infrastructure are being made, but rather to verify the validity of a regulation that establishes this obligation.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify whether there are regulations that define critical infrastructure (see if the country complies with indicator RI-1B-18). 2. Verify whether the regulations, in addition to defining, establish the mandate that investigates the indicator. 3. Identify the "essential", "indispensable" or "critical infrastructure" buildings that are explicitly considered in the country's regulations. 4. Identify existing national regulations on design criteria for buildings and infrastructure in the country, or other types of national regulations, and verify whether they establish the obligation to subject buildings or structures to certain parameters or standards to reinforce them or replace them to ensure their functionality and normal operation in the event of a disaster. 5. If necessary, meet with representatives of professional associations (engineers and architects), the DRM governing body and/or representatives of the sectors involved regarding compliance with this condition (e.g. health, education, public works, energy, etc.). 	
Link to other indicators	
RI-1B-18	Based on the response to this indicator, it is possible to have clarity on which are the essential, indispensable buildings or critical infrastructure considered in the country.
RR-1B-3 RR-1B-4	The regulations identified to verify these indicators could contain considerations that would guide or enable the consideration to be fulfilled that check it out.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, there must be at least one national regulation in force that requires public entities to reinforce or replace buildings considered "essential", "indispensable" or "critical infrastructure" that are considered vulnerable to natural phenomena.

The condition of this indicator will not be met if there are regulations that require public entities to reinforce or replace only one or some of the buildings considered "essential", "indispensable" or "critical infrastructure" defined by the regulations identified in RI-1B-18.

If the condition is met only for some of the essential, indispensable buildings or critical infrastructure that are defined in the regulations, the justification must record for which type of building the condition is met.

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Examples of compliance in countries of the region

El Salvador 2016. No standard was found that refers in particular to the strengthening of essential, indispensable buildings or critical infrastructure. However, it is worth mentioning that within the REGULATION FOR STRUCTURAL SECURITY OF CONSTRUCTIONS (Approved by Executive Decree No. 105 dated 10/23/2016, published in the Official Gazette No. 204, Volume 333, dated 10/30/1996, in force since 11/07/1996), Article 60 states "...any construction that has been visibly affected by earthquake, wind, explosion, fire, settlement of the land, excess load, construction processes or deterioration of the materials, must be carried out, within a period of no more than 72 hours after the failure has been identified, a preliminary review of the structure for the emergent safety measures appropriate to the case, ruled by a competent civil engineer or architect. "This same provision, in its second paragraph, provides that the building must subsequently be submitted to a stability and safety report by a civil engineer or other construction professional specialized in the structural area, and that if the report shows that the damage does not affect the safety and stability of the construction as a whole or a significant part thereof, it must be adequately repaired; otherwise, it must be subject to a structural reinforcement or demolition project. In the same way, the National Climate Change Plan, in Chapter V Development of the Plan, Component 2, Action 4 on the program of critical investments, p. 27 that contemplates investments for climate protection of the infrastructure registered in the infrastructure inventory. The assets subject to these investments are, on the one hand, the strategic infrastructure essential to the country's key functionality, particularly road and social infrastructure. However, the Plan does not have normative force, so it is not mandatory for all public entities to comply with it.

Examples of non-compliance in countries of the region

Ecuador 2013. Ministerial Resolution No. 335-2005-MINSA - "*Minimum Safety Standards for Construction, Expansion, Rehabilitation, Remodeling and Risk Mitigation in Health and Supporting Medical Services Establishments*". And although it is a national competence, it is exclusively for a single sector and only for new buildings.

Code RR-1A-4

Closed-ended question	
4. Are there regulations that stipulate a specific penalty regime for non-compliance with regulations related to the design, construction or location of infrastructure or buildings of a public and private nature?	
Indicator Overview	
The indicator recognizes as a quality factor, which contributes to disaster risk reduction, that countries have regulations that provide for a regime of sanctions regarding the non-observance of the legal framework applicable to the design, construction or location of public or private buildings and infrastructure. In this way, the case of non-compliance is considered a contravention or a crime that can be subject to an administrative sanction or prison sentence, depending on the regime previously established.	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the national regulations that have penalty schemes, either of a merely administrative or criminal nature, or the regulations in force regarding buildings and infrastructure, or territorial planning in the country. 2. Verify if said regulations establish a regime that indicates administrative sanctions, or that typifies some crime and indicates the corresponding penalties, for the noncompliance of a regulation in force regarding buildings and infrastructure in the country. 3. If necessary, meet with representatives of professional associations (engineers and architects) or the DRM governing body about compliance with this condition. 	
Link to other indicators	
RR-1B-3 RR-1B-4 RR-1C-3 RR-3-3	The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must explicitly contain a regime of sanctions for non-compliance with obligations regarding the design, construction or location of infrastructure or buildings.</p> <p>The justification should detail the type of sanctions that could be applied in the event of non-compliance.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Chile 2013. The Decree with Force of Law DFL-458 of 2013 General Law of Urbanism and Construction, considers: "Article 20.- Any infraction to the provisions of this law, to its general ordinance and the instruments of territorial planning that are applied in the respective communes, shall be sanctioned with a fine, for the benefit of the municipality, not less than 0.5% nor more than 20% of the budget of the work, referred to in Article 126 of this law..."</p>	

Guyana 2017. The *National Building Codes*, prepared by the Guyana National Bureau of Standards, approved by the National Standards Council and published by the Guyana Central Housing Authority in 2005 (RR-1A-4a), include a general section on "*Code of Practice for Building, Part 1-Enforcement*". This section establishes specific penalties for non-compliance with the regulations set out in the other sections of the National Building Codes.

Examples of non-compliance in countries of the region

Bolivia 2015. The version of the Bolivian General Building Construction Regulations, published on the website of the Vice-Ministry of Housing and Urban Affairs in 2003 (RR-1A-4a), establishes in CHAPTER IV OF APPLICATION AND SURVEILLANCE- Article 11. "*The application and monitoring of compliance with the provisions of these Regulations shall be the responsibility of the Municipal Autonomous Governments, which shall have the following non-exhaustive powers, within the framework of their competences: m) In case of noncompliance with the provisions of these Regulations and other complementary ones, it shall execute, at the owner's expense, the instructed works that had not been carried out in case risks were verified; n) Order and execute partial or total demolitions of buildings in case of noncompliance with the law, provisions of these Regulations and the Municipal Regulations; o) Impose the corresponding sanctions in those cases of noncompliance with the law and provisions of these Regulations, which are not contemplated in the m) and n) precedents. p) To issue and modify, when necessary, the Complementary Technical Norms, ordinances, agreements, instructions, circulars and other administrative, legal and technical dispositions that proceed for the due fulfillment of these Regulations; q) To make fulfill the actions that the Municipality arranges, with judicial resolution to be able to resort to the use of the public force, according to Law*". However, no evidence of formal approval of this document could be found. In this regard, it should be noted that on December 23, 2012 these Regulations were put out for public consultation, so that within a period of 3 months the institutions related to their application may review them and make observations or comments, prior to their final approval and enactment.

Brazil 2017. In an interview with a research professor at the University of Brasilia in the area of Architecture and Urbanism, on July 19, 2016, it was reported that there are no national regulations that stipulate a specific penalty regime for non-compliance with regulations related to the design, construction or location of infrastructure or public and private buildings, only the Codes of Works and Buildings (COE) (for its acronym in Portuguese) of each municipality (totaling about 2000 codes). As an example, it was reported that in the Federal District the COE is defined by Law 2.105 of October 8, 1998, the Federal District Building Code and regulated by Decree 19.915 of December 17, 1998 and the Decree regulating Law 2.105 of October 8, 1998, which establishes the Federal District Building Code.

In Brazil, there is the Fire Prevention and Protection Plan, which is protected in NR 23. However, each state of the federation can, due to its specificities, provide other aspects that are required. The Plan is a document that details the set of actions and resources, both internal and external to the site, which allows for the control of the situation in case of emergency. The legislation establishes sanctions and penalties for the emergency and panic aspects, but not for the location, design and infrastructure aspects.

Code RR-1A-5

Closed-ended question	
5. Are there regulations that make it mandatory to incorporate disaster risk reduction measures during the construction phase in public and private infrastructure projects?	
Indicator Overview	
<p>This indicator recognizes as good practice the consideration of measures to reduce the risk that is generated during the construction stage of infrastructure projects due to the effects of the work itself and that may affect third parties. For example, in the construction of a hydroelectric dam, there is the risk of a flood, for which a series of risk reduction measures should have been previously considered not only to protect the infrastructure under construction, but also the population, economic activities and infrastructure located downstream whose level of risk could increase during the construction phase of the infrastructure due to the characteristics of the work and its construction arrangements. Another example may be the regulations established to protect third parties that could be affected during the construction phase of a road in a high slope area, where during the construction phase the risk may exist due to mass removal phenomena.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify those regulations related to the national system of public investment, environmental impact studies or those that regulate the construction of public or private infrastructure, within which the terms of reference or contract documents could be considered. 2. Determine if such regulations establish that during the construction phase, actions for the reduction of risks related to the infrastructure should be considered. 3. If necessary, meet with representatives of professional associations (engineers and architects) or the governing body of the national public investment system regarding compliance with this condition. 	
Link to other indicators	
RR-1B-17 RR-1B-18 RR-1B-19 RR-1B-3 RR-1B-4	The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.
RR-3-5	If there is an evaluation of the application of risk reduction measures during the construction phase of infrastructure projects, the regulations that mandate it could be mentioned in the evaluation.
Description of the minimum situation required to consider the indicator met	
<p>For the condition of this indicator to be met, the regulations identified must indicate the need to adopt measures to mitigate or reduce the risks that may be generated during the construction phase of a given public or private infrastructure.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Peru 2013. In 2003, the National Building Regulations were in force, approved by Supreme Decree No. 039-70-VI and Supreme Decree No. 063-70-VI, which establishes in their Title V. - Safety requirements and loss prevention "*Chapter IV Safety against the destructive effects of earthquakes*" and in its Chapter VI. Special problems of foundations which establishes preventive measures in the phase of foundations that contemplate: Collapsible soils, chemical attack, liquefaction and expansion of soils. In point 6.5.2 Calculation parameters and other conditions "*Where applicable, the EMS report shall include the soil parameters required for the design of the footwear and support works for buildings, walls, perimeters, tracks and neighboring lands, considering that these may be destabilized as a direct consequence of the excavations carried out for the construction of the works, or as a consequence of an earthquake or overloads during the execution of the works, which shall be considered in the respective calculations.*" Throughout the chapter, it establishes several other provisions that also contemplate preventive measures against the possible effects of earthquakes on ground cuts, formwork, scaffolding, among other considerations. In point 6.5.4 it states "*The absence of horizontal loads on a shoe can be a temporary phenomenon, whose presence will depend: The time that the excavation remains without support. The type of soil involved. Of contingencies such as: variations in hydrostatic load (wetting and drying), static overloads during the construction process, and by dynamic overloads (earthquakes and vibrations caused artificially)*" so this point also considers possible variations in humidity due to precipitation or other phenomena during the construction phase. This regulation applies to the construction of infrastructure. The indicator is met.

Examples of non-compliance in countries of the region

Paraguay 2016. No evidence was found. An analysis was made of (i) the Environmental and Social Management Framework of the Paraguayan Connectivity and Transport Project, prepared on May 6, 2016; and (ii) Decree 1350/14, which regulates Law No. 5102/2013 on the Promotion of Investments in Public Infrastructure and the Expansion and Improvement of Goods and Services in charge of the State, approved on March 12, 2014 and published in the Official Gazette No. 51 of March 13, 2014. In this last decree, although it does not refer to the incorporation of risk reduction measures, it does refer to the acquisition of insurance policies in force during the construction process to cover possible adverse events that may occur as a result of the works, which is indicated in Article 74 "*Without prejudice to the provisions of the Law and the terms of the contract, the Private Participant must take out at least the following insurance policies: civil liability for damages to third parties and insurance against all risks in the work area and labor accidents that may occur during the term of the PPP contract. The sums received from the insurance for catastrophes will be destined to the reconstruction of the work, unless the parties agree to use them for other purposes or works inherent to the PPP contract*".

Code RR-1B-1

Closed-ended question	
1. Does the national regulation on Disaster Risk Management establish that each sector is responsible for reducing the risk of disasters within the scope of its sectoral competencies?	
Indicator Overview	
<p>Considering that Disaster Risk Management (DRM) is a public policy that must be implemented transversally in the public administration, in the understanding that its objectives and vision are shared by all sectors, it is therefore desirable that its regulations stipulate that each sector must, within the scope of its competencies and jurisdictions, carry out actions to reduce the exposure and vulnerability of the elements under its responsibility, and thus, consequently, reduce its risk.</p> <p>It should be noted that "risk reduction" actions and responsibilities can be considered using terminology such as disaster risk prevention or mitigation or similar.</p> <p>It should not be assumed that sectors undertake risk reduction simply because a DRM sector plan stipulates it; what is important here is to verify whether the DRM standard explicitly assigns responsibility to each sector to reduce its own risk.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze current DRM regulations to verify if they expressly stipulate that the different sectors of the public administration have responsibilities for carrying out disaster risk reduction actions in their respective areas of competence. 2. If the identified regulation assigns general responsibilities for DRM to the sectors, the definition or scope of the DRM actions should be identified in the same or another DRM regulation, in order to verify that it includes risk reduction as one of its components. 3. If the regulations identified assign responsibilities for risk reduction to members of the National DRM System, National Civil Protection System (or similar), the definition or scope of these national systems must be identified in the same or other DRM regulations, to verify that the sectors (ministries, public institutions, etc.) are part of them. 4. When reviewing the regulations, it is important to rule out that actions that fall under the responsibility of the sectors refer to another phase of DRM, such as disaster preparedness or recovery. 	
Link to other indicators	
GF-1A-1 RI-1B-3 DP-1B-1	Review whether the regulations used to verify these indicators assign responsibilities to the sectors for risk reduction
Description of the minimum situation required to consider the indicator met	

To meet this indicator, the identified DRM regulation should explicitly assign that sectors will be responsible for disaster risk reduction within the framework of their functions.

If such regulations assign general responsibilities for DRM to the actors in the National DRM System, the justification must make explicit the scope of DRM to show that risk reduction is part of it, as well as that the sectors are part of the National DRM System (or similar).

It should not be confused with regulations that stipulate that sectors are responsible for carrying out disaster preparedness actions.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Dominican Republic 2014. Law No. 147-02, on Risk Management, of September 22, 2002 (RR-1B-1a), does not have a particular article that explicitly states that each sector is responsible for reducing the risk of disasters within the scope of its competencies. However, this can be deduced from the content of its articles, as is the case with Article 1, *which lists the so-called General Principles that guide risk management policy: "2. Prevention: Early action to reduce vulnerability and measures taken to avoid or mitigate the impact of hazardous events or disasters are in the public interest and must be enforced... 3. The scope of competences: The activities of prevention, mitigation, Preparation and Response to disasters will take into account, for the purposes of the exercise of the respective competences, the observance of the criteria of coordination, concurrence, complementarity and institutional subsidiaries 6. Decentralization: National entities... shall freely and autonomously exercise their functions in matters of disaster prevention, mitigation and response, strictly subject to the powers specifically assigned to each of them by the Constitution and the laws and. regulations and decrees issued to its effect.* In addition, Article 6 of this law states that among the objectives of the National System of Disaster Prevention, Mitigation and Response will have (numeral 1) the risk reduction and disaster prevention. Now, this System is integrated (as deduced from articles 5 and 9) by all national public entities and sectors. In the same sense, Article 7, Functions of the National System, mentions that of *"2. Coordinate the activity of all the public entities... in terms of risk management in accordance with their responsibilities and functions".*

Examples of non-compliance in countries of the region

Haiti 2014. There are no national regulations on Risk Management. The *"National Plan for Risk and Disaster Management: 4.4 Thematic, Institutional and Sector Committees"* provides that all state institutions must establish committees that will be responsible for establishing the necessary actions to reduce the vulnerability of the sector/institution and avoid creating vulnerabilities for third parties. However, this plan has no legal backing.

Code RR-1B-2

Closed-ended question	
2. Do national regulations on Disaster Risk Management establish that public service providers are responsible for reducing the risk of disasters in their operations?	
Indicator Overview	
<p>Taking into account that Disaster Risk Management (DRM) is a public policy that must be executed in a transversal manner, involving all sectors of the public administration, in addition to all territorial management units, then it is reasonable that the national DRM regulations include in that integrality the companies that provide public services, whether they are public or concessioned to a private party.</p> <p>In this sense, this indicator values the fact that national DRM regulations establish responsibilities for these companies in terms of risk reduction and in the scope of the services they provide. This indicator is the result of assessing the social and financial costs generated both by the direct physical impact of the infrastructure that provides the services and by the partial or complete interruption of these services as a result of a disaster.</p> <p>It should be noted that "risk reduction" actions and responsibilities can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 5. Analyze current DRM regulations to verify whether they expressly stipulate that public service providers are responsible for carrying out disaster risk reduction actions in their respective areas of competence. 6. If the identified regulations assign general responsibilities for DRM to public service providers, the definition and/or scope of DRM actions should be identified in the same or other DRM regulations, to verify that it includes risk reduction as one of its components. 7. If the identified regulation assigns responsibilities for risk reduction to the members of the National System of DRM, National System of Civil Protection, or in general to public entities or institutions (or similar), the definition and/or scope must be identified in the same or another regulation of DRM to verify that the companies providing public services are part of such systems or are considered public entities or institutions with respect to such responsibility. 	
Link to other indicators	
GF-1A-1 RR-1B-1 RI-1B-4 DP-1B-1	Review whether the regulations used to verify these indicators assign responsibilities to public service providers in terms of risk reduction.
DP-1B-13 DP-1B-14 DP-1B-15	Review whether the regulations used to verify these indicators refer to DRM regulations that can be reviewed to analyze compliance with this indicator.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the identified DRM regulation should explicitly state that public service providers (or equivalent) are responsible for carrying out disaster risk reduction actions within the framework of their functions.

If such regulations generally assign responsibilities for DRM to the actors in the National DRM System, the justification must make explicit the scope of DRM to show that risk reduction is part of it, as well as that public utilities are part of the National DRM System or considered within the scope of public entities (or similar).

It should not be confused with regulations that stipulate that public service providers are responsible for carrying out disaster preparedness actions.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Peru 2013. The Regulations of Law No. 29664, which creates the SINAGERD, approved by Supreme Decree No. 048-2011-PCM of 25 May 2011 (RI 1B-2a), establishes in Article 13, paragraph 13.2 that *"... public entities identify and prioritize risk in infrastructure and economic, social and environmental processes, within their scope of authority, and establish a corrective management plan, taking into consideration the guidelines established by CENEPRED"*. In addition, Law No. 29664 that creates the SINAGERD, of February 8, 2011 (RI 1B-2b), in Article 2o. regarding the scope of application of the Law instructs: *"the Law is applicable and enforceable for all public entities and companies at all levels of the government, as well as the private sector and the citizenry in general"*, and adds: *"... any generic reference to public entities in this Law, its regulations and the provisions issued under it is understood to refer to... the public entities referred to in Law No. 27444..."*. The latter, corresponding to the Law of General Administrative Procedure of March 21, 2001, (RI 1B-2c) the concept of public entities is extended to *"... Legal entities under the private regime that provide public services or exercise an administrative function, by virtue of a concession, delegation, or authorization by the State, in accordance with the regulations on the subject"*. In this way, it can be concluded that, in Peru, companies that provide public services are obliged to reduce the risk of disasters within the scope of their operations.

Colombia 2013. Law 1523 of April 24, 2012, which adopts the national policy on disaster risk management and establishes the National System of Disaster Risk Management and other provisions (RR-1B-2a) provides in Article No. 2 that *"Risk management is the responsibility of all authorities and inhabitants of the Colombian territory. In fulfillment of this responsibility, the entities ... private ... will develop and execute the processes of risk management ... risk reduction"*. Additionally, it specifies in article 42, Specific risk analysis and contingency plans, that *"All public or private entities in charge of providing public services, executing major civil works or developing industrial or other types of activities that could mean disaster risk for society, as well as those specifically determined by the National Unit for Disaster Risk Management, must carry out a specific risk analysis that considers the possible effects of natural events on the exposed infrastructure and those derived from the damage to it in its area of influence, as well as those derived from its operation. Based on this analysis, they will design and implement the risk reduction measures and emergency and contingency plans that will be of obligatory compliance"*.

Examples of non-compliance in countries of the region

Panama 2014. Notwithstanding the fact that the National Policy on Integrated Disaster Risk Management (PNGIRD) (for its acronym in Spanish) approved by Decree No. 1101 of December 30, 2010, stipulates in axis number V that "... *the ISDR should be considered an intrinsic part of the development planning processes. Following the principle of the scope of competence, each public entity must reduce the risk of its own social or productive activity and must avoid the creation of new risks.* " this norm does not explicitly cover entities that provide public services, which in many cases may be private or licensed.

Code RR-1B-3

Closed-ended question	
3. Is there at least one national safety standard (code) for earthquake resistant building design, or similar (e.g. wind), that is mandatory for public and private projects?	
Indicator Overview	
This indicator values the validity of national standards and codes for the design and construction of buildings that collect the results of risk analysis and translate them into mandatory rules or precepts for public or private projects, in order to provide them with sufficient resistance to withstand the action of forces caused by dangerous natural phenomena such as earthquakes, wind or other diverse ones.	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant natural hazard phenomena in the country. 2. Analyze current regulations on building design, construction codes or similar to verify if specific considerations are included in front of natural hazards. 3. Identify the existence of national standards for the design of buildings and infrastructure in the face of earthquakes, winds or other natural hazards. 4. Verify that the identified regulations are mandatory. 5. If necessary, meet with representatives of professional associations (engineers and architects) or the DRM governing body about compliance with this condition. 	
Link to other indicators	
RR-1A-3 RR-1B-4 RR-1B-5	Check if the regulations used to verify these indicators allow the orientation or verification of this indicator.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with the indicator, the regulations identified must be mandatory for both public and private buildings, and must regulate their design and construction according to technical standards that make them resistant to the action of wind, earthquakes or other dangerous natural phenomena to which the country is exposed.</p> <p>The justification should highlight the objectives and considerations included in the identified regulations, such as their scope of application and types of threats considered, among others.</p> <p>If there are no specific national safety standards for specific threats, the indicator can be validated with general building codes or similar, which include safety considerations against dangerous natural phenomena.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Bahamas 2017. The Bahamas Building Code (3rd edition), published in 2003 (RR-1B-3a) contains provisions for Wind Loads in Chapter 20, which provides that all buildings must meet section 6 of Stand 7-88 of the American Society of Civil Engineers Minimum Design Loads for Building and other structures, and that all buildings in The Bahamas are to be considered in the hurricane ocean line for the purposes of these requirements.

EI SALVADOR 2016. THE REGULATION FOR THE STRUCTURAL SECURITY OF THE CONSTRUCTIONS (Approved by Executive Decree No. 105 dated 10/23/2016, published in the Official Gazette No. 204, Volume 333, dated 10/30/1996 (RR-1B-3) contains the minimum requirements for the structural design, execution, structural supervision and use of constructions, whether public or private. The Regulations are applicable to all new constructions carried out as of their entry into force, as well as to pre-existing constructions that may be subject to modification, repair or demolition. Likewise, it is established that the design procedures for seismic and wind actions, as well as the specific design and construction requirements for certain materials and structural systems are defined in Technical Standards that are part of these Regulations. In particular, in CHAPTER 4 "*DESIGN BY SEISM*" and CHAPTER 5 "*DESIGN BY WIND*", contained in Title II "Structural Design Criteria", establish the bases and general minimum design requirements for structures to have adequate safety against seismic effects and wind respectively.

Examples of non-compliance in countries of the region

Jamaica 2013. The International Building Code which is referenced by the National Building Code of Jamaica (2009) deals very extensively with earthquake and wind resistant designs. These will be made mandatory under the National Building Act which is currently being reviewed in parliament.

Code RR-1B-4

Closed-ended question	
4. Do the regulations governing the technical aspects of construction define special design parameters for essential, indispensable buildings or critical infrastructure in the country?	
Indicator Overview	
<p>This indicator is related to two other iGOPP indicators: RI 1B-18 which deals with "essential, indispensable buildings or critical infrastructure" and RR 1A-3 which deals with building codes.</p> <p>This indicator refers to a quality criterion of the country's building regulations, in particular it asks whether these regulations give special treatment (in the form of specific parameters) to the design of essential, indispensable buildings or critical infrastructure.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the "essential", "indispensable" or "critical infrastructure" buildings considered in the country's regulations (see indicator RI 1B-18). 2. Identify existing national regulations on building and infrastructure design codes of the country, or other national regulations, and review whether they establish special design parameters for "essential", "indispensable" or "critical infrastructure" buildings. 3. Identify regulations related to the sectors in charge of the development of "essential", "indispensable" or "critical infrastructure" buildings that are considered in the country, in order to analyze if these sectorial regulations establish special design parameters for these infrastructures. 4. If necessary, interviews with representatives of professional associations (engineers and architects), of the DRM governing body and/or of the sectors involved about the fulfillment of this condition. 	
Link to other indicators	
Ri-1B-18	Based on the response to this indicator, it is possible to have clarity on which are the essential, indispensable buildings or critical infrastructure considered in the country.
RR-1A-3 RR-1B-3 RR-1B-4 RR-1B-5	The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, the regulations identified must establish a special treatment or regime regarding the design of those buildings considered "essential, indispensable or critical infrastructure".</p> <p>In the case that there are no regulations that explicitly define "essential", "indispensable" or "critical infrastructure" buildings (RI-1B-18), this indicator could still be met, but the justification must state the reason why the type of infrastructure considered in the standard or building code proposed as verifiable is given such importance for the purposes of this indicator.</p>	

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Examples of compliance in countries of the region

Colombia 2013. The Colombian Regulations for Earthquake Resistant Construction NSR-10 (RR-1B-4a), contained in an Annex to Decree 926 of March 19, 2010, which establishes the technical and ICScientific requirements for earthquake resistant construction - NSR-10, and which updates Law 400 of 1997, this regulation integrates in section A.2.5 the "*Coefficient of importance*", which prescribes a greater degree of conservatism in the earthquake-resistant design of those buildings that are indispensable for emergency care and community recovery after the occurrence of a strong earthquake. In this norm, it is indicated that the buildings in Groups III and IV are essential or indispensable, and schools were included in Use Group III of buildings for community care.

Chile 2013. Standard NCh433 modified in 2009 - Seismic design of buildings. Categorizes buildings according to their occupation, according to "occupation category", under the category of occupation IV are included:

- " - Buildings and other structures classified as government, municipal, utility or public utility buildings*
- Buildings and other structures classified as essential facilities whose use is of particular importance in the event of disasters...*
- Buildings and other structures (including, but not limited to, facilities that manufacture, process, handle, store, use or dispose of substances such as hazardous fuels, hazardous chemicals, hazardous waste or explosives) that contain hazardous substances in quantities exceeding those established by the Competent Authority".*

Examples of non-compliance in countries of the region

Paraguay 2016. The Republic of Paraguay does not have national regulatory documents for the design and construction of buildings. In 2012 the Ministry of Public Works promoted the creation of a law or building code in Paraguay, which was not approved, so the development and compliance with design and construction codes remains the responsibility of municipalities. Therefore, it was not possible to identify a national building regulation/code or similar national normative documents that would allow for the verification of this condition.

Code RR-1B-5

Closed-ended question	
5. Has the national seismic-resistant standard, or similar (e.g., wind-resistant), been reviewed and updated at least once in the last 10 years?	
Indicator Overview	
<p>This indicator refers to the national code or standard used to verify the RR-1B- indicator.</p> <p>3. In this case, a performance criterion based on good practice is measured, whereby, in certain periods, such regulations are subject to review and updating.</p> <p>To consider this indicator satisfied, one of these two conditions should be verified: (1) the validity of a standard issued or approved no more than 10 years ago, or (2) if the validity of such standard is greater than that period, that it has been subject to some revision and updating in the last 10 years.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the most relevant natural phenomena or hazards for the country. 2. Analyze the standards used to verify the RR-1B-3 indicator. 3. Determine if the standard was approved within the last ten years. If not, check if it has been updated or revised at least once in the last 10 years. 4. If necessary, meet with representatives of professional associations (engineers and architects), or the DRM governing body about compliance with this condition. 	
Link to other indicators	
RR-1B-3	The regulations used to verify this indicator must be used to comply with this condition.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator condition to be met, the standards identified for the design of infrastructure to make it resistant to the action of wind, earthquakes or other hazardous natural phenomena must have been approved or updated at least once in the last 10 years.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Nicaragua 2016. The seismic-resistant regulation has been revised at least once in the last 10 years since the Ministry of Transportation and Infrastructure, through Ministerial Resolution 01-2007, dated January 11, 2007, declared the National Construction Regulation (RNC) (for its acronym in Spanish) to be in effect, stating in Recital IV "... *that after 24 years of the enactment of the current regulation and given the progress of seismic-resistant engineering, as well as new structural design methods, new geophysical, geotechnical and wind information, it is necessary to update it*". So, this normative text has been revised in the last 10 years. Currently, the National Construction Regulations are in the process of being updated. This process is coordinated by the Ministry of Transport and Infrastructure (MTI) and the Co-Direction of the National System for the Prevention, Mitigation and Attention to Disasters (CD-SINAPRED), with the support of the Inter-American Development Bank (IDB) through the Technical Cooperation "*Support to the Implementation of the Program for the Integral Management of Disaster Risks in Nicaragua (PGIRDN) (for its acronym in Spanish) ATN/OC-14249- NI (NI-T1188)*". The Norms being updated are the following: (i) Minimum Design and General Construction Standards for Masonry; (ii) Minimum Design and General Construction Standards for Concrete; and (iii) Minimum Design and General Construction Standards for Steel. With the contribution of the private sector, the MTI is preparing the Minimum Standards of Design and General Construction with prefabricated materials (fiber cement)".

Trinidad y Tobago 2018. The engineering codes mandated by the Ministry of Works and Transport (MOWT) in the Structural Guidelines for Trinidad and Tobago, Designs Engineering Branch, Construction Division, MOWT 2017 (RR-1B-5a) are international standards e.g. American Society of Civil Engineers ASCE/SEI 7-16 (Earthquake Loads) (RR-1B-5b). All the standards included in the Guidelines are updated or confirmed at least every 5 years. The 10-year Seismic Microzonation studies of the major cities are currently (2016) underway. It is a collaborative effort between the Town and Country Planning Division and the Seismic Research Center. Its objective is to perform microtremors measurements and seismic refraction tests in select areas in Trinidad and Tobago, for use in technical microzonation studies. To develop maps showing details of the different levels of a particular geotechnical hazard that may be triggered by an earthquake in the main cities, Port of Spain, San Fernando and Scarborough.

Examples of non-compliance in countries of the region

El Salvador 2016. According to the resolution issued by the Information and Response Office of the Ministry of Environment and Natural Resources (MARN) (for its acronym in Spanish), dated April 20, 2016 with reference MARN-OIR-Nº 0109-2016, the seismic-resistant norm has not been revised. By law, the competence is of the Ministry of Public Works, specifically the Vice-Ministry of Housing and Urban Development. In the interview with the Directorate of Climate Change and Risk Management – DACGER (for its acronym in Spanish) of the MOP (Ministry of Public Works), they stated that the Technical Standards of Design for Earthquakes were approved in 1993 and sanctioned by the president in 1994, and that in 2014 this Ministry coordinated an inter-institutional team to prepare the TORs that would allow the revision of the regulations to be implemented, but the revision has not yet been carried out. It is worth mentioning that the MARN, through the Environmental Observatory, keeps the necessary technical information updated (Seismic Catalogue) to be used in updating the seismic-resistant standard when required.

Code RR-1B-6

Closed-ended question	
6. Do the regulations governing environmental management explicitly integrate disaster risk reduction into their objectives, goals or results?	
Indicator Overview	
<p>This indicator recognizes the importance of having environmental regulations that reconcile and make compatible the protected areas and values with the objectives and goals of disaster risk management (DRM), specifically in its risk reduction component. This, considering that these are mutually reinforcing public policies, so that it is possible to generate synergies with respect to common or shared issues and objectives.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify current environmental regulations in the country, including environmental policy and regulations related to climate change. 2. Analyse whether the regulation makes explicit mention of disaster risk reduction within its objectives, goals or outcomes. 3. If necessary, consult with representatives of the environmental sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-8 RR-1B-7 DP-1B-3 RC-1B-1	Check if the regulations used for these indicators allow to verify the present condition.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, the environmental management regulations identified must explicitly include objectives, targets or results related to disaster risk reduction in their articles, which must be clearly recorded in the justification provided for verification.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Trinidad y Tobago 2018. The environmental management regulations do address the Disaster Risk Reduction initiative of protection integrated into routine practice. The National Environmental Policy 2006 (RR-1B-6a) dedicates a section "4.10 National Disaster and Environmental Emergencies e.g. (e) Provision of a natural disaster vulnerability assessment in land transfer transactions". Under the Environmental Management Authority (EMA) Act 3 Of 2000 LRO1/2009 (RR-1B-6b), a Certificate of Environmental Clearance (regulations 2006) may require Environmental Impact Assessment which includes "*an identification of the potential hazards and an assessment of the level of risk that may be caused by the proposed activity and an account of the measures envisaged to address any environmental emergencies that may result from the activity*". The Office of Disaster preparedness and Management (ODPM) is invited to review and provide feedback on the Environmental Impact Assessment (EIA) documents.

Ecuador 2016. The "Basic Environmental Policies of Ecuador" (RR-1B-6a) states in Article 15 that risks and disasters are priority environmental problems in the country: "*The Ecuadorian State, without prejudice to addressing all matters related to environmental management in the country, will give priority to the treatment and solution of the following aspects recognized as priority environmental problems in the country*", among which it explicitly includes: "*-Natural and anthropogenic risks, disasters and emergencies*". It is considered that, by specifying risks as a priority issue to be addressed from environmental management policies, the indicator is being fulfilled. It is worth mentioning that by virtue of Decree No. 1589 in Official Gazette No. 320 of 07/25/2006 (RR-1B-6b) the Basic Environmental Policies were incorporated as an integral part of the Unified Text of the Secondary Legislation of the Ministry of the Environment-TULAS (RR-1B-6c), which was approved by Executive Decree 3516, Official Gazette Supplement 2, on March 31, 2003, which although it included in its index of contents the Basic Environmental Policies, they had been omitted from the body of the document at the time.

Examples of non-compliance in countries of the region

Argentina 2014. Law No. 25,675, General of the Environment, of November 28, 2002, establishes in its Article 2 that the national environmental policy must comply with a series of objectives, among which is "*k. To establish adequate procedures and mechanisms for the minimization of environmental risks, for the prevention and mitigation of environmental emergencies and for the recomposition of damages caused by environmental contamination*". This regulation, however, does not explicitly integrate in its objectives, goals or results the reduction of disaster risk associated with natural phenomena (only those caused by human action such as pollution); therefore, the condition is not met.

Code RR-1B-7

Closed-ended question	
7. Does the regulation of the environmental sector define the responsibility to reduce the risk of disasters in the scope of its competencies?	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a public policy aimed at national development, which is also cross-cutting and inclusive, and therefore involves all levels of public administration. Therefore, following this logic, it is essential that the regulations of each sector establish obligations for the implementation of DRM activities, specifically those of risk reduction executed within the scope of their competencies.</p> <p>This indicator values the fact that the environmental sector or its various entities incorporate functions aimed at reducing disaster risks related to the sector's activities.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review environmental sector regulations, which could also include national climate change policies, strategies, plans and programs. 2. Identify if this regulation establishes responsibilities to the environmental sector in matters of disaster risk reduction within the scope of its competencies. 3. If necessary, consult with representatives of the environmental sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-8 RR-1B-6 DP-1B-3 RC-1B-1	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the environmental sector in terms of disaster risk reduction.
RR-2-1	In the case of verifying the allocation of resources to the ministry of environment to carry out disaster risk reduction activities, investigate the regulations that allow it.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, there must be environmental sector regulations in force that explicitly consider, within the sector's responsibilities, the implementation of actions, projects or programs that reduce the risk of disasters within the scope of its sectoral competences.</p> <p>If the compliance regulations assign responsibilities in general terms for DRM, the justification should make explicit the scope of the DRM, to show that risk reduction is part of it. If possible, the justification text should exemplify the disaster risk reduction actions considered in the standard used to verify the indicator.</p> <p>Likewise, responsibilities assigned for the prevention or reduction of environmental risks should not be confused with those related to disaster risk reduction in the face of hazardous natural phenomena.</p>	

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Examples of compliance in countries of the region

Honduras 2104. AGREEMENT NUMBER 109-93 - GENERAL REGULATION OF THE ENVIRONMENTAL LAW (RR-1B-7a) *"Art 13 - ...the Secretary of the Environment shall have the following functions*

f) Collaborate with the competent institutions to prevent and control disasters, emergencies and other environmental contingencies Article 28 - In application of this Law and the respective sectorial laws, the Executive Branch, through the Secretary of State in the Environmental Office and the other competent decentralized ministries and institutions, has the following attributions

h) The prevention and control of disasters, emergencies and other environmental contingencies that have a negative impact on part or all of the national territory; Art 78.- It is the obligation of the Secretariat of the Environment to participate jointly with the Permanent Commission on Contingencies in the planning for the prevention, mitigation, attention and rehabilitation of natural disasters

Examples of non-compliance in countries of the region

Brazil 2017. Law No. 6,938 of August 31, 1981, which states the National Environmental Policy, its purposes and mechanisms of formulation and application, and makes other provisions, does not define the responsibility to reduce the risk of disasters within the scope of its competencies. Law No. 12.187 of 29 DECEMBER 2009, which establishes the National Policy on Climate Change – PNMC (for its acronym in Portuguese) and other provisions, does not define the responsibility to reduce disaster risk within the scope of its competencies. In turn, Law No. 9,433 of 8 January 1997, which institutes the National Policy on Water Resources, creates the National Water Resource Management System, regulates item XIX of the Article 21 of the Federal Constitution, and amends Article 1 of Law No. 8,001 of 13 March 1990, which amended Law No. 7,990 of 28 December 1989, does not define the responsibility to reduce disaster risk within the scope of its powers.

Code RR-1B-8

Closed-ended question	
8. Does the regulation of the agricultural sector define the responsibility for disaster risk reduction in the scope of its competencies?	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a public policy aimed at national development, which is also cross-cutting and inclusive, and therefore involves all levels of public administration. Therefore, following this logic, it is essential that the regulations of each sector establish obligations for the implementation of DRM activities, specifically those of risk reduction executed within the scope of their competencies.</p> <p>This indicator values the fact that the set of responsibilities of the agricultural sector or its different bodies include functions focused on reducing the risks of disasters related to the sector's own activities.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the regulations of the agricultural sector, which could also include national policies, strategies, plans and programs. 2. Identify whether the regulations establish responsibilities for the agricultural sector in terms of disaster risk reduction within the scope of its competencies. 3. If necessary, consult with representatives of the agricultural sector about the existence of regulations that would allow for the validation of this indicator. 	
Link to other indicators	
RI-1B-9 DP-1B-4 RC-1B-2	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the agricultural sector in terms of disaster risk reduction.
RR-2-2	In the case of verifying the allocation of resources to the ministry of agriculture to carry out disaster risk reduction activities, investigate the regulations that allow it.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, the agricultural sector must have regulations in place that explicitly include among the sector's responsibilities the implementation of actions, projects or programs that reduce disaster risk within the scope of its sectoral competencies.</p> <p>If the compliance regulations assign responsibilities in general terms for DRM, the justification should make explicit the scope of the DRM, to show that risk reduction is part of it. If possible, illustrate in the text of the justification the disaster risk reduction actions considered in the standard used to verify the indicator.</p>	

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Examples of compliance in countries of the region

Costa Rica 2014. The State Policy for the Agrifood Sector and Rural Development of Costa Rica 2010-2021, Ministry of Agriculture and Livestock, Executive Secretariat for Agricultural Sector Planning (SEPSA) (for its acronym in Spanish), Agricultural and Rural Policy Area (APAR) (for its acronym in Spanish), in 2011 (RR-1B-8a) considers: "Strategic Guideline 4.2.3.1 Integrated Risk Management. A more comprehensive vision of risk management will be promoted, which minimizes the risks and threats of the introduction of materials and production practices; which defines or updates guidelines for the prevention and control of pests, disasters by natural phenomena and which strengthens the inter-institutional coordination for the implementation of the corresponding actions".

Examples of non-compliance in countries of the region

Ecuador 2016. The entire regulatory framework for the agricultural sector was analyzed and the document "Agricultural Policies to 2025" was identified. This document, published in 2015, establishes as policy No. 4: *"to articulate the framework of environmental policy priorities, including risk management, resilience and adaptation to climate change"*. While it is part of this policy: *"to strengthen management knowledge in the agricultural sector"* and it is the strategy of this policy to *"conduct research for the development of improved crop varieties that are suitable for multiple agro-ecosystems and agricultural practices and resistant to climate change"*, no other references were found on the sector's responsibility to reduce disaster risk within the scope of its competencies. The lack of this responsibility in the sector's regulations was ratified in the interview with the delegate of that Ministry.

Code RR-1B-9

Closed-ended question	
9. Does the health sector's regulatory framework define the responsibility for disaster risk reduction within the scope of its competencies?	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a public policy aimed at national development, which is also cross-cutting and inclusive, and therefore involves all levels of public administration. Therefore, following this logic, it is essential that the regulations of each sector establish obligations for the implementation of DRM activities, specifically those of risk reduction executed within the scope of their competencies.</p> <p>This indicator values the fact that the health sector or its various entities incorporate functions aimed at reducing disaster risks related to the sector's activities.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review health sector regulation, which could also include national policies, strategies, plans, and programs. 2. Identify whether the regulations establish responsibilities for the health sector in disaster risk reduction within the scope of its competencies. 3. If necessary, consult with representatives of the health sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-10 DP-1B-5 RC-1B-3	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the health sector in disaster risk reduction.
RR-2-3	In the case of verifying the allocation of resources to the ministry of health to carry out disaster risk reduction activities, investigate the regulations that allow it.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, there must be health sector regulations in force that explicitly consider, within the sector's responsibilities, the implementation of actions, projects or programs that reduce disaster risk within the scope of its sectoral competencies.</p> <p>If the compliance regulations assign responsibilities in general terms for DRM, the justification should make explicit the scope of the DRM, to show that risk reduction is part of it. If possible, illustrate in the text of the justification the disaster risk reduction actions considered in the standard used to verify the indicator.</p> <p>Likewise, responsibilities assigned for the prevention or reduction of health risks should not be confused with those related to disaster risk reduction in the face of hazardous natural phenomena.</p>	

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Examples of compliance in countries of the region

Guatemala 2013. The Health Code (Decree No. 90-97 approved by the Congress of the Republic (RR-1B-9a) states the following: *"ARTICLE 76: Disasters and public calamities The Ministry of Health together with other institutions of the Sector and other sectors will participate in the formulation of policies, strategies, plans, programs and projects oriented to the prevention and mitigation of the impact of disasters and public calamities"*.

Examples of non-compliance in countries of the region

Belize 2017. The public health regulations only incorporate the responsibility and specific measures to reduce risk related with vector control, through the elimination of stagnant water and regular spraying. As vector control measures are not considered "disaster" risk reduction actions, the condition is considered as not met. The Public Health Act Chapter 40, of the Substantive Laws of Belize, revised edition 2011 doesn't include dispositions to allow uphold the positive assessment of the condition. In addition, there is a Hurricane Disaster Plan, revised in August 2004, and developed by the National Medical Care and Public Health Committee (NMCPHC) Ministry of Health and the Environment. However, it doesn't include risk reduction actions as well as not being endorsed by any regulatory instrument.

Code RR-1B-10

Closed-ended question	
10. Does the regulation of the housing sector define the responsibility of reducing the risk of disasters in the scope of its competencies?	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a public policy aimed at national development, which is also cross-cutting and inclusive, and therefore involves all levels of public administration. Therefore, following this logic, it is essential that the regulations of each sector establish obligations for the implementation of DRM activities, specifically those of risk reduction executed within the scope of their competencies.</p> <p>This indicator values the fact that the housing sector or its various entities incorporate functions focused on reducing disaster risks related to the sector's activities.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review housing sector regulations, which could also include national policies, strategies, plans, and programs 2. Identify whether the regulations establish responsibilities for the housing sector in terms of disaster risk reduction within the scope of their competencies. 3. If necessary, consult with representatives of the housing sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RC-1B-4 DP-1B-6 RC-1B-4	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the housing sector in terms of disaster risk reduction.
RR-2-4	In the case of verifying the allocation of resources to the ministry of housing to carry out disaster risk reduction activities, investigate the regulations that allow it.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, there must be regulations in force in the housing sector that explicitly consider, within the responsibilities of the sector, the implementation of actions, projects or programs that reduce the risk of disasters within the scope of its sectoral competencies.</p> <p>If the compliance regulations assign responsibilities in general terms for DRM, the justification should make explicit the scope of the DRM, to show that risk reduction is part of it. If possible, illustrate in the text of the justification the disaster risk reduction actions considered in the standard used to verify the indicator.</p>	

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Examples of compliance in countries of the region

Costa Rica 2014. The National Policy on Housing and Human Settlements 2012-2030. Ministry of Housing and Human Settlements without publication date (RR-1B-10a) establishes in its numeral "6. *Environmental Axis... The sub-themes covered by the environmental axis are as follows: a) Risk prevention b) Housing affected by natural disasters, c) Climate change d) Residential management of water resources...*" and establishes considerations and guidelines: *"Risk prevention guidelines. Will be developed*

housing projects in low-vulnerability areas, depending on the sustainability of the human settlement, its environmental suitability, accessibility to services and sources of employment and income. "

Examples of non-compliance in countries of the region

Belize 2017. While the country has no adopted building code, the Belize Building Act Chapter 131 (RR-1B-10a), of the Substantive Laws of Belize, revised edition 2011, does include provisions which enable the Central Building Authority to regularly assess the safety of buildings and, when necessary, take actions in case a building is considered a risk, linked to specific hazards. With the explicit mention of responsibilities and concrete actions, the condition is considered as met. In Part III "Building Permit and Control", section 29 of the Act it states that *"Every person who erects or owns a public building shall cause it to be examined at least once every four years [...] for the purpose of ascertaining whether it is safe for the purpose for which it was erected [...]"*. In addition, within the same Part, section 34, subsection (1) mandates that *"Where a structure is considered by the Authority to be unable to withstand a hurricane, to be ruinous or so far dilapidated as to have become unfit for use or occupation, or to be from any cause whatever in a structural condition dangerous or prejudicial to the property in, or inhabitants of, the neighborhood, the Director may advise the Authority to serve a notice in writing to the owner of such structure requiring him [...] to take down, secure, repair or rebuild it, or any part thereof, or otherwise to put it in a state of good repair[...]"*. The Housing and Town Planning Act Chapter 182 of the Substantive Laws of Belize, revised edition 2011, in Part II "Powers, Functions, etc., of Central Authority", section 15, subsection (1) states that *"Where the Central Authority, [...] is satisfied as respects any area that the housing conditions in that area are dangerous or injurious or likely to be injurious to the health and welfare of the inhabitants [...]"* it can take the necessary measures to address these issues. However, this has a palliative approach and no prospective risk reduction planning consideration are contained in the Act.

Code RR-1B-11

Closed-ended question	
11. Does the regulation of the education sector define the responsibility for disaster risk reduction in the scope of its competencies?	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a public policy aimed at national development, which is also cross-cutting and inclusive, and therefore involves all levels of public administration. Therefore, following this logic, it is essential that the regulations of each sector establish obligations for the implementation of DRM activities, specifically those of risk reduction executed within the scope of their competencies.</p> <p>This indicator values the fact that the education sector or its various entities incorporate functions aimed at reducing disaster risks related to the sector's activities.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar. (NOTE: not to be confused with the curriculum topic already being considered in the RI-2- 1 indicator).</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review education sector regulations, which could also include national policies, strategies, plans, and programs 2. Identify whether the regulations establish responsibilities for the education sector in disaster risk reduction within the scope of its competencies. 3. If necessary, consult with representatives of the education sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-12 DP-1B-7 RC-1B-5	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the education sector in terms of disaster risk reduction.
RR-2-5	In the case of verifying the allocation of resources to the ministry of education to carry out disaster risk reduction activities, investigate the regulations that allow it.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, the education sector must have regulations in place that explicitly include among the sector's responsibilities the implementation of actions, projects or programs that reduce disaster risk within the scope of its sectoral competencies.</p> <p>If the compliance regulations assign responsibilities in general terms for DRM, the justification should make explicit the scope of the DRM, to show that risk reduction is part of it. If possible, illustrate in the text of the justification the disaster risk reduction actions considered in the standard used to verify the indicator.</p>	

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Examples of compliance in countries of the region

Paraguay 2016. The Ministerial Resolution N°19234, which approves the National Education Plan for Risk Management of the Ministry of Education and Culture, approved on July 18, 2011 (RR-1B-11a), allows to verify this condition since within the strategic axis of the plan that refers to the Strengthening of Institutional Management for Risk Reduction, which includes among others the following specific objectives: *"To manage financial resources for the implementation of risk management and reduction in educational institutions. Establish strategies for the sustainability of risk management and reduction in educational communities", "Strengthen and enhance the budgetary capacity of the Ministry of Education and Culture for risk management and reduction"*.

Examples of non-compliance in countries of the region

Peru 2013. There is a Vice Ministerial Resolution N° 016-2010-ED that approves the *"Norms for preventive education against earthquakes in public and private educational institutions"*. Based on this resolution, we have been working on the construction of (i) methodological guide for the elaboration of the Risk Management Plan in educational institutions; and (ii) implementation of the 2010 earthquake prevention education plan within the framework of Supreme Decree N° 037-2010- PCM, which approves the *"2010 Earthquake Prevention Plan"*. Additionally, the Office of Educational Infrastructure (OINFE) (for its acronym in Spanish) applies the Technical Standards for the Design of Educational Spaces in the construction of educational infrastructure, which includes vulnerability analysis and application of the National Construction Regulations. Finally, there is the Strategic Plan for the Prevention and Attention to Disasters of the education sector, of July 2004. However, RVM No. 016-2010-ED does not specifically establish the responsibility for reducing the risk of disasters in educational institutions, although this can be "inferred" from the norm, strictly speaking the indicator is not met.

Code RR-1B-12

Closed-ended question	
12. <i>Does the regulation of the tourism sector define the responsibility for disaster risk reduction in the scope of its competencies?</i>	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a public policy aimed at national development, which is also cross-cutting and inclusive, and therefore involves all levels of public administration. Therefore, following this logic, it is essential that the regulations of each sector establish obligations for the implementation of DRM activities, specifically those of risk reduction executed within the scope of their competencies.</p> <p>This indicator values the fact that the tourism sector or its various entities incorporate functions aimed at reducing the risks of disasters related to the sector's activities.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Reviewing tourism sector regulations, which could also include national policies, strategies, plans, and programs. 2. Identify whether the regulations establish responsibilities for the tourism sector in terms of disaster risk reduction within the scope of their competencies. 3. If necessary, consult with representatives of the tourism sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-13 DP-1B-8 RC-1B-6	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the tourism sector in terms of disaster risk reduction.
RR-2-6	In the case of verifying the allocation of resources to the ministry of tourism to carry out disaster risk reduction activities, investigate the regulations that allow it.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, there must be tourism sector regulations in force that explicitly consider, within the sector's responsibilities, the implementation of actions, projects or programs that reduce the risk of disasters within the scope of its sectoral competencies.</p> <p>If the compliance regulations assign responsibilities in general terms for DRM, the justification should make explicit the scope of the DRM, to show that risk reduction is part of it. If possible, illustrate in the text of the justification the disaster risk reduction actions considered in the standard used to verify the indicator.</p>	

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Examples of compliance in countries of the region

Mexico 2014. The General Tourism Law (RR-1B-12a), published on June 17, 2009 (last reform April 8, 2013) provides in Chapter I, Article 4: "... X. *To participate in programs for the prevention and attention of emergencies and disasters, as well as in actions for the integral management of risks in accordance with the policies and programs of civil protection that are established for this purpose;*".

Examples of non-compliance in countries of the region

Peru 2013. Resolution No. 417-2012-MINCETUR (for its acronym in Spanish) of the Ministry of Foreign Trade and Tourism approved the creation of a working group to comply with the provisions of Law 29664 (Law creating SINAGERD) in order to articulate and mainstream DRM in its management instruments. However, the sector does not have its own regulation defining its responsibility to reduce the risk of disasters in the area of its competencies. Currently, it is governed exclusively by the National Law of SINAGERD.

Code RR-1B-13

Closed-ended question	
13. Does the regulation of the transport sector (or equivalent sector) define the responsibility for disaster risk reduction within its scope?	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a public policy aimed at national development, which is also cross-cutting and inclusive, and therefore involves all levels of public administration. Therefore, following this logic, it is essential that the regulations of each sector establish obligations for the implementation of DRM activities, specifically those of risk reduction executed within the scope of their competencies.</p> <p>This indicator values the fact that within the set of responsibilities of the transport sector, understood as road works, functions focused on reducing the risks of disasters that are related to the sector's own activities are incorporated.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review transport sector regulations, which could also include national policies, strategies, plans and programs. 2. Identify whether the regulations establish responsibilities for the transport sector in terms of disaster risk reduction within the scope of their competencies. 3. If necessary, consult with representatives of the transport sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-14 DP-1B-9 RC-1B-7	Review whether the regulations used to verify these indicators consider the allocation of responsibilities to the transport sector in terms of disaster risk reduction.
RR-2-7	In the case of verifying the allocation of resources to the ministry of transport to carry out disaster risk reduction activities, investigate the regulations that allow it.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, there must be regulations in force in the transport sector that explicitly consider, within the responsibilities of the sector, the implementation of actions, projects or programs that reduce the risk of disasters within the scope of its sectoral competences.</p> <p>If the compliance regulations assign responsibilities for DRM in general terms, the justification should make explicit the scope of the DRM to show that risk reduction is part of it. If possible, illustrate in the text of the justification the disaster risk reduction actions considered in the standard used to verify the indicator.</p>	

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Examples of compliance in countries of the region

Bolivia 2015. LAW No. 165 - General Transport Law of August 16, 2011, CHAPTER FIVE, DISASTER RISK MANAGEMENT, Article 89 (DISASTER RISK MANAGEMENT).

The competent authority at the central level of the State will be responsible for drafting regulations and monitoring compliance so that all plans, programs and projects in the transport sector in its different modalities incorporate disaster risk management, based on the identification and zoning in vulnerable areas supported by geographical data and in coordination with the planning and territorial management systems at the central, departmental and municipal levels. *"Article 90. (CONTINGENCY PLAN). The competent authority at the central level of the State shall regulate and supervise that it is incorporated into the strategic and operational plans of all competent authorities, operators of transport services in all its modes and those that provide complementary logistics services to transport, risk reduction actions and response to emergencies and disasters"*. It also adds elements of budget allocation for the sector and responsibilities related to the SINAGER

Examples of non-compliance in countries of the region

Costa Rica 2014. Decree No. 27917 of the Ministry of *Public Works* and Transportation of May 31, 1999 only establishes *"Article 15. Public Works Functions. To coordinate with the National Commission of Emergencies in the events tending to the prevention and attention of emergency situations"*. On the other hand, Article 16 establishes the advisory units among which is the Emergency and Disaster Attention Unit and Article 20. It will correspond to it: *"a. To establish the necessary mechanisms and instruments for the Ministry to provide an adequate response to emergencies and disasters. b. Adequate coordination with the National Emergency Commission in case of emergencies and disasters. c. To develop suitable systems that guarantee adequate and timely information among the different units of the Division of Public Works and from this with the National Emergency Commission"*. From the above, it can be seen that the aforementioned regulations only consider coordinating preparatory and emerging actions with the CNE, but do not establish responsibilities within the framework of the sector's competencies for disaster risk reduction.

Code RR-1B-14

Closed-ended question	
14. Does the water and sanitation sector (or equivalent) regulation define the responsibility for disaster risk reduction within its scope?	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a public policy aimed at national development, which is also cross-cutting and inclusive, and therefore involves all levels of public administration. Therefore, following this logic, it is essential that the regulations of each sector establish obligations for the implementation of DRM activities, specifically those of risk reduction executed within the scope of their competencies.</p> <p>This indicator values the fact that the water and sanitation sector's responsibilities include functions focused on reducing disaster risks related to the sector's own activities.</p> <p>It should be noted that in some countries the water and sanitation sector involve several institutions responsible for governance, regulation (superintendency) and the provision of these types of services, where each of these institutions may have its own regulatory framework. Even in some countries the provision of water and sanitation services can be done under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility to reduce the risk of disasters must be defined, regardless of who (public or private) has to comply with it.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing body, regulator and suppliers) of the water and sanitation sector. 2. Reviewing water and sanitation sector regulations, which could also include national policies, strategies, plans, and programs. 3. Identify whether the regulations establish responsibilities for the water and sanitation sector in terms of disaster risk reduction within the scope of their competencies. 4. If necessary, consult with representatives of the water and sanitation sector about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RI-1B-15 DP-1B-10 RC-1B-8	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the water and sanitation sector in terms of disaster risk reduction.
RR-2-8	In the case of verifying the allocation of resources to any of the relevant actors in the water and sanitation sector to carry out disaster risk reduction activities, investigate the regulations that allow it.
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, there must be regulations in force applicable to at least one of the relevant actors in the water and sanitation sector (the sector's governing body, regulator and suppliers) that explicitly consider, within the sector's responsibilities, the implementation of actions, projects or programs that reduce disaster risk within the scope of their sectoral competencies.

If the compliance regulations assign responsibilities for DRM in general terms, the justification should make explicit the scope of the DRM to show that risk reduction is part of it. If possible, illustrate in the text of the justification the disaster risk reduction actions considered in the standard used to verify the indicator.

Likewise, responsibilities assigned for the prevention or reduction of environmental risks should not be confused with those related to disaster risk reduction in the face of hazardous natural phenomena.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Chile 2013. Decree No. 1199 (2004) Regulations on Sanitary Concessions for the Production and Distribution of Drinking Water and the Collection and Disposal of Served Water and Quality Norms of Attention to the Users of these Services, it considers: Article 97º *"In conformity with the respective regulations in force, the provider of the service of drinking water distribution and, if applicable, the production concessionaire must guarantee the continuity of the service, which may only be affected by reasons of force majeure qualified by the Superintendency or due to interruptions, restrictions and programmed and indispensable rationing for the provision of the service, which must be communicated to the user, with at least 24 hours of anticipation..."*. Article 99: *"The provider must have in application a permanent program of preventive maintenance of its sewage networks. Likewise, the provider shall have the obligation to keep available and without interruption the public network for the evacuation of the sewage coming from the properties, so that such network does not produce floods, filtrations, damages or other effects, except for force majeure, damages caused by the misuse or defective execution of the domiciliary installation not attributable to the company"*.

Examples of non-compliance in countries of the region

Bahamas 2017. Section 3(3) of Chapter 196 of the Water and Sewerage Corporation Act 1976 (updated in 1996) vests the control and administration of water in the Water and Sewerage Corporation (WSC). Section 5(1) of that Act states that the WSC should *"ensure the application of appropriate standards and techniques for the investigation, use, control, protection, management and administration of water"*, but does not specifically mention disaster risk or climate change. The online WSC Standards & Procedures for Subdivision Development provide the corporation with the power to provide specifications of privately developed utilities and to test them. None of these mention risk reduction responsibilities. Despite the current lack of regulations related to this indicator, it is important to underscore that there are some sectoral practices that point out into the right direction. For instance, a national transfer of water supply was switched from the barging of water from ground water lenses in a family island in Andros to Nassau, to reliance on desalination plants, in order to reduce the increasing risks from hurricanes to the national water supply. The WSC also confirmed in an interview that when they purchase new water desalination plants from private companies, they now require that these plants meet certain hurricanes standards in addition to the requirements in the Building Code.

Code RR-1B-15

Closed-ended question	
15. Does the regulatory framework of the telecommunications sector (or equivalent) define the responsibility for disaster risk reduction within the scope of its competencies?	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a public policy aimed at national development, which is also cross-cutting and inclusive, and therefore involves all levels of public administration. Therefore, following this logic, it is essential that the regulations of each sector establish obligations for the implementation of DRM activities, specifically those of risk reduction executed within the scope of their competencies.</p> <p>This indicator values the fact that the telecommunications sector or its various entities incorporate functions focused on reducing disaster risks related to the sector's activities.</p> <p>It should be noted that in some countries the telecommunications sector (understood to include at least telephony services) involves several institutions in charge of governance, regulation (superintendency) and the provision of this type of service, where each of these institutions may have its own regulatory framework. In some countries, telecommunications services may even be provided under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility to reduce risk must be defined, regardless of who the actor (public or private) is that must comply with it.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing body, regulator and suppliers) of the telecommunications sector. 2. Review the regulation of the telecommunications sector, which could also include national policies, strategies, plans, and programs. 3. Identify whether the regulations establish responsibilities for the telecommunications sector in terms of disaster risk reduction within the scope of its competencies. 4. If necessary, consult with representatives of the telecommunications sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-16 DP-1B-11 RC-1B-9	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the telecommunications sector in terms of disaster risk reduction.
RR-2-9	In the case of verifying the allocation of resources to the national entity responsible for telecommunications to carry out disaster risk reduction activities, investigate the regulations that allow it.
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, there must be current regulations in the telecommunications sector, applicable to at least one of the relevant actors in the sector (i.e., those responsible for governance, regulation/superintendence or service provision), who explicitly considers, within the sector's responsibilities, the implementation of actions, projects or programs that reduce disaster risk within the scope of their sectoral competencies.

If the compliance regulations assign responsibilities for DRM in general terms, the justification should make explicit the scope of the DRM to show that risk reduction is part of it. If possible, illustrate in the text of the justification the disaster risk reduction actions considered in the standard used to verify the indicator.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Costa Rica 2014. The National Telecommunications Development Plan, 2009-2014, of the Ministry of the Environment, Energy and Telecommunications, Vice-Ministry of Telecommunications, May 13, 2009 (RR-1B-15a) *"3.4 Current institutions in the telecommunications sector, 3.4.1 Rectory The rectory of the State is an essential component of the governance of the telecommunications sector.*

... The Minister-Rector is responsible for aligning the development of the sector, in accordance with national priorities in terms of competitiveness, universality, solidarity, coverage, consumer rights, reduction of supply risks, environmental, social and economic sustainability". Likewise, it establishes in numeral 4.4.3 the axes of the PNDT: " a. Telecommunications... a.7 To ensure an environmental quality telecommunications platform, whose impact on the environment is as low as possible, contributing to the conservation of the environment, as well as to the prevention and mitigation of the effects of natural disasters" and "5.1.3 Environmental axis: ... a. Strategic Line: Environmental Protection... Specific Objective No. 3: Guarantee the possibilities offered by ICTs to improve the country's environmental quality, which includes measures on the prevention, mitigation and adaptation of natural disasters. ... Actions and Measures b. Develop, in coordination with the National Emergency Commission, plans and projects to strengthen communication networks in areas of greater socio-environmental and economic vulnerability, including early warning systems. c. Identify the country's condition in terms of regional and international interconnection of digital information networks for disaster prevention..."

Examples of non-compliance in countries of the region

Peru 2013. The Ministry of Transport and Communications, through Ministerial Resolution No. 568-2007-MTC, provides the *"standard contract for the single concession regime for the provision of public telecommunications services"*. In this, clause 6, number 12 establishes *"The obligations of companies providing telecommunications services in case of emergency or crisis "*. On the other hand, the General Regulations of the Supervisory Body for Private Investment in Telecommunications - (OSIPTEL) (for its acronym in Spanish), approved by Supreme Decree N° 008-2001-PCM, establishes indicators for the repair of service failures. However, these norms are related to the rehabilitation of the service in case of disaster and not to risk reduction as such, therefore, the condition is not met.

Code RR-1B-16

Closed-ended question	
16. Does the regulation of the energy sector (or equivalent) define the responsibility to reduce the risk of disasters in the scope of its competencies?	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a public policy aimed at national development, which is also cross-cutting and inclusive, and therefore involves all levels of public administration. Therefore, following this logic, it is essential that the regulations of each sector establish obligations for the implementation of DRM activities, specifically those of risk reduction executed within the scope of their competencies.</p> <p>This indicator values the fact that within the set of responsibilities of the energy sector, understood as electrical energy, functions focused on reducing the risks of disasters that are related to the sector's own activities are incorporated.</p> <p>It should be noted that in some countries the energy sector involves several institutions responsible for the generation, transmission and distribution of electricity. Likewise, there could be institutions responsible for the steering, regulation (superintendency) and provision of this type of service, where each of these institutions may have its own regulatory framework. In some countries, the provision of energy services can even be carried out under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility to reduce the risk must be defined, regardless of who the actor (public or private) is that must comply with it.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing body, regulator) of the energy sector. 2. Identify the institutions in charge of the generation, transmission and distribution of electrical energy. 3. Investigate the energy sector's regulations, including any guidelines, technical regulations and concession contracts that may exist, if they establish responsibilities for carrying out activities to reduce the risk of disasters. 4. If necessary, consult with representatives of the energy sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-17 DP-1B-12 RC-1B-10	Review whether the regulations used to verify these indicators consider the assignment of responsibilities to the energy sector in terms of disaster risk reduction.
RR-2-10	In the case of verifying the allocation of resources to the national entity responsible for energy to carry out disaster risk reduction activities, investigate the regulations that allow it.
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, there must be regulations in force in the energy sector, understood as electrical energy, that satisfy some of the conditions detailed below:

- That it is applicable to at least one of the relevant actors in the energy sector (governing or regulatory body) and establishes responsibilities and functions for carrying out disaster risk reduction activities in its area of competence.
- To establish responsibilities and roles for disaster risk reduction activities for institutions in charge of electricity generation, transmission and distribution

If the regulations for compliance assign responsibilities in general terms for DRM, the justification must make explicit the scope of the concept of DRM for the purposes of these regulations, to show that risk reduction is part of the concept of DRM. If possible, the justification should include an example of the disaster risk reduction actions considered in the standards used to verify the indicator.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. The Federal Electricity Commission (CFE) (for its acronym in Spanish) has an Institutional Risk Management Model (RR-1B-16a), which contemplates, among others, the following objectives: *"To identify, analyze, control, evaluate and monitor the possible risks that the entity faces and that, if they materialize, may limit or prevent the fulfillment of the institutional objectives"*. Additionally, *"Establish mechanisms for the adequate management of CFE risks and for the definition of control strategies that reduce to a minimum the possibility of risks materializing"*. On the other hand, the CFE provided evidence of the obligation to include, together with the risk analysis of its infrastructure that is carried out annually, *"a program of the preventive and corrective measures that will be carried out in order to eliminate the risks detected"*. As an example, a letter sent in 2013 to the distribution division managers requesting this information is provided (RR-1B-16b.pdf)

Examples of non-compliance in countries of the region

Ecuador 2016. The Organic Law of the Public Electricity Service does not contain specific provisions related to the responsibility of reducing the risk of disasters for the sector; the only reference is aimed at verifying the feasibility of providing electricity services based on a technical document issued by the National Secretariat of Risk Management (Art.65)

Code RR-1B-17

Closed-ended question	
17. Are there regulations that order a disaster risk analysis in the pre-investment phase of the project cycle?	
Indicator Overview	
<p>Public Investment Projects (PIPs) are time-limited interventions to create, expand, improve or recover an entity's capacity to produce or provide goods or services.</p> <p>In most countries PIPs are formulated following the <i>project cycle</i>, the first phase of which is "<i>pre-investment</i>". This phase aims to assess the desirability of a particular PIP, and requires studies that support that it is socially profitable, sustainable and consistent with policy guidelines established by the relevant authorities.</p> <p>This indicator seeks to determine whether the country has taken into consideration the performance of disaster risk analysis in the pre-investment phase, in order to integrate disaster risk as an element of decision making on the feasibility of the project.</p> <p>Therefore, it is considered a good practice that the regulations of public investment systems require this type of analysis at the pre-investment stage. This will favor the incorporation of disaster risk reduction prior to project implementation.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Find out if the country has a public investment system or project bank (or the equivalent system in the country) 2. Review public investment regulations, including those related to public-private partnerships, to identify whether a disaster risk analysis is explicitly mandated in the pre-investment phase of the project cycle. 3. Review the DRM and public works contracting regulations to identify whether any of them explicitly mandate a disaster risk analysis in the pre-investment phase of the project cycle. 4. If necessary, consult with representatives of the investment areas of the treasury, economic or financial authority (or equivalent entity), or with the planning or programming authority (or equivalent entity) to inquire about the existence of regulations to validate this indicator. 	
Link to other indicators	
RR-1B-18 RR-1B-19	Check if the revised regulation or used for these indicators allows to verify the present condition.
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, the regulations identified must explicitly mandate the performance of disaster risk analysis in the pre-investment phase of the project cycle, as a requirement for the approval of public investment projects.

It will not be possible to validate this indicator if the regulations identified refer only to the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.

The justification should state that the identified regulations make explicit reference that the disaster risk analysis should be carried out in the pre-investment phase. If it is necessary to make an interpretation as to whether the regulation contains such a mandate, this indicator will not be considered fulfilled.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Dominican Republic 2014. In Resolution No. 01-2010, Technical Norms of the National System of Public Investment SNIP (for its acronym in Spanish), of the Ministry of Economy, Planning and Development, of June 18, 2013 (RR-1B-17a), in Chapter III "*General Norms that guide the Process of Public Investment*", in paragraph k it is established that "... *The public institutions that formulate public investment projects must incorporate the disaster risk variable in their analysis...*", and later, in paragraph "j", it is indicated that: "*The Risk Analysis must be incorporated fundamentally in the Pre-Concept projects, whose elaboration requires Pre-feasibility and Feasibility studies for their execution and operation*".

Examples of non-compliance in countries of the region

El Salvador 2016. No evidence was found in Agreement No. 1355 of December 19, 2002 regarding the "Approval of the Technical Manual of the Integrated Financial Administration System", which includes a chapter that "Norm on the Public Investment Process", which includes "Norms for the preparation of project studies in the pre-investment phase". The inexistence of regulations ordering a disaster risk analysis in the pre-investment phase of the project cycle was ratified by the Ministry of Finance in the visits carried out in July 2016. It is worth mentioning that the Ministry of Finance stated that CEPREDENAC and ECLAC are supporting them in generating regulations to integrate the disaster risk analysis in the pre-investment phase of the project cycle.

Code RR-1B-18

Closed-ended question	
18. Are there regulations that require the integration of climate change studies in the pre-investment phase?	
Indicator Overview	
<p>Public Investment Projects (PIPs) are time-limited interventions to create, expand, improve or recover an entity's capacity to produce or provide goods or services.</p> <p>In most countries PIPs are formulated following the <i>project cycle</i>, the first phase of which is "<i>pre-investment</i>". This phase has the objective of evaluating the convenience of carrying out a particular PIP; it requires having the studies that support that it is socially profitable, sustainable and in accordance with the policy guidelines established by the corresponding authorities.</p> <p>This indicator seeks to determine whether the country has taken into consideration the risk analysis specifically related to the potential effects of Climate Change (CC) in the pre-investment phase, this in order to integrate aspects of Adaptation to Climate Change as an element of decision on the feasibility of the project.</p> <p>It is considered a good practice that in the regulations of public investment systems or climate change, it is mandatory to carry out this type of analysis at the pre-investment stage. This will encourage the construction of infrastructure that is resilient to the potential effects of climate change.</p> <p>It is worth mentioning that, in general, environmental impact studies differ from climate change impact studies, or do not consider the analysis of these effects.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Find out if the country has a public investment system or project bank (or the equivalent system in the country) 2. Review public investment regulations, including those related to public-private partnerships, to identify whether they explicitly mandate climate change studies in the pre-investment phase of the project cycle. 3. Review climate change regulations and public works contracting regulations to identify whether to explicitly mandate climate change studies in the pre-investment phase of the project cycle. 4. If necessary, consult with representatives of the investment areas of the treasury, economic or financial authority (or equivalent entity), or with the planning or programming authority (or equivalent entity) to inquire about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RR-1B-17 RR-1B-19 RR-1B-20	Check if the revised regulation or used for these indicators allows to verify the present condition.
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, there must be regulations in force that explicitly mandate climate change studies in the pre-investment phase of the project cycle, as a requirement for the approval of public investment projects.

The justification should state that the identified regulations make explicit reference to the fact that a disaster risk analysis must be carried out in the pre-investment phase. If it is necessary to make an interpretation as to whether such regulations include such a mandate, this indicator will not be considered fulfilled.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Honduras 2014. In accordance with the provisions of article 58 of the Organic Law on the Budget, Executive Decree No. 83-2004 (RR-1B-18a), published in the Gazette on June 21, 2004, the General Directorate of Public Investment is responsible for "dictating the technical norms and guidelines for the formulation of public investment programs and projects". Additionally, Article 62 establishes that "the State entities that propose new projects, based on the investment priorities defined by the Executive Branch, must present them to the General Directorate of Public Investments, accompanied by the information that allows the technical, economic and social impact analysis for the granting of the Priority Note, which will be a requirement to manage external and national resources. Additionally, through Ministerial Agreement No. 0321 (RR-1B- 18b), of April 18, 2006, the technical norms for public investment were approved, which consider as an objective "To establish the guidelines, methodologies and parameters for the organization, formulation, execution and ex-ante and ex-post evaluation of projects that should be applied by public institutions in their Multi-annual Public Investment Programs. Article 3 stipulates "These Technical Standards are of mandatory use and application by all entities of the Public Sector. Article 9, on the basic concepts of public investment, defines Public Investment Manuals as "They describe, for the institutions that manage public resources, the methodology, techniques, instructions, forms, requirements and general and specific procedures to make the public investment processes operative: Formulation, Advance of the Physical and Financial Execution and Monitoring and Evaluation of the Public Investment Program within this context of requirements for the issuance of the priority note for managing resources, the General Directorate of Public Investment (DGIP) (for its acronym in Spanish) of the Ministry of Finance (SEFIN) (for its acronym in Spanish) prepared in 2012 the "General Methodological Guide for the Formulation and Evaluation of Public Investment Programs and Projects" (RR-1B-18c). The guide states that "institutions formulating programs and projects must...take into account climate scenarios and their effects on the intensity and frequency of socio-natural hazards and the actions that must be taken to reduce disaster risks through appropriate risk management". Step 4 of this guide stipulates the "Assessment of project vulnerability to different risks in the profile phase with the "Project Shield" (RR-1B-18d). The Guide also states that this "must be followed to present the project profile to the SISPU, which is necessary for the issuance of the Priority Note by the DGIP". The Method for Reducing Vulnerability in Infrastructure Projects "Shielding of Projects" establishes "On the other hand, when analyzing the risk before climatic events, it is not enough to reduce the risk before climatic events related to climate variability, but the impacts of climate change must be considered".

The methodological steps to reduce vulnerability in a project include impact scenarios. "The two groups are asked to identify for the eventuality of the two (2) strongest threats and to determine the periodicity of at least one frequent scenario and one extreme scenario of impacts by specifying how often they occur (e.g., frequent every 2-3 years and extreme every 10 years). In these scenarios, the projected climate scenarios for Honduras can be included as a reference, relating the scenario to its possible impacts. Rainfall and temperature scenarios for the year 2026 can be taken as a reference.

Examples of non-compliance in countries of the region

Colombia 2013. The regulations do not make explicit reference to conducting climate change studies. In Colombia, the CONPES 3714 of December 2011 "*On the foreseeable risk in the framework of public procurement policy*" establishes that within the foreseeable risks are considered the "*Environmental Risks: It refers to the obligations arising from environmental licenses, environmental management plans, environmental or ecological conditions required and the evolution of remuneration and water use rates*", On the other hand, in Law 1508 of January 2012, "*By which the legal regime of the Public Private Associations is established*", Article 11, related to the "*Requirements to open processes of selection of contractors for the execution of public-private partnership projects, of public initiative*" requires "*The current studies of technical, socioeconomic, environmental, property, financial and legal nature in accordance with the project*". However, the need to carry out climate change studies is not explicitly stated. Finally, the CONPES 3700 of July 2011 "*Institutional strategy for the articulation of policies and actions on climate change in Colombia*", does not stipulate in the pre-investment phase the carrying out of climate change studies.

Code RR-1B-19

Closed-ended question	
19. Are there regulations that order disaster risk analysis in other phases of the project cycle than the pre-investment phase?	
Indicator Overview	
<p>Public Investment Projects (PIPs) are time-limited interventions to create, expand, improve or recover an entity's capacity to produce or provide goods or services.</p> <p>In most countries PIPs are formulated following the <i>project cycle</i>, the first phase of which is "<i>pre-investment</i>". This phase has the objective of evaluating the convenience of carrying out a particular PIP; it requires having the studies that support that it is socially profitable, sustainable and in accordance with the policy guidelines established by the corresponding authorities. The second phase is the "<i>investment</i>" phase in which the PIP reaches the category of "viable" or "feasible", which includes the preparation of the technical file already detailed and proceeds with the execution of the project, and culminates precisely with its completion and liquidation. The third phase is that of "<i>post-investment</i>", which includes the processes of maintenance, control and ex-post evaluation, in which it is analyzed whether the objectives initially set out in the PIP were met.</p> <p>This indicator seeks to determine if the country has any regulations that have made it mandatory to carry out a disaster risk analysis in the Investment and Post-Investment phases of the project cycle. The fulfillment of this type of mandate will favor the existence of disaster-resilient infrastructure.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Find out if the country has a public investment system or project bank (or the equivalent system in the country) 2. Review public investment regulations, including those related to public-private partnerships, to identify whether disaster risk analysis is explicitly mandated in the investment and/or post-investment phase of the project cycle. 3. Review DRM and public works contracting regulations to identify whether disaster risk analysis is explicitly mandated in the investment and/or post-investment phases of the project cycle. 4. If necessary, consult with representatives of the investment areas of the treasury, economic or financial authority (or equivalent entity), or with the planning or programming authority (or equivalent entity) to inquire about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RR-1B-17 RR-1B-18 RR-1B-20	Check if the regulations used for these indicators allow to verify the present condition.
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, there must be regulations in force that explicitly mandate a disaster risk analysis in the investment and/or post-investment phases of the project cycle or PIP (phases other than the pre-investment phase) as a requirement for the approval of public investment projects.

It will not be possible to validate this indicator if the identified normative refers only to the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.

The justification should state that the identified regulations make explicit reference to the fact that the disaster risk analysis should be carried out in different phases of the pre-investment phase, specifying in which ones. If it is necessary to make an interpretation as to whether such regulations include such a mandate, this indicator will not be considered fulfilled.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Peru 2013. The Ministry of Economy of Finance (MEF) has the "Guidelines for Monitoring Public Investment" of June 2011 (RR-1B-19a), a document that establishes an operational system for monitoring projects in terms of progress in implementation. Likewise, full compliance with the indicator is complemented by the "General Guidelines for Ex-Post Evaluation of Public Investment Projects", published in March 2012 (RR-1B-19b), in which chapter 5.4.7 Sustainability Evaluation, in number d) Risk Management, states that: *"It will be evaluated whether the important risks have been identified in the pre-investment, measures to reduce them were included and these have been applied. Risks that may have arisen in the investment and post-investment phases will be identified and how they have been addressed. The capacity of the service operator or beneficiaries to assimilate and recover from a disaster or social conflict will be evaluated, among others"*. It should be specified that these guidelines are mandatory in accordance with the provisions of paragraph "3.1.3. Competition. The evaluation of completion, *estará in charge of the Executing Unit - EU, since it is the institutional body responsible for the execution of the project. The others involved in the execution process will support it; this is the case of the Technical Body that will be responsible for the technical aspects of the PIP components.* "and "3.1.4. Scope of Application. The completion evaluation is mandatory for all Public Investment Projects, it will be carried out in accordance with the Minimum Contents for the Completion Evaluation (Annex 1), according to the cut-off line established by the investment amount; these guidelines constitute the guidelines for such purpose".

Examples of non-compliance in countries of the region

Paraguay 2016. No evidence was found regarding regulations that mandate disaster risk analysis in other phases of the project cycle than the pre-investment phase. The following were analyzed: (i) Law No. 5102/2013 on the promotion of investment in public infrastructure, published in the Official Gazette No. 51 of March 13, 2014; (ii) Guide for the Formulation of Investment Projects at the Profile Level (2015), which includes a chapter on risk analysis, but without indicating the risks to be considered in the analysis. (Guide of the Ministry of Finance, National Public Investment System); and (iii) General Methodology for the Preparation and Evaluation of Investment Projects (2014) of the National Public Investment System.

Code RR-1B-20

Closed-ended question	
20. Are there regulations that order climate change studies in other phases of the project cycle than the pre-investment phase?	
Indicator Overview	
<p>Public Investment Projects (PIPs) are time-limited interventions to create, expand, improve or recover an entity's capacity to produce or provide goods or services.</p> <p>In most countries PIPs are formulated following the <i>project cycle</i>, the first phase of which is "<i>pre-investment</i>". This phase has the objective of evaluating the convenience of carrying out a particular PIP; it requires having the studies that support that it is socially profitable, sustainable and in accordance with the policy guidelines established by the corresponding authorities. The second phase is the "<i>investment</i>" phase in which the PIP reaches the category of "viable" or "feasible", which includes the preparation of the technical file already detailed and proceeds with the execution of the project, and culminates precisely with its completion and liquidation. The third phase is that of "<i>post-investment</i>", which comprises the processes of maintenance, control, and ex-post evaluation, in which it is analyzed whether the objectives initially set out in the PIP were met.</p> <p>This indicator seeks to determine whether the country has any regulations that have provided for the conduct of climate change studies in the Investment and Post-Investment phases of the project cycle. This will favor the existence of infrastructure resilient to the adverse effects of climate change.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Find out if the country has a public investment system or project bank (or the equivalent system in the country) 2. Review public investment regulations, including those related to public-private partnerships, to identify whether to explicitly mandate climate change studies in the investment and/or post-investment phases of the project cycle. 3. Review climate change regulations and public works contracting regulations to identify whether climate change studies are explicitly mandated in the investment and/or post-investment phases of the project cycle. 4. If necessary, consult with representatives of the investment areas of the treasury, economic or financial authority (or equivalent entity), or with the planning or programming authority (or equivalent entity) to inquire about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RR-1B-17 RR-1B-18 RR-1B-19	Check if the regulations used for these indicators allow to verify the present condition.
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, there must be regulations in force that explicitly mandate a disaster risk analysis in the investment and/or post-investment phases of the project cycle or PIP (phases other than the pre-investment phase) as a requirement for the approval of public investment projects.

It will not be possible to validate this indicator if the identified normative refers only to the analysis of threats, exposure or vulnerability, since the indicator seeks to validate the combination of the three elements of analysis that result in a comprehensive risk estimate.

The justification should state that the identified regulations make explicit reference that the disaster risk analysis should be carried out in different phases of the pre-investment phase, specifying in which ones. If it is necessary to make an interpretation as to whether such regulations include such a mandate, this indicator will not be considered fulfilled.

"As this is a new indicator considered in the process of updating the iGOPP protocol, no examples are presented for this indicator. However, for examples of future applications, please consult the iGOPP applications available at <https://riskmonitor.iadb.org/>"

Code RR-1C-1

Closed-ended question	
1. <i>Do national regulations on Disaster Risk Management establish that territorial management units are responsible for disaster risk reduction in their respective territories?</i>	
Indicator Overview	
<p>This indicator refers to a quality attribute of the national DRM regulations, which recognizes the importance of disaster risk management being implemented not only by the national, central or federal government, but also that the Territorial Management Units (TMU) have within their jurisdiction the competence to carry out certain local risk management functions and that these are in accordance with their resources and capacities.</p> <p>In this sense, this indicator assesses whether the existing DRR regulations in the country assign competences to the TMUs in the area of disaster risk reduction within their respective jurisdictions (be they regions, states, provinces, departments, municipalities, cantons, etc.).</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation, or similar.</p> <p>In this indicator, one must consider that the TMUs in each country have a series of particularities with respect to their political-administrative regime. Although most countries are located in the decentralized regime, the processes of decentralization vary considerably. On the other hand, in the federated countries the TMUs also present different degrees of autonomy and sovereignty. Whatever the case, it is necessary to determine the DRM regulations that define the role of the TMUs within the DRM components, and then determine whether these regulations require them to carry out risk reduction tasks in their own territories.</p> <p>Note: Not to be confused with indicator RR-1C-2, which asks whether the regulations governing the responsibilities of local authorities recognize risk reduction (or disaster or risk prevention) as one of their responsibilities. In other words, this indicator asks the express DRM regulations, while the RR-1C-2 indicator asks the regulations of local or regional governments (or equivalent).</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the existing TMUs in the country. 2. Identify specific national DRM regulations. 3. Analyse whether the DRM regulations expressly assign disaster risk reduction responsibilities to the TMUs. 	
Link to other indicators	
IR-1C-1 DP-1C-4	Check if the regulations used for these indicators allow to verify the present condition.
Description of the minimum situation required to consider the indicator met	

In order for the indicator condition to be met, the regulations identified must explicitly establish the TMUs that have been assigned land use and land management responsibilities for the disaster risk reduction component in their respective territories.

If the regulations assign general responsibilities for DRM to these CGUs, the justification must state that risk reduction is part of the scope and components of the DRM concept defined in the regulations.

If the regulations identified do not assign differentiated responsibilities for each of the country's TGU levels (regions, states, provinces, departments, municipalities, cantons, etc.), this indicator will be met if at least these responsibilities are assigned to the lowest level territorial management unit (municipality or equivalent) in the country that is responsible for land use and management.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Bolivia 2015. Law No. 113 /2013-2014, RISK MANAGEMENT LAW, approved by the National Assembly on November 13, 2014 (RR-1C-1a) establishes in its Article 1. *"The purpose of this Law is to regulate the institutional and jurisdictional framework for risk management that includes risk reduction through prevention, mitigation and recovery and; disaster and/or emergency response through preparation, alert, response and rehabilitation to risks of disasters caused by natural, socio-natural, technological and anthropic hazards, as well as social, economic, physical and environmental vulnerabilities"*. Article 4. (SCOPE OF APPLICATION), defines that: *"The present Law has as scope of application the entities of the central level of the State, autonomous territorial entities, public and private institutions and natural and/or legal persons, that intervene or are related to risk management"*. Additionally, in Article 21. (RISK MANAGEMENT IN TERRITORIAL ORGANIZATION), establishes responsibilities for the autonomous territorial units on the implementation of prospective and corrective risk reduction actions in their territories. Finally, the Second Final Provision of the Law establishes that *"Within the framework of the State's Integral Planning System, the autonomous territorial units must incorporate risk management in their development plans that are compatible with national planning"*.

Examples of non-compliance in countries of the region

Guatemala 2013. The condition is not met. The Regulations of the CONRED Law (Agreement N° 49-2012) establish in Article 39. Directorate of Integral Management of Disaster Risk Reduction that *"The Directorate of Integral Risk Management is in charge of designing and implementing the strategies that allow for the management of public policies, institutional procedures and the promotion of the policy of integral management of disaster risk reduction in municipal, sectoral and institutional planning processes; the formulation, application and implementation of integral measures of disaster risk reduction in development processes"*. Nevertheless, the responsibility of municipalities and departments to implement risk reduction in their respective territories is not established.

Code RR-1C-2

Closed-ended question	
2. Do the regulations on the functions and competencies of the territorial management units in the country establish disaster risk reduction as one of their competencies?	
Indicator Overview	
<p>This indicator recognizes the good practice in a centralized regime or model of government, that the regulations that establish the competencies for the different territorial management units (TMUs) incorporate the concept of DRM, specifically that of risk reduction. The question is whether the TMUs are assigned risk reduction functions, since it is the TMUs that can directly influence the risk levels of their territory by planning and implementing disaster risk reduction actions.</p> <p>On the other hand, in the case of some federal countries, the regulation of the functions and jurisdiction of the CGUs is usually the constitution or a constitutional law, this depending on the recognition of their sovereignty or autonomy, so that unlike centralized countries there is a relationship of coordination and not subordination between the CGUs and the federal government.</p> <p>Whatever the case, this indicator seeks to verify that the regulations that determine the functions or competencies of the TU establish responsibilities for risk reduction.</p> <p>It should be noted that "risk reduction" can be considered using terminology such as disaster risk prevention or mitigation or similar.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the existing TMUs in the country. 2. Identify the regulations that govern the functions of the TMUs in the country or, in the case of federal countries, the constitutional articles or the federal or general law that so provides. 3. Analyze if within the competencies assigned to the TMUs in the country, there is an express indication of functions and competencies related to disaster risk reduction. 	
Link to other indicators	
DP-1C-4	Check if the regulations used for this indicator allow to verify the present condition.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, there must be regulations in force that regulate the functions or competencies of the TMUs and that assign responsibilities to them in terms of disaster risk reduction in their respective territories.</p> <p>If the regulations assign general responsibilities for DRM to the TMUs, the justification must state that risk reduction is part of the scope and components of DRM defined in the regulations.</p> <p>If the regulations identified do not assign responsibilities to all the TMUs in the country (regions, states, provinces, departments, municipalities, cantons, etc.), this indicator can be validated if at least these responsibilities are assigned to the municipal (district) level.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	

Examples of compliance in countries of the region
Chile 2013. Law No. 19175 - Constitutional Organic Law on Regional Government and Administration, (RR-1C-2a) establishes " <i>General functions of the regional government f) To adopt the necessary measures to deal with emergency or disaster situations, in accordance with the law, and to develop programs for the prevention and protection of disaster situations</i> ".
Examples of non-compliance in countries of the region
El Salvador 2015. The Municipal Code, approved by Legislative Decree No. 274, dated 01/31/1986, published in the Official Gazette No. 23, Volume 290, dated 02/05/1986, defines in Article 4 the competencies of the municipalities, and establishes in numeral 1 the obligation to prepare, approve and execute the Local Development Plans. And numeral 30 refers to the other functions that are proper to local life and those that are attributed to it by other laws. It is considered that there are no explicit references to risk reduction in this body of municipal regulations, and that, therefore, the indicator is not met.

Code RR-1C-3

Closed-ended question	
3. Do the regulations on land use or planning (or equivalent process) establish the zoning of areas at risk as a determining factor in the definition of land use and occupation?	
Indicator Overview	
<p>The exposure of the population, their homes, infrastructure and public services to dangerous natural phenomena may be one of the main factors defining their risk level. Therefore, the identification of risk areas and their special treatment can significantly contribute to disaster risk reduction.</p> <p>Once risk zones have been identified, their use can be prohibited for the location of human settlements, critical infrastructure, basic services and other types of infrastructure, or their use can be limited for green areas, activities, recreation or other types.</p> <p>Making decisions on land use and occupation is an effective way to reduce disaster risk, and therefore it is good practice that within the regulations on land use or planning (or equivalent process) the zoning of areas at risk is established as a determinant in the definition of land use and occupation.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the regulations that govern the territorial ordering (or equivalent process) in the country. 2. Analyze if the identified regulations establish that within the planning process, disaster risk is considered as an element in land zoning. 3. In case the risk is part of the elements that determine the zoning, identify if the regulations establish a land use regulation consistent with the zoned risk (i.e. if the regulations establish a special treatment to the areas at risk to avoid unsafe use or occupation). 	
Link to other indicators	
RI-1C-3 RR-1C-5	Check if the regulations used for these indicators allow to verify the present condition.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, the regulations identified must explicitly consider that the zoning of areas at risk from natural hazards is a determining factor in the definition of land use and occupation.</p> <p>The justification must explain both the risks considered for zoning, and the restrictions or considerations stipulated for the possible use of such zones.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Other application results are available at of the iGOPP at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Colombia 2013. Law 388 of July 18, 1997, which modifies Law 9a. of 1989, and Law 3a. of 1991 and other provisions (RR-1C-3a), which aims, according to Article 2, to establish the procedures for the formulation of Territorial Management Plans at the municipal level. According to Article 8, Urban Planning Action, it includes, among others, *"5. To determine the non-developable areas that present risks for the location of human settlements, due to natural hazards, or that otherwise present unhealthy conditions for housing". Similarly, Article 12, Content of the general component of the development plan, establishes in numeral 2.3 that it is obligatory to "determine and locate on maps the areas that present high risk for the location of human settlements, due to natural threats or risks or unhealthy conditions".*

Examples of non-compliance in countries of the region

Guatemala 2013. Guatemala does not have a Land Use Planning Law. The Preliminary Urban Planning Law, approved by Decree No. 583 of February 29, 1956, is still in force today. It sets out the instruments that each municipality should have in order to channel the use of the land in its area (zoning) and urban expansion. The referred Law, does not contain the concept of risk as such, but it does refer in its Article 1. *"G) Zoning: is the determination of the most convenient use of the land for the integral benefit of the city. Likewise, in its Article 5. it instructs: The municipalities shall proceed to A) study the regulatory plan... and carry out the necessary studies. B) To study the urban development instrumentation to determine... 3 the necessary regulation and zoning C) To prepare the program of urban rehabilitation and the delimitation of unhealthy districts".* Additionally, there is the Guide for the Elaboration of the Municipal Territorial Ordering Plan, which is not of obligatory use.

Code RR-1C-4

Closed-ended question	
4. Are there regulations for the integral improvement of human settlements?	
Indicator Overview	
<p>Disaster risk reduction is implemented through processes that aim to transform the geographical space in search of better living conditions and social and economic development. One of the key processes for risk reduction, especially at the urban level, is the integral improvement of human settlements, also known in some countries as neighborhood improvement.</p> <p>This indicator specifically asks if there are regulations in the country that regulate the integral improvement of human settlements.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the regulations related to urban development, housing, human settlements, urban and territorial planning or others that may exist related to neighborhood improvement, housing subsidies or equivalent. 2. Analyze if the identified regulations consider the integral improvement of human settlements, neighborhood improvements or similar. 3. If necessary, consult with representatives of the housing sector or representatives of human settlement improvement programs about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RR-1C-3 RR-1C-5	Check if the regulations used for these indicators allow to verify the present condition.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must make explicit reference to the comprehensive improvement of human settlements or neighborhoods.</p> <p>This condition could be positively verified with evidence of the existence of programs for the improvement of neighborhoods or human settlements to the extent that there are normative documents that support the legality of these programs.</p> <p>If the conditions required for this indicator are verified, the justification must explain the type of improvements considered in the identified regulations.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the iGOPP Application Protocol. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Mexico 2014. The General Law of Human Settlements, published in the Official Gazette of the Federation on July 21, 1993 (RR-1C-4a), establishes in its Article 1, Section II: <i>"To establish the basic norms to plan and regulate the territorial ordering of human settlements and the foundation, conservation, improvement and growth of population centers..."</i>. And in Article 2, Section XIII, it defines: <i>"Improvement: the action tending to reorder or renew the areas of a population center of incipient development or physically or functionally deteriorated"</i>, and it breaks down throughout the law a series of actions and provisions for the improvement of population centers and human settlements.</p>	

Dominican Republic 2014. Law No. 1-12, which establishes the National Development Strategy 2030, of January 26, 2012 (RR-1C-4a), contemplates the articulation of its public policies around 4 axes, incorporating in Article 8 the Second Axis, which seeks a Society with Equal Rights and Opportunities, and among the General Objectives in which this axis is divided, a distinction is made for the effects of this indicator, 2.5 *"Decent housing in healthy environments"*, which in Article 23 describes two Specific Objectives, in which 2.5.1 stands out, and which proposes *"To facilitate the access of the population to economic, safe and decent housing, with legal security and in sustainable, socially integrated human settlements, that meet the criteria of adequate risk management and universal accessibility for people with physical-motor disabilities"*. This Specific Objective lists 12 lines of action.

Examples of non-compliance in countries of the region

Guatemala 2013. The Law on Housing and Human Settlements (Decree No. 120-96) and the National Policy on Housing and Human Settlements do not specifically regulate the comprehensive improvement of human settlements, but rather refer to the concept of development, as exemplified by Article 2, which states: *"... b) Human settlements constitute an irreplaceable basis for the development of the country, and the State must promote their development."*

Code RR-1C-5

Closed-ended question	
5. Are there regulations for the relocation of human settlements located in risk areas?	
Indicator Overview	
<p>This indicator assumes the existence of several previous processes: (i) the determination of human settlements located in risk areas and (ii) the political decision that these settlements should be relocated or relocated to areas of greater security.</p> <p>Relocation, relocation or resettlement due to disaster risk is generally a complex and politically very costly process. However, it is considered good practice that a legal framework is in place to enable it in order to reduce the likelihood of loss of life and property.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify regulations related to urban development, housing, human settlements, urban and territorial planning or equivalent. 2. Analyze if the identified regulations consider the relocation or relocation of human settlements located in disaster risk areas. 3. If necessary, consult with representatives of the housing or DRM sector about the existence of regulations that allow this indicator to be validated. 	
Link to other indicators	
RR-1C-3 RR-1C-4	Check if the regulations used for these indicators allow to verify the present condition.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, the regulations identified must explicitly provide for the relocation or relocation of people and their homes because they are located in areas at risk from dangerous natural phenomena.</p> <p>The indicator will not be met if the relocation or relocation is due to reasons other than those related to the risk associated with hazardous natural phenomena, such as environmental, health or technological risks.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Dominican Republic 2014. Law No. 1-12, which establishes the National Development Strategy 2030, of January 26, 2012 (RR-1C-4a), contemplates the articulation of its public policies around 4 axes, incorporating in Article 8 the Second Axis, which seeks a Society with Equal Rights and Opportunities, and among the General Objectives in which this axis is divided, a distinction is made for the effects of this indicator, 2.5 <i>"Decent housing in healthy environments"</i>, which in Article 23 describes two Specific Objectives, in which 2.5.1 stands out, and which proposes <i>"To facilitate the access of the population to economic, safe and decent housing, with legal security and in sustainable, socially integrated human settlements, that meet the criteria of adequate risk management and universal accessibility for people with physical-motor disabilities"</i>. This Specific Objective includes among 12 lines of action, 2.5.1.3 <i>"To relocate settlements in risk conditions before natural phenomena, pollution sources or risks derived from human action"</i>.</p>	

Jamaica 2013. The Disaster Preparedness and Emergency Act (RR-1C-5a) states in Section 12 that the Minister shall notify the Prime Minister in writing and the Prime Minister may by order published in the Gazette declare that part of the Island to be a disaster area and direct the enforcement of any measures recommended by the Office or any other measures that he thinks expedient for removing or otherwise guarding against any such condition and the probable consequences there of or mitigating as far as possible, any such hazard.

Examples of non-compliance in countries of the region

Argentina 2014. There is no general rule on the relocation of human settlements located in risk areas. The Land Directorate of the National Land Commission for Social Habitat "*Padre Carlos Múgica*" (Decree 848/2012, dated 5/31/2012) has partial competence on the subject, but not explicitly for the relocation of settlements at risk. Its primary responsibility is: To implement the actions aimed at achieving the regularization of the domain of fiscal lands and to transfer them to the occupants of such lands or to the beneficiaries of social housing plans as appropriate in collaboration with the competent agencies. In this context, it is assigned: "*To relocate human settlements on lands suitable for this purpose*" (within the framework of the Commission's competencies).

Code RR-2-1

Closed-ended question	
1. <i>In the last fiscal year, were resources allocated to the ministry of environment to carry out disaster risk reduction activities that can be verified through budget classification instruments?</i>	
Indicator Overview	
<p>Empirical evidence shows that for every dollar invested in risk reduction, four dollars can be saved in response. There are even risk reduction actions that present more favorable benefit/cost ratios. Therefore, it is considered good practice for each sector to allocate resources from its budget to disaster risk reduction activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget labeling or its equivalent, which allows for the identification of the allocation of public resources to disaster risk reduction in the environmental sector during the last fiscal year or period. Although the ideal situation is that the allocation of resources can be verified through some of the above elements, what is relevant is that the environmental sector can be shown to have allocated resources from its budget for risk reduction activities within the scope of its sector competences.</p> <p>It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Check whether there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster risk reduction or DRM actions that may have been used to allocate resources in the sector budget. 2. Review the current year budget of the Ministry of Environment and other assigned entities to identify if there are resources allocated to carry out disaster risk reduction activities. 3. Identify whether the environmental authority (or equivalent entity) or its affiliated entities have any ongoing programs or projects that consider disaster risk reduction actions, and inquire whether they are financed with public resources. 4. If necessary, meet with representatives of the environmental sector (or equivalent entity), specifically with the areas responsible for the budget issue, disaster risk management area or climate change adaptation if it exists, in order to inquire about the allocation of resources for disaster risk reduction. 5. If it is necessary to consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, this object or classifier should allow tracking of resource allocations via the sector budget.
RR-1B-7	The existence of environmental sector regulations defining responsibility for carrying out disaster risk reduction could be an indication that the sector is allocating resources for this purpose.

RI-2-3	Evidence of resource allocation for disaster risk analysis activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For the fulfillment of this indicator, there must be evidence of resource allocation in the last fiscal year or period to the Ministry of Environment (or equivalent entity) or to one of its assigned entities to carry out disaster risk reduction activities through budget resources.</p> <p>The justification should detail the disaster risk reduction activities considered in the budget and, if they exist, should include details on the existence of the budget instrument, object of expenditure, catalog or budget tagger used.</p> <p>This indicator will not be validated with the allocation of international cooperation resources or other different public resources for projects, programs or risk reduction actions implemented by the environmental sector.</p> <p>Evidence of the allocation of resources in the last fiscal year or period to the environmental sector, for the purpose of carrying out DP activities in the area of its competence, verifiable and traceable through budget resources, which could include a budget instrument/expenditure item/catalogue/budget tagger or its equivalent for DRM.</p> <p>Disaster risk reduction projects, programs or actions implemented by the environmental sector with international cooperation resources other than public resources cannot be used as verifiable.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>There are no examples of compliance according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed</p>	
Examples of non-compliance in countries of the region	

Paraguay 2016. Article 27 of Law No. 2615/05 creating the Secretariat of National Emergency, approved on June 10, 2005 and published in Gazette No. 53 on June 15, 2005, establishes that "*The ministries of the Executive Branch shall include in their respective budgets plans that contemplate risk reduction programs, in the specific area of their respective portfolios, which shall be executed in coordination with the S.E.N. They shall also provide the budgetary resources necessary to finance the tasks of response to emergency situations defined in this Law*". However, no evidence was found of resource allocation for disaster risk reduction activities to the Ministry of the Environment. They were analyzed: (i) Law No. 5554 which approves the general budget of the Nation for fiscal year 2016, published in Official Gazette No. 6 of January 11, 2016; (ii) Decree 4774 which regulates Law 5554 that approves the general budget of the Nation for fiscal year 2016, published in Official Gazette No. 12 of January 19, 2016. The lack of allocation of resources to carry out disaster risk reduction activities was ratified by the Ministry of the Environment. It is worth mentioning that the Institutional Strategic Plan 2015-2018 of the Secretariat of National Emergency, approved by Resolution No. 915/15 of October 23, 2015, establishes within strategic line 2 "*Administrative and Financial*", within Institutional Objective 2 "*To promote public-private investment in DRM, through its mainstreaming in State agencies and entities, private sector actors and academia*" and as a program "*To promote the gradual inclusion of DRM in the formulation of budgetary norms for each fiscal year of public and private institutions*".

Belize 2017. The National Emergency Management Organization Environment & Solid Waste Committee, headed by the Department of the Environment, revised in 2017 the Environment & Solid Waste Committee Hurricane Emergency Preparedness Plan. As stated in section "*1.1 Environment & Solid Waste Committee*" of the Plan, the Terms of Reference for the Committee include making "[...] *recommendations for the recovery of ecologies and habitats to their original state*". However, no evidence has been found that the said Committee is formally established and during an interview with representatives from the Department of the Environment, it was stated that the said Plan had not yet been approved. Therefore, the condition is negative.

Code RR-2-2

Closed-ended question	
2. In the last fiscal year, were resources allocated to the ministry of agriculture to carry out disaster risk reduction activities that can be verified through budget classification instruments?	
Indicator Overview	
<p>Empirical evidence shows that for every dollar invested in risk reduction, four dollars can be saved in response. There are even risk reduction actions that present more favorable benefit/cost ratios. Therefore, it is considered good practice for each sector to allocate resources from its budget to disaster risk reduction activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget label or its equivalent, that allows for the identification of the allocation of public resources to disaster risk reduction in the agricultural sector during the last fiscal year or period. Although the ideal situation of compliance is that the allocation of resources can be verified through some of the above elements, however, what is relevant is that it can be evidenced that the agricultural sector allocates resources from its budget for risk reduction activities within the scope of its sector competences.</p> <p>It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Check whether there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster risk reduction or DRM actions that may have been used to allocate resources in the sector budget. 2. Review the current year budget of the Ministry of Agriculture and all its attached entities to identify if there are resources allocated to carry out disaster risk reduction activities. 3. Identify whether the Ministry of Agriculture or its affiliated entities have ongoing programs or projects that consider disaster risk reduction actions, and inquire whether they are financed with public resources. 4. If necessary, meet with representatives of the agricultural sector (or equivalent entity), specifically with the areas responsible for the budget issue, disaster risk management or climate change adaptation if it exists, in order to inquire about the allocation of resources for disaster risk reduction. 5. If it is necessary to consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, such information can be used to verify the allocation of resources via the sector budget.
RR-1B-8	The existence of regulations in the agricultural sector that define the responsibility for carrying out disaster risk reduction could be an indication that the sector is allocating resources for that purpose.

IR-2-4	Evidence of resource allocation for disaster risk analysis activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, there must be evidence of resource allocation in the last fiscal year or period to the Ministry of Agriculture (or equivalent entity) or one of its attached entities to carry out disaster risk reduction activities through budget resources.</p> <p>The justification should detail the disaster risk reduction activities considered in the budget and, if they exist, should include details on the existence of the budget instrument, object of expenditure, catalog or budget tagger used.</p> <p>This indicator will not be validated by allocating international cooperation resources or other resources to public projects, programs or risk reduction actions implemented by the agricultural sector.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>El Salvador 2016. In the General Budget Law for the 2016 fiscal year, published in the Official Gazette on December 15, 2015 (RR-2-2a), it appears within Branch 4200 of Agriculture and Livestock, on page 162, in section 3, Relationship of Purposes with Allocated Resources, with the Budget Unit 04 Forestry Management, Basins and Irrigation; and Line of Work 01 Forestry Development and Irrigation System: <i>"To contribute to the generation and use of agricultural infrastructure, forest resources, soil and water, promoting production and productivity in terms of mitigation and adaptation of the agricultural sector to the effects of climate change; contributing to the reduction of vulnerability, and the prevention of risk through the transfer of technology and the development of areas under irrigation, for an agriculture that contributes to the country's food and nutritional security"</i>. In addition, the Ministry of Agriculture and Livestock has a project profile entitled <i>"Attention, prevention and mitigation of the effects of climate change on agricultural producers in municipalities in the dry corridor and other areas affected by drought in El Salvador"</i> (RR-2-2b) for December 2015, which includes as expected impacts <i>"150 producers benefited from water harvesting systems, provide silage and/or haymaking feed and knowledge to face the problems caused by climate change"</i>.</p>	
Examples of non-compliance in countries of the region	

Paraguay 2016. Article 27 of Law No. 2615/05 creating the Secretariat of National Emergency, approved on June 10, 2005 and published in Gazette No. 53 on June 15, 2005, establishes that "*The ministries of the Executive Branch shall include in their respective budgets plans that contemplate risk reduction programs, in the specific area of their respective portfolios, which shall be executed in coordination with the S.E.N. They shall also provide the budgetary resources necessary to finance the tasks of response to emergency situations defined in this Law*". However, there was no evidence of resource allocation for disaster risk reduction activities to the Ministry of Agriculture and Livestock. It was analyzed: (i) Consolidated budget execution by object of expenditure from January to April 2016; (ii) Law No. 5554 approving the general budget of the Nation for the fiscal year 2016, published in the Official Gazette No. 6 of January 11, 2016; (iii) Decree 4774 which regulates Law 5554 that approves the general budget of the Nation for the fiscal year 2016, published in the Official Gazette No. 12 of January 19, 2016; and (iv) Projects under the responsibility of the Ministry of Agriculture and Livestock that appear in the list of the Projects Bank of the National System of Public investment of the Ministry of Finance (http://snip.hacienda.gov.py/Snip_Web/pages/portal/portalResultadoBusqueda.jsf) The lack of allocation of resources to carry out disaster risk reduction activities was ratified by the Ministry of Agriculture and Livestock. It is worth mentioning that the Institutional Strategic Plan 2015 2018 of the Secretariat of National Emergency, approved by Resolution N° 915/15 of October 23, 2015, establishes within the strategic line 2 "*Administrative and Financiamiento*", within the Institutional Objective 2 "*To promote public-private investment in DRR, through its mainstreaming in state agencies and entities, private sector actors and academia*" as a program "*To promote the gradual inclusion of DRR in the budget formulation rules of each fiscal year of public and private institutions*".

Code RR-2-3

Closed-ended question	
3. <i>In the last fiscal year, were resources allocated to the ministry of health to carry out disaster risk reduction activities that can be verified through budget classification instruments?</i>	
Indicator Overview	
<p>Empirical evidence shows that for every dollar invested in risk reduction, four dollars can be saved in response. There are even risk reduction actions that present more favorable benefit/cost ratios. Therefore, it is considered good practice for each sector to allocate resources from its budget to disaster risk reduction activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget label or its equivalent, which allows for the identification of the allocation of public resources to disaster risk reduction in the health sector during the last fiscal year or period. Although the ideal situation is that the allocation of resources can be verified through some of the above elements, what is relevant is that the health sector can demonstrate that it allocates resources from its budget for risk reduction activities within the scope of its sector competencies.</p> <p>It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector. Likewise, health risk reduction actions should not be confused if it is not specified that they are linked to natural hazards.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Check whether there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster risk reduction or DRM actions that may have been used to allocate resources in the sector budget. 2. Review the current year budget of the Ministry of Health and all its assigned entities to identify if there are resources allocated to carry out disaster risk reduction activities. 3. Identify whether the Ministry of Health (or equivalent entity) or its attached entities have ongoing programs or projects that consider disaster risk reduction actions, and inquire whether they are financed with public resources. 4. If necessary, meet with representatives of the health sector (or equivalent entity), specifically with the areas responsible for the budget issue, disaster risk management area or climate change adaptation if it exists, in order to inquire about the allocation of resources for disaster risk reduction. 5. If it is necessary to consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, such information can be used to verify the allocation of resources via the sector budget.

RR-1B-9	The existence of health sector regulations that define the responsibility for carrying out disaster risk reduction could be an indication that the sector is allocating resources for this purpose.
RI-2-5	Evidence of resource allocation for disaster risk analysis activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For the fulfillment of this indicator, there must be evidence of resource allocation in the last fiscal year or period to the Ministry of Health (or equivalent entity) or one of its assigned entities to carry out disaster risk reduction activities through budget resources.</p> <p>The justification should detail the disaster risk reduction activities considered in the budget and, if they exist, should include details on the existence of the budget instrument, object of expenditure, catalog or budget tagger used.</p> <p>This indicator will not be validated by allocating international cooperation or other resources to public resources for risk reduction projects, programs or actions implemented by the health sector.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the iGOPP Application Protocol. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Colombia 2013. Annex to the Decree "by which the General Budget of the Nation for the fiscal year 2012 is liquidated, appropriations are detailed and expenses are classified and defined" (RR-2-3a). Through budget item 410 306 1 resources were assigned for "the study and elaboration of a structural seismic vulnerability program in hospital institutions at a national level".</p>	
Examples of non-compliance in countries of the region	
<p>Ecuador 2016. In the transparency report of July 2016 of the Ministry of Public Health there is a report of the Government by Results: "Committed Annual Plan 2016" that on page 43 contains the objectives of indicators of the National Direction of Risk Management without budgetary allocation for that fiscal period; in the section of projects it is mentioned that the Contingency Project to prevent the effects of the El Niño Phenomenon and the possible eruption of the Cotopaxi volcano for an amount of 11.2 million dollars is at the level of preliminary project. Therefore, there is no allocation of resources to carry out disaster risk reduction activities that can be verified through budget classification instruments. It is worth mentioning that the Institutional Strategic Plan, Annual Operational Plan May 2016, Investment Plan of the Ministry of Public Health, which is part of the 2016 pro-forma expenditure of the General State Budget, states that the strategic objective of the "Contingency Project to prevent the effects of the El Niño Phenomenon and the possible eruption of the Cotopaxi volcano" is "To guarantee the provision of health and hygiene services to the general population, prioritizing the attention of the affected population in the face of the occurrence of adverse events, in coordination with the deconcentrated levels, through the risk analysis of the health facilities, exposed to the threat of floods and landslides". In other words, the objective of the Project does not include disaster risk reduction activities. In the interview held with the Ministry of Health, they state that in 2016 they have received resources within the framework of the April 2016 earthquake emergency and that they are not reflected because they are entering through a different line of investment.</p>	

Code RR-2-4

Closed-ended question	
4. <i>In the last fiscal period, were resources allocated to the Ministry of Housing to carry out disaster risk reduction activities that can be verified through budget classification instruments?</i>	
Indicator Overview	
<p>Empirical evidence shows that for every dollar invested in risk reduction, four dollars can be saved in response. There are even risk reduction actions that present more favorable benefit/cost ratios. Therefore, it is considered good practice for each sector to allocate resources from its budget to disaster risk reduction activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget label or its equivalent, that allows for the identification of the allocation of public resources to disaster risk reduction in the housing sector during the last fiscal year or period. Although the ideal situation of compliance is that the allocation of resources can be verified through some of the previous elements, however, what is relevant is that it can be evidenced that the housing sector allocates resources from its budget for risk reduction activities within the scope of its sectoral competencies.</p> <p>It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Check whether there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster risk reduction or DRM actions that may have been used to allocate resources in the sector budget. 2. Review the current year budget of the ministry of housing and all its attached entities to identify if there are resources allocated to carry out disaster risk reduction activities. 3. Identify whether the ministry of housing (or equivalent entity) or its affiliated entities have ongoing programs or projects that consider disaster risk reduction actions, and inquire whether they are financed with public resources. 4. If necessary, meet with representatives of the housing sector (or equivalent entity), specifically with the areas responsible for the budget issue, disaster risk management area or climate change adaptation if it exists, in order to inquire about the allocation of resources for disaster risk reduction. 5. If it is necessary to consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, such information can be used to verify the allocation of resources via the sector budget.

RR-1B-10	The existence of regulations in the housing sector that define the responsibility for carrying out disaster risk reduction could be an indication that the sector is allocating resources for this purpose.
IR-2-6	Evidence of resource allocation for disaster risk analysis activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For the fulfillment of this indicator, there must be evidence of resource allocation in the last fiscal year or fiscal period to the Ministry of Housing (or equivalent entity) or one of its assigned entities to carry out disaster risk reduction activities through budget resources.</p> <p>The justification should detail the disaster risk reduction activities considered in the budget and, if they exist, should include details on the existence of the budget instrument, object of expenditure, catalog or budget tagger used.</p> <p>This indicator will not be validated by allocating international cooperation or other resources to public resources for risk reduction projects, programs or actions implemented by the housing sector.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>El Salvador 2016. Among the investment projects to be developed by the Public Works, Transportation, Housing and Urban Development Branch in 2016 is the "Project: 5939 - Program to reduce vulnerability in precarious urban settlements in the San Salvador Metropolitan Area - AMMS" (RR-2-4a). The description of this project stipulates that "Component 1: Investments in infrastructure to reduce water risk in the AMMS. To reduce vulnerability to flooding and landslides in the SSMA UPAs, structural solutions are required, within the framework of a SSMA development plan. This component will finance the preparation of a master plan for drainage management in the SSMC, the construction of a set of lamination ponds for the purpose of cushioning peak flows by temporarily storing water in the event of extraordinary rainfall, and the repair of canalization vaults. Component 2: Implementation of risk mitigation works and integral improvement of UPAs in AMSS. It will focus on at least 8 UPAs, within the 29 identified as vulnerable. It is expected to serve approximately 2,200 families. Investments will be made in risk mitigation, basic urban infrastructure (health infrastructure, electricity, storm drainage infrastructure, road accessibility, pedestrian network, community and health centers and green spaces) and strengthening of basic social infrastructure". Consequently, the objective of the project is "The objective of this program is to reduce vulnerability and improve the living conditions of beneficiary families exposed to risks of flooding and landslides in the SSMC. The project will combine interventions for neighborhood improvement, extension of access to social services, local risk mitigation, and structural solutions for water management".</p>	
Examples of non-compliance in countries of the region	

Brazil 2017. In accordance with the provisions of Law No. 10,683 of May 28, 2003, published in D.O.U. of 29.5.2003, the Ministry of Cities is responsible, among other things, for: "*sectorial policies for housing, environmental sanitation, urban transport and traffic*". In the PPA 2016-2019 Program, published in the Official Federal Gazette - Supplement, No. 9, Thursday, January 14, 2016, there was no evidence of allocation of resources to carry out disaster risk reduction activities in the Ministry of Cities.

Code RR-2-5

Closed-ended question	
5. In the last fiscal year, were resources allocated to the ministry of education to carry out disaster risk reduction activities that can be verified through budget classification instruments?	
Indicator Overview	
<p>Empirical evidence shows that for every dollar invested in risk reduction, four dollars can be saved in response. There are even risk reduction actions that present more favorable benefit/cost ratios. Therefore, it is considered good practice for each sector to allocate resources from its budget to disaster risk reduction activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget label or its equivalent, which allows for the identification of the allocation of public resources to disaster risk reduction in the education sector during the last fiscal year or period. Although the ideal situation is that the allocation of resources can be verified through some of the above elements, what is relevant, however, is that the education sector allocates resources from its budget for risk reduction activities within the scope of its sectoral competencies.</p> <p>It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Check whether there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster risk reduction or DRM actions that may have been used to allocate resources in the sector budget. 2. Review the current year budget of the ministry of education (or equivalent) and all its attached entities to identify whether there are resources allocated for disaster risk reduction activities. 3. Identify whether the ministry of education (or equivalent entity) or its affiliated entities have any ongoing programs or projects that consider disaster risk reduction actions, and inquire whether they are funded by public resources. 4. If necessary, meet with representatives of the education sector (or equivalent entity), specifically with the areas responsible for the budget issue, disaster risk management area or climate change adaptation if it exists, in order to inquire about the allocation of resources for disaster risk reduction. 5. If it is necessary to consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, such information can be used to verify the allocation of resources via the sector budget.

RR-1B-11	The existence of education sector regulations that define the responsibility for carrying out disaster risk reduction could be an indication that the sector is allocating resources for this purpose.
RI-2-7	Evidence of resource allocation for disaster risk analysis activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For the fulfillment of this indicator, there must be evidence of resource allocation in the last fiscal year or fiscal period to the Ministry of Education (or equivalent entity) or one of its assigned entities to carry out disaster risk reduction activities through budget resources.</p> <p>The justification should detail the disaster risk reduction activities considered in the budget and, if they exist, should include details on the existence of the budget instrument, object of expenditure, catalog or budget tagger used.</p> <p>This indicator will not be validated with the allocation of international cooperation resources or other resources other than public resources for risk reduction projects, programs or actions implemented by the education sector.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Ecuador 2016. In the Annual Investment Plan 2016 (RR-2-5a) which is part of the Proforma Budget 2016, it is stated as a project of the Ministry of Education <i>"Risk Reduction in the face of natural disasters in the educational community of Ecuador"</i> with an allocation of US\$326,000. The aforementioned project (RR-2-5b) approved by the National Planning Secretariat and developed to be executed from July 2012 to December 2016 with CUP code No 91400000.0000.372755 for a total amount of US\$ 48 million, mentions on page 4 as a description of the activities of component 1 on strengthening the capacities of the actors, <i>the following: "Component 1 seeks to strengthen the capacities of all actors in the educational community (teachers, students, administrators, parents) and their resilience in the face of natural hazards. The aim is to ensure that the educational community is able to reduce risks, manage emergencies and recover well and quickly from a disaster. The main actions that are planned are: a) training; b) institutionalization of risk reduction practices in educational institutions and circuits (organization, planning, monitoring and evaluation); and, c) minimum equipment to carry out the first response in emergency situations"</i>.</p>	
Examples of non-compliance in countries of the region	
<p>Guyana 2013. No evidence about allocation of resources to the Ministry of Education to perform disaster risk reduction activities was found at: (i) <i>"Estimates of the Public Sector, Current and Capital Revenue Expenditures for the year 2017, as presented to the National Assembly, Volume 1"</i>; (ii) <i>"Estimates of the Public Sector, Current and Capital Revenue Expenditures for the year 2017, as presented to the National Assembly, Volume 2, Medium Term Macroeconomic Framework, Revenue & Expenditure & Programme Performance Statements"</i>; (iii) <i>"Estimates of the Public Sector, Central Government Development Programme, Capital Project Profiles for the year 2017, as presented to the National Assembly, Volume 3"</i>.</p>	

Code RR-2-6

Closed-ended question	
6. <i>In the last fiscal year, were resources allocated to the Ministry of Tourism to carry out disaster risk reduction activities that can be verified through budget classification instruments?</i>	
Indicator Overview	
<p>Empirical evidence shows that for every dollar invested in risk reduction, four dollars can be saved in response. There are even risk reduction actions that present more favorable benefit/cost ratios. Therefore, it is considered good practice for each sector to allocate resources from its budget to disaster risk reduction activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget label or its equivalent, that allows for the identification of the allocation of public resources to disaster risk reduction in the tourism sector during the last fiscal year or period. Although the ideal situation of compliance is that the allocation of resources can be verified through some of the previous elements, however, what is relevant is that it can be evidenced that the tourism sector allocates resources from its budget for risk reduction activities within the scope of its sector competences.</p> <p>It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Check whether there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster risk reduction or DRM actions that may have been used to allocate resources in the sector budget. 2. Review the current year's budget of the ministry of tourism (or equivalent entity) and all its attached entities to identify whether there are resources allocated for disaster risk reduction activities. 3. Identify whether the ministry of tourism (or equivalent) or its attached entities have any ongoing programs or projects that consider disaster risk reduction actions, and inquire whether they are financed by public resources. 4. If necessary, meet with representatives of the tourism sector (or equivalent entity), specifically with the areas responsible for the budget issue, disaster risk management area or climate change adaptation if it exists, in order to inquire about the allocation of resources for disaster risk reduction. 5. If it is necessary to consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, such information can be used to verify the allocation of resources via the sector budget.

RR-1B-7	The existence of tourism sector regulations defining responsibility for carrying out disaster risk reduction could be an indication that the sector is allocating resources for this purpose.
IR-2-12	Evidence of resource allocation for disaster risk analysis activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, there must be evidence of resource allocation in the last fiscal year or period to the Ministry of Tourism (or equivalent entity) or one of its attached entities to carry out disaster risk reduction activities through budget resources.</p> <p>The justification should detail the disaster risk reduction activities considered in the budget and, if they exist, should include details on the existence of the budget instrument, object of expenditure, catalog or budget tagger used.</p> <p>This indicator will not be validated with the allocation of international cooperation resources or other different resources to public resources for projects, programs or risk reduction actions implemented by the tourism sector.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Jamaica 2013. In the 2013-2014 Budget for the Ministry of Tourism and Entertainment there are resources for: <i>"Enhancing the Resilience of the Agricultural Sector and Coastal Areas, implemented by the Office of Disaster Preparedness and Emergency Management. The purpose is: To protect livelihoods and food security in vulnerable communities by improving land and water management for the agricultural sector, <u>strengthening coastal protection</u> and building institutional and local capacity for climate change adaptation".</i> This project also involved the agricultural and environmental sectors.</p>	
Examples of non-compliance in countries of the region	

Venezuela 2015. The Law on Integral Management of Socio-Natural and Technological Risks, published in the Official Gazette No. 39,095 of January 9, 2009, in its Article 45 establishes that *"All State organs and entities must include in their budgetary provision resources for the formulation and execution of projects and activities aimed at complying with the national policy of integral management of socio-natural and technological risks, in accordance with the provisions of this Law.* In accordance with the consultation made to the *"Summary of the General Distribution of the Budgetary Law of Expenditures for the 2015 Fiscal Year"*, the *"National Annual Operating Plan, Fiscal Year 2014"* and the four titles of the *"Budgetary Law for the 2015 Fiscal Year"*, published in the Extraordinary Official Gazette No. 6,161, of Wednesday, December 10, 2014, no evidence was found of the allocation of resources for activities to reduce the risk of disasters for the Ministry of the Popular Power for Tourism. Neither evidence was found in the *"Memoria y Cuenta 2014 del Ministerio del Poder Popular para el Turismo."*

Code RR-2-7

Closed-ended question	
7. In the last fiscal year, were resources allocated to the ministry of transport to carry out disaster risk reduction activities that can be verified through budget classification instruments?	
Indicator Overview	
<p>Empirical evidence shows that for every dollar invested in risk reduction, four dollars can be saved in response. There are even risk reduction actions that present more favorable benefit/cost ratios. Therefore, it is considered good practice for each sector to allocate resources from its budget to disaster risk reduction activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.</p> <p>This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget labeling or its equivalent, that allows for the identification of the allocation of public resources to disaster risk reduction in the transport sector, understood as road works, during the last fiscal year or period. Although the ideal situation of compliance is that the allocation of resources can be verified through some of the previous elements, what is relevant is that it can be evidenced that the transport sector allocates resources from its budget for risk reduction activities within the scope of its sector competences.</p> <p>It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Check whether there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster risk reduction or DRM actions that may have been used to allocate resources in the sector budget. 2. Review the current year budget of the ministry of transport (or equivalent entity) and all its attached entities to identify whether there are resources allocated to carry out disaster risk reduction activities. 3. Identify whether the ministry of transport (or equivalent entity) or its attached entities have ongoing programs or projects that consider disaster risk reduction actions, and inquire whether they are financed with public resources. 4. If necessary, meet with representatives of the transport sector (or equivalent entity), specifically with the areas responsible for the budget issue, disaster risk management area or climate change adaptation if it exists, in order to inquire about the allocation of resources for disaster risk reduction. 5. If it is necessary to consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, such information can be used to verify the allocation of resources via the sector budget.

RR-1B-13	The existence of transport sector regulations defining responsibility for carrying out disaster risk reduction could be an indication that the sector is allocating resources for this purpose.
RI-2-9	Evidence of resource allocation for disaster risk analysis activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For the fulfillment of this indicator, there must be evidence of resource allocation in the last fiscal year or period to the Ministry of Transport (understood as the manager of road works or equivalent entity) or to one of its assigned entities to carry out disaster risk reduction activities through budget resources.</p> <p>The justification should detail the disaster risk reduction activities considered in the budget and, if they exist, should include details on the existence of the budget instrument, object of expenditure, catalog or budget tagger used.</p> <p>This indicator will not be validated with the allocation of international cooperation or other resources other than public resources for projects, programs or risk reduction actions implemented by the transport sector.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>El Salvador 2016. Among the investment projects to be developed by the Public Works, Transportation, Housing and Urban Development Branch in 2016 is the "Project: 5576 - Construction of Complementary Mitigation Works in the Zone of the Bridge over the Boulevard del Ejercito and Rio Acelhuate, Municipality and Department of San Salvador" (RR-2-7a). The general objective of this Project consists in the "Mitigation of risks through the construction of protection and repair works of the existing works for the protection of the road infrastructure and the adjacent industrial zone, at the same time preventing losses of human lives and materials".</p>	
Examples of non-compliance in countries of the region	
<p>Ecuador 2016. The Government of Ecuador signed in April 2016 the Loan Agreement with the World Bank 8591-EC "Risk Mitigation and Emergency Recovery Project". According to the description of the objectives of the Loan Agreement, the project includes as a component "The provision of support to disaster preparedness and risk mitigation measures in the transportation sector, through the implementation of activities aimed at mitigating the risk of damage to the Borrower's road network in critical areas by reducing its vulnerability and improving its resilience to the climate against the potential effects of El Niño and its robustness against the potential effects of the Cotopaxi volcano, including: (i) protection and stabilization of works on selected sections of the Borrower's road network; (ii) emergency maintenance works on selected sections of the Borrower's road network and on selected bridges; (iii) emergency maintenance works on machinery and equipment; and (iv) procurement of components for Bailey bridges, as well as the provision of services for the overhaul of Bailey bridges". Notwithstanding, the MOPT stated that such resources are not yet reflected in its Institutional Strategic Plan, Annual Operating Plan, Investment Plan of the Ministry of Transportation and Public Works.</p>	

Code RR-2-8**Closed-ended question**

8. In the last fiscal period, were resources allocated to the national entity responsible for water and sanitation to carry out disaster risk reduction activities that can be verified through budget classification instruments?

Indicator Overview

Empirical evidence shows that for every dollar invested in risk reduction, four dollars can be saved in response. There are even risk reduction actions that present more favorable benefit/cost ratios. Therefore, it is considered good practice for each sector to allocate resources from its budget to disaster risk reduction activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.

This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget labeling or its equivalent, that allows for the identification of the allocation of public resources to disaster risk reduction in the water and sanitation sector during the last fiscal year or period. Although the ideal situation for compliance is that the allocation of resources can be verified through some of the above elements, what is relevant is that the water and sanitation sector allocates resources from its budget for risk reduction activities within the scope of its sector competencies.

In the water and sanitation sector there are a number of institutions that play the roles of steering, regulation and service delivery. This indicator looks at the resources allocated to the entities in charge of guiding or regulating services. Usually the steering role is performed by a ministry (health, public works, environment, etc.) or inter-ministerial council, and the sector is regulated by an autonomous public institution or by the ministry or sector that performs the steering role.

It is important to avoid confusing the entity responsible for water and sanitation services with the institution responsible for integrated water resource management, which may coincide in some countries.

It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.

Steps to follow to obtain the required information

<ol style="list-style-type: none"> 7. Check if there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for risk reduction or DRM actions that may have been used to allocate resources in the sector budget. 8. Identify the national entity responsible for water and sanitation, which is usually the lead, or in some cases the regulator, of the sector. 9. Review the current year's budget of the institutions identified as responsible for the water and sanitation sector in order to identify whether there are resources allocated for disaster risk reduction actions. 10. Identify whether the national entity responsible for water and sanitation has any ongoing programs or projects that consider disaster risk reduction actions, and inquire whether they are financed with public resources. 11. If necessary, consult on the allocation of resources for risk reduction with representatives of the institutions identified as responsible for the water and sanitation sector, specifically with the areas responsible for the budget issue or disaster risk management or climate change adaptation area, if such an area exists. 12. If it is necessary to consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, such information can be used to verify the allocation of resources via the sector budget.
RR-1B-14	The existence of regulations in the water and sanitation sector that define the responsibility for carrying out disaster risk reduction could be an indication that the sector is allocating resources for this purpose.
RI-2-10	Evidence of resource allocation for disaster risk analysis activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, there must be evidence of resource allocation in the last fiscal year or period to the national entity responsible for water and sanitation (governing or regulating body) to carry out disaster risk reduction activities through budget resources.</p> <p>The justification should detail the disaster risk reduction activities considered in the budget and, if they exist, should include details on the existence of the budget instrument, object of expenditure, catalog or budget tagger used.</p> <p>This indicator will not be validated by allocating international cooperation or other resources to public resources for risk reduction projects, programs or actions implemented by the water and sanitation sector. Nor will it be possible to validate the indicator by demonstrating the budgetary allocation for risk reduction by an institution providing water and sanitation services.</p> <p>Objective evidence of resource allocation in the last fiscal year or term to the national entity responsible for water and sanitation (or equivalent entity), which may be the sector's governing or regulating body, for the purpose of carrying out RR activities within its competence, verifiable and traceable through budget resources, which could include a budget instrument/expenditure item/catalogue/budget tagger or its equivalent for DRM.</p>	

Disaster risk projects, programs or actions implemented by the national entity responsible for water and sanitation (or equivalent entity), which may be the sector's governing or regulatory body, with international cooperation resources other than public resources, cannot be used as verifiable.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Trinidad y Tobago 2018. The Ministry of Public Utilities confirmed to the iGOPP team that they are in charge of the water and sewerage sector. The *"Draft Estimates of Development Programme for the Financial year 2017"* (RR-2-8), included in Head 39, which corresponds to the Ministry of Public Utilities *"049 - Development of a water supply drought management plan"*.

Examples of non-compliance in countries of the region

Barbados 2018. Barbados Estimates 2016-2017 includes resources for Ministry of Agriculture, Food, Fisheries and Water Resource Management, head 72, which includes Programme *"0542 Barbados Water Authority"*, whose Programme Statement is *"This subprogramme aids with the Barbados Water Authority's capital projects"*. The mentioned Programme does not evidence assignation of resources to perform disaster risk reduction activities. Additionally, at January 2017, no information was found in the list of projects in execution published in the web page of the Public Investment Unit (<http://www.piu.gov.bb/pages/Projects.aspx>).

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

9. *In the last fiscal period, were resources allocated to the national entity responsible for telecommunications to carry out disaster risk reduction activities that can be verified through budget classification instruments?*

Indicator Overview

Empirical evidence shows that for every dollar invested in risk reduction, four dollars can be saved in response. There are even risk reduction actions that present more favorable benefit/cost ratios. Therefore, it is considered good practice for each sector to allocate resources from its budget to disaster risk reduction activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.

This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget label or its equivalent, that allows for the identification of the allocation of public resources to disaster risk reduction in the telecommunications sector (understood as that which includes at least telephone services) during the last fiscal year or period. Although the ideal situation for compliance is that the allocation of resources can be verified through some of the above elements, what is relevant is that the telecommunications sector can be shown to have allocated resources from its budget for risk reduction activities within the scope of its sectoral competencies.

In the telecommunications sector (understood to include at least telephone services), a series of institutions coexist that perform the roles of steering, regulation (superintendency) and service provision. This indicator looks at the resources allocated to the entities responsible for governing or regulating services. Usually the steering role is performed by a ministry or inter-ministerial council, and the sector is regulated by an autonomous public institution or one that depends on the ministry or sector that performs the steering role.

It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.

Steps to follow to obtain the required information

<ol style="list-style-type: none"> 1. Check if there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for risk reduction or DRM actions that may have been used to allocate resources in the sector budget. 2. Identify the national entity responsible for telecommunications, which may be the governing or regulatory body for the sector. 3. Review the current year's budget of the institutions identified as responsible for the telecommunications sector in order to identify whether there are resources allocated to carry out disaster risk analysis actions. 4. Identify whether the national entity responsible for telecommunications has any ongoing programs or projects that consider disaster risk reduction actions, and inquire whether they are financed with public resources. 5. If necessary, consult on the allocation of resources for disaster risk reduction with representatives of the institutions identified as responsible for telecommunications, specifically with the areas responsible for budgeting, disaster risk management or climate change adaptation if any, in order to inquire about the allocation of resources for disaster risk reduction. 6. If necessary, consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget. 	
Link to other indicators	
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, such information can be used to verify the allocation of resources via the sector budget.
RR-1B-15	The existence of telecommunications sector regulations defining responsibility for carrying out disaster risk reduction could be an indication that the sector is allocating resources for this purpose.
RI-2-1	Evidence of resource allocation for disaster risk analysis activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, there must be evidence of resource allocation in the last fiscal year or period to the national entity responsible for telecommunications (governing or regulating) to carry out disaster risk reduction activities through budget resources.</p> <p>The justification should detail the disaster risk reduction activities considered in the budget and, if they exist, should include details on the existence of the budget instrument, object of expenditure, catalog or budget tagger used.</p> <p>This indicator will not be validated by allocating international cooperation or other resources to public resources for risk reduction projects, programs or actions implemented by the telecommunications sector. Nor will it be possible to fulfill the indicator by demonstrating the budgetary allocation for risk reduction by an institution providing telephone services.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	

Examples of compliance in countries of the region

Nicaragua 2016. In the last fiscal period, resources were assigned to the Ministry of Transportation to carry out disaster risk reduction activities that can be verified through budget classification instruments in the General Budget of the Republic of 2015, approved by the National Assembly in December 2014, which assigned resources to the Ministry of Transportation and Infrastructure for a total of C\$1,823,651 (One million, eight hundred twenty-three thousand, six hundred fifty-one cordobas) for the construction of road infrastructure for the reduction of vulnerability to climate change on the Chinandega - Guasaule route. These funds come from two sources of financing: Treasury revenues (C\$303,942) and External Loans, Inter-American Development Bank -IDB (C\$1,519,709). The Support Program for the Transportation Sector III (NI-L1071, loan agreement with the IDB), has a total amount of US\$ thousands 30,633.59 of which the IDB contributes US\$ 29,887.9 and the Government of Nicaragua a total of US\$ 745.6. Of these, funds are destined for Component 4. Reduction of the vulnerability of the road network to climate change, so that the MTI has works to reduce vulnerability in the section of the Chinandega-Guasaule Pacific Corridor at critical access points to the border with Honduras.

Examples of non-compliance in countries of the region

Barbados 2018. Barbados Estimates 2016-2017 includes resources for Prime Minister's Office, Head 13, for Programme "490 Telecommunications", whose programme Statement is "*To perform deregulatory and licensing functions in accordance with the Telecommunications Act Cap. 282B*" for Subprogramme "0492 Telecommunications Unit", whose Programme Statement is "*To facilitate a competitive fully liberalised telecommunications sector, while achieving Government's vision of making Barbados a centre of telecommunications in the Caribbean*". The mentioned Subprogramme does not evidence assignation of resources disaster risk reduction activities. Additionally, at January 2017, not information was found in the list of projects in execution published in the web page of the Public Investment Unit (<http://www.piu.gov.bb/pages/Projects.aspx>).

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

10 In the last fiscal period, were resources allocated to the national energy entity to carry out disaster risk reduction activities that can be verified through budget classification instruments?

Indicator Overview

Empirical evidence shows that for every dollar invested in risk reduction, four dollars can be saved in response. There are even risk reduction actions that present more favorable benefit/cost ratios. Therefore, it is considered good practice for each sector to allocate resources from its budget to disaster risk reduction activities within the scope of its competence. It is also essential that such resource allocation be traceable in the budget, as is the case with other public policies. Without resource traceability it is difficult to analyze the effectiveness of a public policy, determine whether the budget allocation being made is sufficient in comparison to the dimension of the problem, and whether it is duly prioritized in the government's agenda from a budgetary perspective.

This indicator gives importance to the existence of a budgetary instrument, object of expenditure, catalog, budget label or its equivalent, which allows for the identification of the allocation of public resources to disaster risk reduction in the energy sector (understood as electrical energy) during the last fiscal year or period. Although the ideal situation of compliance is that the allocation of resources can be verified through some of the previous elements, what is relevant is that it can be evidenced that the energy sector allocates resources from its budget for risk reduction activities within the scope of its sector competences.

In the energy sector (understood as electrical energy) a series of institutions coexist, which perform the roles of steering, regulation (superintendency), generation, transmission and service provision. This indicator looks into the resources assigned to the entities in charge of guiding or regulating electrical services. Usually the steering role is performed by a ministry, national commission or inter-ministerial council, and the regulation of services is carried out by an autonomous public institution or one that depends on the ministry or sector that performs the steering role.

It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.

Steps to follow to obtain the required information

1. Check if there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for risk reduction or DRM actions that may have been used to allocate resources in the sector budget.
2. Identify the national entity responsible for electrical energy, which is generally the entity that exercises the steering role, or in some cases the regulation, of the sector.
3. Review the current year's budget of the institutions identified as responsible for the energy sector in order to identify whether there are resources allocated for disaster risk reduction actions.
4. Identify whether the national energy entity has any ongoing programs or projects that consider disaster risk reduction actions, and inquire whether they are financed with public resources.

<p>5. If necessary, consult on the allocation of resources for disaster risk reduction with representatives of the institutions identified as responsible for energy (steering or regulation of the sector), specifically with the areas responsible for budgeting, disaster risk management or climate change adaptation if any, in order to inquire about the allocation of resources for disaster risk reduction.</p> <p>6. If necessary, consult with the tax, economic or financial authorities, specifically with the areas responsible for the budget.</p>	
Link to other indicators	
GF-2-3	If the country has an expenditure object or budget classifier to allocate resources to ex-ante disaster risk management activities, such information can be used to verify the allocation of resources via the sector budget.
RR-1B-16	Whether the existence of energy sector regulations defining responsibility for carrying out disaster risk reduction could be an indication that the sector is allocating resources for this purpose.
RI-2-12	Evidence of resource allocation for disaster risk analysis activities in the sector could facilitate the search for information to verify this indicator. Sometimes the allocation of resources for risk reduction activities is matched by funding for risk studies that support such activities.
Description of the minimum situation required to consider the indicator met	
<p>For the fulfillment of this indicator, there must be evidence of resource allocation in the last fiscal year or period to the national energy entity (governing or regulating body) to carry out disaster risk reduction activities through budget resources.</p> <p>The justification should detail the disaster risk reduction activities considered in the budget and, if they exist, should include details on the existence of the budget instrument, object of expenditure, catalog or budget tagger used.</p> <p>This indicator will not be validated with the allocation of international cooperation resources or other different public resources for projects, programs or risk reduction actions implemented by the energy sector. Neither will it be possible to verify this condition with the budgetary allocation for risk reduction by an institution providing electricity services.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Belize 2017. "Approved Estimates of Revenue and Expenditure for Fiscal Year 2016/2017" (RR-2-10a), as Presented to the House of Representative on March 23th, 2016 and by the Senate on March 29th, 2016, includes under "18 Ministry of Finance, Public Service, Public Utilities and Energy" the Programme "1911 Energy Resilience for Climate Adaptation Project (ERCAP)".</p>	

Examples of non-compliance in countries of the region

Ecuador 2016. No evidence was found of resource allocation for disaster risk reduction activities in the Institutional Strategic Plan, Annual Operational Plan May 2016 (which is part of the 2016 pro-forma expenditure of the General State Budget) of (i) the Electricity Regulation and Control Agency; (ii) the Ministry of Electricity and Renewable Energy. It is worth mentioning that according to Article 14 of the Organic Law of the Public Electricity Service, published in the Third Supplement to Official Gazette No. 418 on January 16, 2015 "*The Agency for Regulation and Control of Electricity ARCONEL is the technical-administrative agency in charge of exercising the State's power to regulate and control the activities related to the public electricity service and the general public lighting service, protecting the interests of the consumer or end user*". On the other hand, according to Article 11 of the same Law, the Ministry of Electricity and Renewable Energy (MEER) (for its acronym in Spanish) "*is the governing and planning body of the electricity sector. It is in charge of defining and applying the policies; assessing that the regulation and control are complied to structure an efficient public electric energy service; identifying and following up on the execution of projects; granting enabling titles; assessing the management of the electric sector; promoting and executing renewable energy plans and programmes; the mechanisms to achieve energy efficiency, in accordance with the provisions of the Constitution and the law*".

Code RR-2-11

Closed-ended question	
11. <i>Has the water and sanitation utility 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?</i>	
Indicator Overview	
<p>Public service providers must ensure the provision of their services continuously and with quality for all users, even in situations of natural disaster. In the event that a disaster partially or totally affects their operation, the prompt restoration of those services is considered essential.</p> <p>Disaster Risk Management (DRM) is a cross-cutting public policy, involving all entities of the national, central or federal public administration, the different levels of government and the private and social sectors. This includes in its entirety the companies that provide public services, whether they are public, private or subject to concession to a private individual.</p> <p>In this context, disaster risk reduction for public service providers is essential to reduce the vulnerabilities of these services and thus mitigate damage to infrastructure and avoid the interruption of these services during an emergency or disaster. Thus, this indicator considers it relevant that the water and sanitation service provider with the largest portfolio of users in the country has carried out disaster risk reduction activities for its services on at least one occasion during the last five years.</p> <p>The company that provides water and sanitation services with the largest portfolio of users in the country usually corresponds to a company that provides services at the national level, or to the company that provides water and sanitation services to the city with the largest population in the country. In both cases, the company may be public or it may be a private sector concession.</p> <p>It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> Identify the company providing the public water and sanitation service with the largest portfolio of users in the country. This identification can be done by reviewing reports on the sector, the sector's regulatory body, or the national association of water and sanitation companies, among others. Expert opinion can also be sought. Review the information published by that company during the last 5 years, related to the company's management, audit reports, risk rating reports, sustainability reports or annual reports. If necessary, consult directly with company representatives about whether they have conducted disaster risk reduction activities of their services over the past 5 years. Contact the water and sanitation sector's governing or regulatory body to inquire about compliance with the indicator. 	
Link to other indicators	
RI-2-13 DP-2-13	<p>These indicators refer to the same company that provides water and sanitation services. In addition, evidence of disaster preparedness and/or disaster risk identification in the water and sanitation service could be linked to risk reduction actions.</p>

Description of the minimum situation required to consider the indicator met
<p>In order to comply with this indicator, there must be official documentary evidence from the company that provides the public water and sanitation service with the largest portfolio of users in the country, stating that at least one disaster risk reduction action has been carried out in its services during the last five years. It is worth mentioning that such action may have been carried out with own- or third-party resources.</p> <p>The justification should mention the name of the company, as well as the scope of the disaster risk reduction actions carried out in its infrastructure, either integrally or in some of its components.</p> <p>Acceptable verifiable are the company's own disaster risk reduction reports, information published on the company's website, company management reports, annual reports, sustainability reports, audit reports, risk assessor reports or similar official documentation.</p>
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>
Examples of compliance in countries of the region
<p>El Salvador 2016. Among the investment projects to be developed by the National Administration of Aqueducts and Sewerage in 2016 are (i) the "Project: 4583 - Improvement of the drinking water system, through the construction of a 1000 m3 storage tank and the installation of a distribution ring in the municipality of Texistepeque" (RR-2-11a) The description of this Project stipulates that "Protection areas should be considered, carrying out periodic mitigation activities to avoid dragging that could in time make it vulnerable, weakening the area"; (ii) the "Project: 5875 - Repair and Reduction of Vulnerabilities in the Passage Works of the Northern Zone and Lempa River System Gullies, Municipality of San Salvador, San Salvador" (RR-2-11b), whose objective is "To reduce the risk of landslides and undermining of structures, through the construction of mitigation works in the Northern Zone System Gullies, to guarantee the durability of the passage works".</p>
Examples of non-compliance in countries of the region
<p>Guatemala 2013. The Municipal Water Company -EMPAGUA- (for its acronym in Spanish) in coordination with the Executive Secretariat of the National Coordinator for Disaster Reduction -SE-CONRED- (for its acronym in Spanish) carried out an evaluation of the Ground Penetration Radar -GPR- in order to verify the conditions of the drainage network in the 7th. Avenue and 1st Street in zone 1, San Sebastian neighborhood, Guatemala City. However, it could not be corroborated that this evaluation was followed by disaster risk reduction actions.</p>

Code RR-2-12

Closed-ended question	
12. <i>Has the power generation, transmission and distribution company with the highest turnover in the country implemented at least one project or program that includes disaster risk reduction activities in its infrastructure in the last 5 years?</i>	
Indicator Overview	
<p>Public service providers must ensure the provision of their services continuously and with quality for all users, even in situations of natural disaster. In the event that a disaster partially or totally affects their operation, the prompt restoration of those services is considered essential.</p> <p>Disaster Risk Management (DRM) is a cross-cutting public policy, involving all entities of the national, central or federal public administration, the different levels of government and the private and social sectors. This includes in its entirety the companies that provide public services, whether they are public, private or subject to concession to a private individual.</p> <p>In this context, disaster risk reduction for public service providers is essential to reduce the vulnerabilities of these services and thus mitigate damage to infrastructure and avoid interruption of these services during an emergency or disaster. Thus, this indicator considers it relevant that the electricity generation, transmission and distribution companies with the highest bills in the country have carried out disaster risk reduction activities for their services on at least one occasion during the last five years.</p> <p>The generation, transmission and distribution of energy can be grouped in one or in several companies.</p> <p>It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the power generation, transmission and distribution companies with the highest turnover in the country. This identification can be done by reviewing reports on the sector or the energy regulator, among others. It can also be done at the expert's discretion. 2. To review the information published by these companies during the last 5 years, related to the management of the company, audit reports, reports of risk qualifiers, sustainability reports or annual reports. 3. If necessary, consult directly with representatives of each of the identified companies on whether they have carried out disaster risk reduction activities of their services in the last 5 years. 4. Contact the governing or regulatory body of the energy sector to inquire about compliance with the indicator. 	
Link to other indicators	
RI-2-14 DP-2-14	<p>These indicators refer to the same power generation, transmission and distribution companies with the highest turnover in the country. In addition, evidence of disaster preparedness and/or disaster risk identification actions in the energy service could also be an indication that the company is also implementing risk reduction actions, although this assumption would need to be confirmed through this indicator.</p>
Description of the minimum situation required to consider the indicator met	

To comply with this indicator, there must be official documentary evidence that each of the companies with the highest turnover in the country responsible for the generation, transmission and distribution of energy have carried out, jointly or independently, at least one disaster risk reduction action in their services or infrastructure during the last five years. It is worth mentioning that such action may have been carried out with own or third-party resources.

In this way, the minimum compliance situation is to verify that disaster risk reduction actions have been implemented in the three processes (generation, transmission and distribution), by the respective companies with the highest turnover in charge of each one of the stated processes. That is to say, if only one or two of the processes are complied with, the minimum required situation will not be met.

The justification should mention the name of the companies, as well as the scope of the disaster risk reduction actions carried out in their respective infrastructure, either integrally or in some of their processes.

The following will be accepted as verifiable: the reports of the disaster risk reduction actions themselves, information on this subject published on the company's website, company management reports, annual reports, sustainability reports, audit reports, reports of risk assessors or similar official documentation.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no examples of compliance according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Colombia 2013. According to what is stated in the 2012 sustainable management report of Empresa de Energía de Bogotá (it participates in the transmission business, with 7.37% of the total national transmission income), 22 service orders and 12 contracts were signed between the southwestern and central areas to comply with the 2012 maintenance program, where works of containment type were made by means of the construction of gabions, wood and metallic forks and retaining walls, drainage works of type filters, ditches, dissipaters and drains, deep foundations of type *Caisson* and footings and geomorphological reconfiguration with the execution of the seeding of grass vetiver and reed. On the other hand, civil works were carried out such as (i) Geotechnical stabilization works of tower 68 and 80 of the Guavio-Circo line; (ii) Protection works for the flow of lahars in tower 96 of the Guavio-Reforma-Tunal line; (iii) Geotechnical stabilization works of tower 288 of the Guavio-Reforma-Tunal line. However, due to the progress made in reducing risks in the energy transmission process, the indicator is not being met because it was not possible to confirm similar progress in the energy generation and distribution processes, specifically with the companies with the highest turnover in the country, which are ISAGEN and CODENSA. It was not feasible to obtain interviews with the companies in question, nor was any information obtained in this regard from the management reports of ISAGEN and CODENSA.

Code RR-2-13

Closed-ended question	
13. <i>Has the telecommunications company with the largest user portfolio in the country implemented at least one project or program that includes disaster risk reduction activities in its infrastructure in the last 5 years?</i>	
Indicator Overview	
<p>Public service providers must ensure the provision of their services continuously and with quality for all users, even in situations of natural disaster. In the event that a disaster partially or totally affects their operation, the prompt restoration of those services is considered essential.</p> <p>Disaster Risk Management (DRM) is a cross-cutting public policy, involving all entities of the national, central or federal public administration, the different levels of government and the private and social sectors. This includes in its entirety the companies that provide public services, whether they are public, private or subject to concession to a private individual.</p> <p>In this context, disaster risk reduction for public service providers is essential to reduce the vulnerabilities of these services and thus mitigate damage to infrastructure and avoid the interruption of these services during an emergency or disaster. Thus, this indicator considers it relevant that the telecommunications company (understood as that which provides fixed and/or mobile telephone services) with the largest portfolio of users in the country has carried out disaster risk reduction activities for its services on at least one occasion during the last five years. The telecommunications company can be public or private.</p> <p>It should be borne in mind that "risk reduction" activities can be considered using terminology such as disaster risk prevention or mitigation or other similar activities specific to the sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the telecommunications company with the largest user portfolio in the country. This identification can be done by reviewing reports on the sector or on the telecommunications regulator, among others. Expert opinion can also be used. 2. Review the information published by the company during the last 5 years, related to the company's management, audit reports, risk rating reports, sustainability reports or annual reports. 3. If necessary, consult directly with representatives of the company identified about whether they have carried out disaster risk reduction actions of their services in the last 5 years. 4. Contact the governing or regulatory body of the telecommunications sector to inquire about compliance with the indicator. 	
Link to other indicators	
RI-2-15 DP-2-15	<p>These indicators refer to the same company providing the telecommunications services. In addition, evidence of disaster preparedness and/or disaster risk identification actions in the telecommunications service could indicate that the company has also undertaken risk reduction actions, although this assumption would need to be confirmed by this indicator.</p>
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, there must be official documentary evidence from the telecommunications company with the largest portfolio of users in the country that at least one disaster risk reduction action has been carried out in its services during the last five years. It is worth mentioning that this study may have been carried out with its own resources or those of third parties.

The justification should mention the name of the company, as well as the scope of the disaster risk reduction actions carried out in its infrastructure, either integrally or in some of its components.

The following will be accepted as verifiable: the reports of the disaster risk reduction actions themselves, information on this subject published on the company's website, company management reports, annual reports, sustainability reports, audit reports, reports of risk assessors or similar official documentation.

Not accepted as verifiable: Information mentioned in interviews, which has not been supported

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Chile 2013. Decree 60, Ministry of Transport and Telecommunications of 2012 (RR-2-13a) - Regulations for the interoperation and dissemination of warning messages, declaration and safeguarding of critical telecommunications infrastructure and information on significant failures in the telecommunications systems, establishes Article 18º - *"The purpose of this Title is to ensure the continuity of communications in emergency situations, resulting from natural phenomena, generalized electrical failures or other catastrophic situations, through the adequate safeguard of the critical telecommunications infrastructure thus declared, and the design, development, implementation and maintenance of a Safeguard Plan for said infrastructure at the national level, in coordination with the various government agencies and institutions and private agents"*. In Entel's Biennial Sustainability Report 2011-2012 (RR-2-13b), under the section *"Continuity of Service in Emergency Situations"*, it is indicated, among other things, that *"188 critical points have been established in which signal transmission is guaranteed for a minimum of 48 hours, even if there is a power cut"*.

Examples of non-compliance in countries of the region

Belize 2017. According to <http://www.belizetelemedia.net/en/our-company/our-history> *"Telecommunications in Belize dates back to 1902, when a manual line linked Belize City with Consejo Village in the Corozal District in the Northern region of the country. Since then BTL has grown from a small company to Belize's largest nationalized telecommunications company, providing the latest in cutting edge technology by deploying and maintaining its high-quality networks"*. BTL informed that in the context of the insurance program that they have, they carry out annual inspections with the insurance and reinsurance companies. After each inspection, a Property Risk Report with information about the vulnerabilities to be fixed is produced. BTL also informed that they implement most of the recommendations contained in the report. Given that it was not possible to have access to evidence that supports the mentioned activities the condition is negative. No evidence about any project or program that includes disaster risk reduction activities in its infrastructure was found at either the web page of Belize Telemedia Limited (<http://www.belizetelemedia.net/home>) nor in the BTL Annual Director's Report 2015/2016.

Code RR-3-1

Closed-ended question	
1. Are there regulations that establish a regime of sanctions for environmental damage for public and private offenders?	
Indicator Overview	
<p>The indicator recognizes as a quality attribute of the legal framework applicable to the environmental sector or other that may exist in the country, when a regime of sanctions is established for those cases that individuals, public or private entities, incur in certain conduct that causes damage to the environment. This regime may contemplate administrative infractions and/or the configuration of crimes that in turn bring about administrative or criminal sanctions. This indicator recognizes that the existence of such a regime contributes to the reduction of risk conditions associated with recurrent natural phenomena.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the country's environmental regulatory framework or other regulations that may contain a regime of sanctions for environmental damage. 2. Review whether such regulations establish, for cases of environmental damage, a regime that indicates administrative sanctions, or else, that typifies some crime and indicates the corresponding penalties. 3. If necessary, contact the governing body of the environmental sector to inquire about compliance with the indicator. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, the regulations identified must contemplate a regime of sanctions for conduct related to environmental damage.</p> <p>The justification must refer to both the conduct that deserves sanctions and the sanctions established in the environmental regulatory framework.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Venezuela 2015. The Criminal Law of the Environment, published in the Official Gazette No. 39,913 of May 2, 2012 (RR-3-1a), establishes in its Article 1 that the law <i>"aims at criminalizing acts of infringement against natural resources and the environment and at imposing criminal sanctions. Likewise, to determine the precautionary measures, restitution and reparation that may be necessary and the provisions of a procedural nature derived from the specificity of environmental matters"</i>. It mentions in Article 2 that the provisions of this Law are applicable to natural and juridical persons for crimes committed both in the geographical space of the Republic and in a foreign country, if the damages or risks of the act occur in Venezuela.</p>	
Examples of non-compliance in countries of the region	

Suriname 2017. This indicator is not met. The Police Criminal Act of 1915, whose last amendment was approved by the National Assembly in 1990, stipulates in several articles the punishment of those who litter public spaces. However, it does not establish a system of penalties to public and private entities for damaging the environment. According to NIMOS, the draft Environmental Law, currently under preparation, has provisions for punishment of those who damage the environment.

Code RR-3-2

Closed-ended question	
2. Has the national controlling body carried out at least one verification or assessment of compliance with disaster risk reduction actions in the last 5 years?	
Indicator Overview	
<p>It is relevant that the national control, audit, comptroller, national audit body (or whoever is acting in the country) has carried out some verification or evaluation on the compliance in the last 5 years of the disaster risk reduction mandate that has been established in the country's legal framework.</p> <p>It should be borne in mind that other terminologies such as disaster risk prevention or mitigation, or similar, may be used to refer to "risk reduction".</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 4. Identify the control entity or entities in the country (may be audit, comptroller or equivalent entity). 5. Identify the existence of reports, evaluations or similar documentation, elaborated by the national control entity, about the compliance of actions in disaster risk reduction in the last 5 years. 6. If necessary, consult directly with representatives of the national control entity to inquire about compliance with the indicator. 	
Link to other indicators	
GF-3-3 RI-3-5 RR-3-5 DP-3-2 DP-3-2 DP-3-3	The information used to verify these indicators could contain the information to meet this indicator.
Description of the minimum situation required to consider the indicator met	
<p>To comply with this indicator, the existence of a document from the control body, superior audit, comptroller or equivalent entity must be verified; it must include an evaluation or verification of the performance of at least one of the entities that has defined a legal mandate in terms of risk reduction in the country.</p> <p>If the reports, assessments or documentation identified to verify this indicator refer to DRM in a general way, the justification should make it explicit that disaster risk reduction activities are among those assessed as DRM, otherwise compliance with this indicator cannot be validated.</p> <p>NOTE: the evaluation could be on the performance of a single entity or a group of entities.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Colombia 2013. In 2012 the General Comptroller of the Republic (CGR) (for its acronym in Spanish), published the report on the state of Natural Resources and the Environment 2011- 2012 (RR-3-2a), in which an evaluation is made of the performance of both national entities and territorial entities in the area of Disaster Risk Management, and specifically on risk reduction, as well as in the section on Strategies for mitigation and adaptation to climate change in transportation and infrastructure, the report of the Ministry of Transportation on primary road infrastructure (page 64). This report includes an analysis of the integration of risk management into land-use planning (prospective risk management that contributes to disaster risk reduction). See pages 411 to 414 on "Land use planning and risk management". In addition, the CGR has provided a "warning function in 2011" to the regional autonomous corporations *against* the "winter wave" (La Niña phenomenon), indicating that among the activities they should implement was *"the repair of jarillones and other works that allow for the evacuation of water and prevent future flooding, warning that "the delay in the execution of the above-mentioned works could cause serious damage in a few days, when the rains return, and even put people's lives at risk"* (GRD Report on the State of Natural Resources and the Environment, page 106). In addition, the special follow-up to the reconstruction and adaptation in the context of the so-called "Winter Wave" (2011 and 2012), the CGR must verify and evaluate disaster risk reduction actions *that* are the responsibility of Colombia Humanitaria and the Adaptation Fund, since the regulations *"require that physical capacity and spatial development planning be left in place to prevent future emergency, disaster or calamity situations"*; in other words, the areas must be better prepared.

Examples of non-compliance in countries of the region

Peru 2013. Since 2007, the General Comptroller's Office has had the Directive No. 02-2007- CG/CA, *"for the exercise of Preventive Control of the National Control System in the event of a Declaration of a State of Emergency due to a Disaster"*. This regulation does not address the control over the application of ex ante (prevention) policies, its scope is *"in the event of a declaration of a state of emergency to meet the needs arising as a result of disasters"*.

Code RR-3-3

Closed-ended question	
3. Do the regulations that govern the formulation of Land Management Plans (or similar) assign responsibilities for monitoring, evaluation and updating?	
Indicator Overview	
<p>The indicator recognizes as a quality attribute of the applicable legal framework in the area of territorial planning and updated.</p> <p>The question is what regulations determine these three responsibilities (monitoring, evaluation and updating), that is, it is not whether they are fulfilled in practice, but whether they are regulated in the country.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the current regulations on planning and land management. 2. Determine whether this regulatory framework establishes procedures for monitoring, evaluating, and updating land use plans. 3. Determine whether to assign responsibilities for such procedures. 4. If necessary, consult directly with representatives of the national entity linked to territorial planning on compliance with the indicator. 	
Link to other indicators	
RR-1C-3 RC-1C-2	Check if the regulations used for these indicators allow to verify the present condition.
Description of the minimum situation required to consider the indicator met	
<p>To comply with this indicator, the regulations identified must explicitly establish responsibilities for monitoring, evaluating and updating land use plans.</p> <p>The indicator will not be met if regulations are only provided that establish responsibilities for some of the indicated procedures (monitoring, evaluation and updating), but not for all three.</p> <p>In the justification, independently of the assessment of the indicator, what the regulations indicate regarding the procedures for monitoring, evaluating and updating land use plans, as well as the entities responsible for each one of them, should be recorded.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Colombia 2013. Law 388 of July 18, 1997 on Territorial Ordering (RR-3-3a), "<i>By which Law 9a. of 1989 is modified, and Law 3a. of 1991 and other provisions are dictated</i>", establishes the procedures for the formulation of the Territorial Ordering Plans (Articles 7 and 8), revision and updating (Article 28) and follow-up (which is monitoring) in Article 29. Additionally, Decree 4002 of November 30, 2004 (RR-3-3b), "<i>By which Articles 15 and 28 of Law 388 of July 18, 1997 are regulated and the conditions for the exceptional revision of the territorial ordering plans are established</i>," stipulates the cases in which the exceptional revision of the ETP must be carried out, including situations of disaster or emergency.</p>	

Chile 2013. The Decree with the force of law N° 1 that fixes the rewritten, coordinated and systematized text of the law N° 18.695, Constitutional Organic of Municipalities, Ministry the Interior, of May 9, 2006, establishes *"Article 21.- The Communal Secretariat of Planning will carry out advisory functions for the mayor and the council, in matters of studies and evaluation, which are within the competence of both municipal bodies. In this capacity, it will have the following functions: ... c) Inform technically the proposals on intercommunal urban planning, formulated to the municipality by the Regional Ministerial Secretariat of Housing and Urbanism. d) Carry out permanent analysis and evaluation of the situation of development of the commune, with emphasis on social and territorial aspects; g) ... Attached to this unit will exist the urban advisor, who will require to be in possession of a university degree of a career of, at least, ten semesters, corresponding to the following functions: a) To advise the mayor and the council in the promotion of the urban development; b) To study and to elaborate the communal regulatory plan, and to maintain it updated, promoting the modifications that are necessary and to prepare the sectional plans for its application, and c) To inform technically the proposals on intercommunal urban planning, formulated to the municipality by the Ministerial Regional Secretariat of Housing and Urbanism."*

Examples of non-compliance in countries of the region

Bolivia 2015. A document on *"El Ordenamiento Territorial"* published by the Ministry of Sustainable Development and Planning was located and is available at http://atlasflacma.weebly.com/uploads/5/0/5/0/5050016/ley_de_ordenamiento_territorial_en_bolivia.pdf: *"The Territorial Ordering Plan is an instrument of a normative, technical-political and administrative nature for the management of the territory through which the use of the land is planned and regulated and the modalities of its occupation are optimized"*, and explicitly mentions that these plans are valid for 10 years. It also includes within the operational instruments of territorial ordering the *"Reports of Evaluation of the Territorial Ordering, at the national, departmental and municipal levels, which are documents of technical evaluation (operational instruments) of the degree of application of the plans of Territorial Ordering, elaborated every five years by the governing body of the territorial ordering at the national level and the technical instances of the prefectures and the municipal governments respectively."* Beyond this reference, no explicit allocation of responsibilities for monitoring, evaluation and updating was found in the regulations related to territorial planning.

Code RR-3-4

Closed-ended question	
4. Do the regulations governing watershed planning or management (or equivalent planning instruments) assign responsibilities for monitoring, evaluation and updating?	
Indicator Overview	
As in the case of land-use planning, (integrated) watershed management (or equivalent planning instrument) is a key element for prospective disaster risk management, especially in rural or peri-urban settings. Therefore, this indicator verifies the good practice of having regulations that establish the monitoring, evaluation and updating of watershed management plans (or similar planning instruments).	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the current regulations on watershed planning or water resource management (or similar). 2. Determine whether this regulatory framework establishes procedures for monitoring, evaluating and updating basin management or development plans, or similar. 3. Determine whether to assign responsibilities for such procedures. 4. If necessary, consult directly with representatives of the national entity linked to integrated water resources management. 	
Link to other indicators	
GF-1C-2	Check if the regulations used for this indicator allow to verify the present condition.
Description of the minimum situation required to consider the indicator met	
<p>To comply with this indicator, the regulations identified must explicitly establish responsibilities for monitoring, evaluating and updating basin management plans (or similar instruments).</p> <p>The indicator will not be met if regulations are provided that establish responsibilities only for some of the indicated procedures (monitoring, evaluation and updating) but not for all three.</p> <p>In the justification, regardless of the assessment of the indicator, what is indicated in the regulations regarding the procedures for monitoring, evaluation and updating of the plans, as well as the entities responsible for each of them, should be recorded.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Colombia 2013. Decree 1640 of August 2, 2012, which regulates the instruments for planning, management and handle of watersheds and aquifers, and other provisions (RR-3-4a) in Article 26 establishes as one of the phases of *the process of "management of watersheds"* the *"monitoring and evaluation"* (numeral 6). Additionally, article 40 regulates the *"revision, and adjustments of the Watershed Management Plan"*, and establishes that the adjustment must be based on *"the annual results of the monitoring and evaluation of the Plan"*.

Examples of non-compliance in countries of the region

Venezuela 2015. The Water Law, published in the Official Gazette No. 35,595 of January 2, 2007 (RR-3-4a), a legal instrument governing the integrated management of water resources, establishes the existence of Executive Secretariats of the Councils of Hydrographic Regions and Hydrographic Basins (Articles 30 and 35 respectively), which are responsible for coordinating the preparation and execution of the Integrated Water Management Plan. *The preparation, approval and control of the integrated water management plans shall be governed by the provisions established for that purpose in this Law, in the planning legislation, in the legislation on territorial ordeal, in the organic legislation on the environment, as well as in the legislation on indigenous matters and in the other applicable laws. The plans shall be developed and implemented through a process of inter-institutional, multidisciplinary, and permanent coordination, which shall include the means of consultation and protagonist participation provided for in the law. Article 47. The plans shall guide the integral management of water and shall constitute flexible, dynamic, prospective and transversal instruments that will make it possible to foresee and face changing situations in the environment that directly and indirectly affect the resource"*. Although the responsibility for *"control"* is established, no definition is included that explicitly shows that monitoring, evaluation and updating are included in this concept.

Code RR-3-5

Closed-ended question	
5. Has the national controlling entity or regulating sector made at least one assessment of the application of risk reduction measures during the construction phase of infrastructure projects in the last 5 years?	
Indicator Overview	
<p>This is a performance indicator that relates to the conduct of assessments on the application of risk reduction measures during the construction phase of infrastructure projects.</p> <p>This indicator is derived from the regulations that establish the obligation to incorporate disaster risk reduction measures during the construction phase in public and private infrastructure projects (RR-1A-5), and values the good practice that such obligations are periodically evaluated either by the national control entity or the regulatory entity of the sector linked to the infrastructure project in the last 5 years.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Inquire about major public infrastructure projects (mega-projects) during the last 5 years. 2. Identify the national authorities responsible for the identified infrastructure projects and the regulatory bodies of the sectors covered by such infrastructure. 3. Identify the control entity or entities in the country (may be audit, comptroller or equivalent entity). 4. Consult with the entities mentioned in the previous points if at least one of these projects has had an assessment of the implementation of disaster risk reduction measures during the construction phase of the project carried out by the relevant control entity or regulatory body. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, an evaluation report must be available that has been prepared over the last 5 years by the national control entity or by the regulatory entity of the sector linked to the infrastructure project analyzed, on the application of risk reduction measures during the construction phase of the infrastructure project.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>There are no examples of compliance according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.</p>	
Examples of non-compliance in countries of the region	
<p>Mexico 2013. Although evidence was found of audits that evaluate the application of risk reduction measures in construction and infrastructure projects, the concrete evaluation of "transitional" measures during the construction phase could not be verified.</p>	

B. DISASTER PREPAREDNESS (DP)

Code DP-1A-1

Closed-ended question	
1. <i>Are there regulations that establish an inter-institutional organization at the national level for the preparation and response processes?</i>	
Indicator Overview	
<p>The indicator asks about the establishment of an entity or institutional structure, at the national level, with responsibility for Preparation and Response (DP) processes. This indicator attaches importance to the fact that the countries have regulations that establish a national entity or structure that brings together different entities with competencies and capacities in order to concentrate available resources and coordinate institutional efforts to address Preparation and Response (DP) activities in the event of an emergency or disaster. This regulation can be the national Disaster Risk Management (DRM) regulation, or the national civil defense or protection regulation, or any other regulation that establishes and regulates an inter-institutional organization with these characteristics and objectives.</p> <p>Preparation and Response means the sum of the preparations: the planning, organization and testing of the society's response procedures and protocols in case of disaster; and of the response itself: the stage of execution of the procedures and protocols and of the society's timely attention.</p> <p>The inter-institutional organization by which this indicator is researched may include a National Committee for Disaster Management, a Civil Protection Committee, a National Commission for Risk Prevention and Emergency Response, or an Emergency Cabinet, which usually includes ministerial representatives, public institutions and civil society directly involved in the response to emergencies and disasters.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of national or federal regulations governing the components of DRM or emergency and disaster Preparation and Response, as well as regulations creating civil defense or protection institutions or systems. 2. Verify if the regulations establish a national and inter-institutional organization, as well as define functions for the coordination of the preparation and response processes. 3. If necessary, consult with representatives of the institution responsible for coordinating emergency and disaster Preparation and Response at the national or federal level. 	
Link to other indicators	
GF 1A-1 GF-1A-3	The national regulations that establish the framework of responsibilities for disaster risk management should also establish the inter-institutional organization for Preparation and Response processes.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must explicitly establish the creation of a national entity or structure made up of national or federal institutions, to serve as a mechanism for coordinating emergency and disaster Preparation and Response activities.</p> <p>The existence of an institution with responsibility only for the response is not sufficient to meet the indicator</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Costa Rica 2014. Law No. 8488 National Law of Emergencies and Risk Prevention of October 27, 2005 (DP-1A-1a) establishes in its Chapter III: *"Article 13: the National Commission for Risk Prevention and Emergency Care is created as the maximum deconcentration body"*. Article 14 indicates that this institution is in charge of risk prevention and preparations to attend emergency situations in its paragraph a); and in its article 17 it defines the integration of the Board of Directors, where the participation of the different sectors through their ministers is considered, defining also in article 15 the attributions of the referred board, among which it considers *"to dictate the general policies for the articulation of the National System..."* and *"to approve the general emergency plans"*, paragraphs b and g respectively.

Examples of non-compliance in countries of the region

Bahamas 2018. There are no regulations that establish inter-institutional organization for preparedness at the national level. The existing Disaster Measures Act 47 of 1978 Ch. 16:50 LRO 2006 is an emergency powers/ declaration-of-disaster regulation. The Comprehensive Disaster Management Policy Framework (CDMPF) 2013 structures an Inter-Ministerial Committee (NSC) and a Disaster Management Advisory Council for all Disaster Risk Management processes or components and not just preparedness. However, the Policy Framework doesn't have a legal support. On the contrary, the same document establishes (page 36) *"The CDMPF and its proposed institutional arrangements can only effective if supported and empowered by a robust legal and regulatory framework..."* The Office of Disaster Preparedness and Management (ODPM) was established through Cabinet Minutes #56 January 6, 2005 and No. 2042, dd17/08/200. The latter stated that the Office of Disaster Preparedness and Management's purpose was *"... to spearhead the national effort aimed at addressing Comprehensive Disaster Management."* Email discussion with the Deputy CEO Office of Disaster Preparedness and Management March 27, 2017 establishes the note discusses organizational structure and manpower; *"The rest of the Note and Minute speaks to the constituent Office of Disaster Preparedness and Management Sections (overall areas of responsibility, no. of positions, etc.). The Sections/Units are: (i) Preparedness & Response; (ii) Mitigation, Planning & Research, (iii) Public Information, Education & Community Outreach, (iv) Project Management; and (v) Administrative Support & Finance. All other documentation that deal with the work of the Office of Disaster Preparedness and Management are Office of Disaster Preparedness and Management -driven"*.

Code DP-1A-2

Closed-ended question	
2. Do the regulations that govern the processes of preparation and response establish a mechanism or instance for the management of crisis due to disaster at the highest national political level?	
Indicator Overview	
<p>Because of their disruptive capacity, disaster situations can cause crises within the government that lead to the establishment of <i>ad hoc</i> entities to manage these disasters. This generates conflicts with similar institutional figures defined in the DRM regulations or in specific disaster Preparation and Response regulations, such as emergency operations centers. A quality attribute of the national regulations is that they establish and regulate a crisis management body for disaster situations, at a level equal to or higher than the ministerial or secretariat level.</p> <p>These instances may be called commissions, emergency or contingency committees, cabinets, boards, etc. The important thing is that the regulations provide for the creation and operation of crisis management in disaster situations at the highest national political level.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of national or federal regulations governing DRM processes, emergency and disaster Preparation and Response, or regulations related to the establishment and operation of the national Emergency Operations Center (EOC) or similar structures. 2. Investigate if the identified regulations establish a mechanism or instance with the purpose of managing crises caused by disasters. 3. To verify that the coordination of that instance corresponds to the highest national political level. Either at the ministerial or secretariat level, or even at the level of the presidency of the republic, the presidency of the council of ministers, or a multi-institutional structure chaired by actors from that political level. 4. If necessary, consult with representatives of the institution in charge of coordinating emergency and disaster Preparation and Response. 	
Link to other indicators	
GF-1A-1 GF-1A-3 DP-1A-1	The standards used to verify these indicators could contain information on the mechanism or instance defined for crisis management by disaster at the national level.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations must establish a mechanism or instance for crisis management due to disaster, at the highest national political level, whether at the ministerial or secretariat level or even at the level of the presidency of the republic, the presidency of the council of ministers, or a multi-institutional structure presided over by actors at that political level.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Chile 2013. Decree No. 38 of 2011, which amends decree No. 156 of 2002 and determines the constitution of the Emergency Operations Committees (DP-1A-2a), considers: *"The following authorities will integrate the "National Committee": Minister of the Interior, Minister of National Defense, Undersecretary of the Interior, Chief of the Joint Chiefs of Staff, Minister of Energy, Minister of Transport and Telecommunications, Minister of Health, Minister of Public Works, General Director of the Chilean Carabineros and National Director of the National Emergency Office of the Ministry of the Interior. The "National Committee" will be chaired by the Minister of the Interior, in accordance with the provisions of Article 21 of Law No. 16.282, which establishes permanent provisions for cases of earthquakes or disasters"*. According to the Political Constitution and Law 20502 of February 9, 2011 which *"Creates the Ministry of the Interior and Public Security and the National Service for the Prevention and Rehabilitation of Drug and Alcohol Consumption, and modifies various Legal Bodies"* (DP-1A-2b) there is an order of precedence of the ministries, in which the Ministry of the Interior is designated as first (Article 21). The Minister of the Interior assumes the functions of Vice President.

Examples of non-compliance in countries of the region

Dominican Republic 2014. No evidence was found of a mechanism or instance of crisis management at the highest national political level. Although the regulations establish the power of the president to issue the Declaration of Emergency and also of its termination, the Regulations for the Application of Law No. 147-02 makes explicit reference to the responsibility of the National Emergency Commission to plan, coordinate, direct and control the actions aimed at solving urgent needs, execute programs and activities of attention, rescue and rehabilitation, through the institutions that compose it, based on an "Action Plan for the attention of Emergencies and/or Disasters" that it prepares based on an evaluation of needs (Article 10, paragraph 1, section 14). The same article establishes that the CNE is the official government spokesperson in case of a destructive event and/or emergencies (section 8). On the other hand, the Regulation also identifies the Emergency Operations Center as the coordinator of all actions of preparation and response in case of a sudden phenomenon, and that it is activated at the request of the CNE, being an operational organ of the same. The CNE is presided over by the Executive Secretary of Civil Defense, and is composed of officials designated by the representatives of the National Council of PRM. In the case of the COE, the Center of Emergency Operations, it is directed by the Civil Defense, the Secretariat of State of the Armed Forces and the Fire Department of Santo Domingo and has a Technical Manager designated by decree. It is considered that in both cases the condition of "highest national political level" that the indicator investigates is not met.

Code DP-1A-3

Closed-ended question	
3. <i>Do the regulations governing the preparation and response processes establish the formulation of official protocols for the coordination of operations or incident command?</i>	
Indicator Overview	
<p>The indicator recognizes as a quality attribute of the legal framework applicable to DRM that which addresses Preparation and Response processes, or that which regulates the operation of the Emergency Operations Centers (EOC) or the Incident Command System (ICS) which provides for the development of official protocols for the coordination of response work. This implies the definition of an operating structure, procedures, responsibilities, leadership, etc. This indicator responds to the need to regulate and standardize response actions and operations, thus contributing to reducing improvisation and optimizing results in response tasks.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of national or federal regulations governing DRM processes, emergency and disaster Preparation and Response, or regulations related to the establishment and operation of the Emergency Operations Center (EOC) or the Incident Command System (ICS). 2. Verify that the regulations identified establish the formulation of official protocols for the coordination of response operations. 3. If necessary, investigate with the institutions responsible for the operation of the Emergency Operations Center (EOC) or Incident Command System (ICS). 	
Link to other indicators	
GF-1A-1 DP 1A-1	The revised standard or the standard used to verify these indicators could contain information on the need to establish protocols for the response.
DP-1A-5	The regulations that establish the formulation of emergency or contingency plans at the national level could establish the formulation of protocols for the response.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be regulations that explicitly establish the responsibility for developing coordination protocols for emergency response processes or the establishment of an Incident Command System (ICS).</p> <p>Although it is not necessary for the protocols established in the regulations to exist or be operational in order to comply with the indicator, the justification must include relevant information on the existence of these protocols, detailing the subject matter, as well as providing evidence of the functioning of the EOC and/or ICS in recent events.</p> <p>This indicator cannot be verified with regulations mandating the development of a national emergency plan or the establishment of an Emergency Operations Center (EOC). Likewise, this indicator cannot be validated with the existence of response protocols if they are not supported by regulations; however, it is expected that such information will be included in the justification even if the indicator is not positively verified.</p>	

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Examples of compliance in countries of the region

Guatemala 2013. The Regulations to Law No. 109-96, Law of the National Coordinator for the Reduction of Natural and Man-Made Disasters (CONRED) (for its acronym in Spanish), adopted by the Governmental Agreement No. 49-2012, of March 14, 2012 (DP-1A-3a): in Chapter IV, Integrated Emergency Management System, Article 76 establishes that: *"In accordance with the purposes established in the Law of CONRED, the Integrated Emergency Management System -SIME- (for its acronym in Spanish) is instituted". Article 77 establishes that "Objectives of the SIME. The objectives of the Integrated Emergency Management System shall be: d) To standardize and unify the protocols, procedures, manuals and plans".*

Examples of non-compliance in countries of the region

Argentina 2014. There is no evidence of regulations in this area. A Basic Manual of Planning for Emergencies and Disasters, edited by the National Directorate of Civil Protection (3rd edition of March 2010), was detected, but it is not regulated by any norm. It is a training material. Decree 636/2013 establishes among the objectives of the Secretariat for Military Coordination of Emergency Assistance *"to execute the protocols for coordinated action in emergency and disaster situations, within the framework of the jurisdiction's competencies"*; this norm, however, applies to the compliance with the protocols, not explicitly to their formulation.

Code DP-1A-4

Closed-ended question	
4. Are there regulations that allow for the activation of a temporary regime of exceptional measures in case of disaster, emergency or public calamity?	
Indicator Overview	
<p>Temporary regimes of exceptional measures are a legal solution for catastrophic circumstances such as disasters, emergencies or public calamities caused by natural phenomena which, due to their extreme characteristics, make it imperative to take decisions quickly and without obstacles, in such a way that this management guarantees, with respect to the ordinary regime, a notable difference in the results of the management, in terms of loss of life and material damage. Its activation or application, in accordance with established procedures and formalities, would make it possible, for example, to smooth out restrictions and difficulties in the acquisition of inputs for the population's care, emerging resolutions on land use, the simplification of processes to make use of reserves of financial resources, the general streamlining of the contracting of services, etc.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the Constitution to see if it establishes the hypothesis by which a declaration of emergency, disaster or public calamity is issued or decreed, and if this entails exceptional measures. 2. Identify specific regulations on states of exception, DRM or regulations related to the state's social and fiscal responsibility, and analyze whether they consider exceptional measures applicable to emergency situations and disasters. 3. If necessary, inquire with the institutions responsible for the coordination of disaster response, Ministry of Finance or Public Administration about the fulfillment of this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1	The regulations revised or used to verify these indicators could contain information on temporary regimes and exceptional measures during emergency situations and disasters.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must establish some mechanism that allows for the activation of a temporary regime of exceptional measures applicable to the management of emergency or disaster situations.</p> <p>The justification of the indicator must record both the mechanism (declaration of emergency, etc.) that allows the exception regime to be activated, and the exception measures applicable to the management of the emergency or disaster.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Colombia 2013. Law 1523 of April 24, 2012, which adopts the national policy of disaster risk management and establishes the National System of Disaster Risk Management and other provisions (DP-1A-4a); provides in its Chapter VI, Declaration of Disaster, Public Calamity and Normality, the criteria and principles that will govern each of the processes of declaration, both of disaster and calamity; And it corresponds, on the other hand, to Chapter VII, Special Regime for Situations of Disaster and Public Calamity, to establish the measures of exception to the prescriptions of Chapter VI which, among other matters, considers the "... contracting of the State, loans, fiscal control of resources; occupation, acquisition, expropriation, demolition of real estate and imposition of easements; relocation of settlements, conflict resolution, moratorium or refinancing of debts, suspension of executive trials, credits for affected persons, incentives for rehabilitation, reconstruction and sustainable development; administration and destination of donations and other measures tending to guarantee the return to normality" (Article 65).

Examples of non-compliance in countries of the region

Suriname 2017. This indicator is not met. No evidence of the existence of formal regulations for the implementation of temporary regime measures in the case of disaster, emergency or public calamity was found. According to NCCR the concept Act on disaster management still needs to be submitted to the National Assembly for its approval.

Code DP-1A-5

Closed-ended question	
5. Do the regulations governing the preparation and response processes establish the formulation of emergency or contingency plans at the national level?	
Indicator Overview	
<p>It is considered a good practice that the regulations on Disaster Risk Management, or those linked to the preparation and response processes, establish at the national level the ex-ante formulation of emergency or contingency plans. These plans can be used to guide coordination protocols, national sectoral emergency plans, as well as emergency plans in the territories. However, there are occasions when national emergency plans are elaborated through a consolidation of sectoral and territorial plans. Also, in some countries it can be observed that the national contingency plan is an integral part of the National Disaster Management Plan.</p> <p>On the other hand, national emergency or contingency plans can be developed for specific threats or with a multi-hazard approach.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Find out if the DRM regulations or those that regulate the preparation and response processes establish the formulation of emergency or contingency plans at the national level. 2. Investigate whether the regulations that mandate the development of the National Risk Management Plan include the emergency or contingency plan as an integral part of its formulation. 3. If necessary, meet with staff from the DRM or Preparation and Response lead agency to find out about the existence of national emergency or contingency plans and the regulations underpinning them. 	
Link to other indicators	
GF-1A-1 DP-1A-1 DP-1B-1 DP-1C-3	Information on the formulation of emergency or contingency plans at the national level could be included in the revised regulations or used to verify these indicators.
DP-1A-3	Verify if the regulations that mandate the preparation of official protocols for the coordination of emergency operations also establish the development of a national emergency or contingency plan.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must explicitly establish the responsibility or function of formulating emergency or contingency plans at the national level. To comply with the indicator, it is not necessary that such plans exist or are in force.</p> <p>In the event that the regulations establish that the emergency or contingency plan is part of the National Disaster Risk Management Plan, the justification for compliance must provide details on its scope and the content of the emergency or contingency plan.</p> <p>When applicable and if the information is available, the justification should mention the national emergency or contingency plans that exist in the country, even if they are not supported by specific regulations.</p>	

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Examples of compliance in countries of the region

El Salvador 2016. The Law of Civil Protection, Prevention and Mitigation of Disasters, approved by the Legislative Assembly through Decree No. 777 of August 18, 2005 (DP-1A-5a) establishes in the "Operational Concepts" of Article 4 "... j) *Disaster Management: Policies, plans, programs, projects and actions aimed at creating or increasing the capacities of a society to face a disaster situation. They include the phases of preparation, emergency care, rehabilitation and reconstruction*". Linked to these concepts, Article 18 establishes "The General Director's attributions are the following: a) *To elaborate and submit to the National Commission's approval the plans for emergency attention at the national level and contingency plans in the case of specific events...* e) *To direct the execution of the plans for preparation and attention to emergencies and for Civil Protection, approved by the National Commission.*" Additionally, Article 6 establishes among the objectives of the National Civil Protection System: " d) *Design and execute civil protection plans, to respond to the event of a disaster of any nature, seeking to mitigate its damages or reduce its impacts*" Based on the contents of the mentioned articles, it is considered that the indicator is met.

Examples of non-compliance in countries of the region

Bolivia 2015. The only mention of emergency or contingency plans in Law No. 113 / 2013-2014, Risk Management Law, approved in November 2014, is in Title III, Chapter I (Budgetary Provisions), Article 25, which states "II. *The autonomous territorial entities shall provide in their annual operating programs and budgets the necessary resources for risk management, as established in their Development Plans, Emergency Plans and Contingency Plans*" Pending what is defined in the regulations of this law, no other section of the Law found a more explicit reference to the formulation of emergency or contingency plans at the national level.

Code DP-1A-6

Closed-ended question	
6. Do the regulations governing the preparation and response processes state that humanitarian response and assistance actions should be based on damage assessments and needs analysis?	
Indicator Overview	
<p>Disaster Risk Management (DRM) in the countries, in addition to seeking a logical order for its processes, imperatively seeks the rational use of available resources, institutional and sectoral efforts and synergies, for the efficient fulfillment of its objectives. Damage assessments and needs analyses make it possible to define a baseline that properly guides the prioritization of response actions and their content.</p> <p>In that context, this indicator seeks to determine whether the normative framework governing Preparation and Response provides that response and humanitarian assistance activities should be based on damage assessment and post-disaster needs analysis.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate DRM regulations or those governing Preparation and Response processes, if damage assessment and needs analysis are established as the basis for defining and/or prioritizing humanitarian response and assistance activities. 2. Review this link in the protocols and procedures of any response coordination bodies that may exist. 3. If necessary, interview staff from the DRM or Preparation and Response lead agency to inquire about the existence of tools and/or methodologies (e.g., EDAN) adopted for the damage assessment and needs analysis. 	
Link to other indicators	
GF-1A-1 DP-1A-1	The standards revised or used to verify these indicators could also establish the conduct of damage assessments and needs analyses as a basis for defining and/or prioritizing emergency and disaster response actions.
DP-1A-3 DP-1A-5	Verify whether the national emergency plan or official (i.e., normative) response coordination protocols and procedures support compliance with this indicator.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the identified standards (which for the purposes of this indicator include, in addition to DRM and/or Preparation and Response, also official emergency plans, protocols and procedures) must explicitly state that humanitarian response and assistance actions must be based on damage assessment and analysis of needs identified from the occurrence of the emergency or disaster.</p> <p>The fact that a country has official instruments for damage assessments and needs analysis (NDA) is not sufficient to verify this indicator. However, the justification should indicate whether the country has such tools and whether they have been officially adopted.</p>	

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Examples of compliance in countries of the region

Jamaica 2013. The National Disaster Plan (DP-1A-6b), supported by Disaster and Emergency Management Act (DP-1A-6a) outlines in Annex A Section 16.1 that relief would be distributed on the basis of the damage and needs assessment reports submitted by the damage assessment personnel or committee.

Examples of non-compliance in countries of the region

Paraguay 2016. Decree N° 11.632 regulating Law N° 2615/05 creating the National Emergency Secretariat (S.E.N) (for its acronym in Spanish), approved on August 12, 2013, would allow to partially validate this condition, since it indicates that for the activation of the emergency plan there must be a damage assessment. As indicated in Article 39 *"Participation of the Actors Involved in the Emergency or Disaster Situation for the Activation of the Emergency Plan. "The "actors involved" whose participation is required by the SEN will be obliged to contribute as necessary, with information and technical support for the activation of the Plan, for which in close coordination with regional and municipal institutions, they should develop their processes of damage assessment. However, this article was later repealed by Decree No. 3713/15, by which Decree No. 11,632/2013 is extended and partially modified, establishing the regulation of Law No. 2615/05 that creates the National Emergency Secretariat (SEN), approved on June 30, 2015, where it is indicated in its Article 15 " Derogate Articles 38 to 40 of Decree No. 11.632/2013".*

Code DP-1A-7

Closed-ended question	
7. Do the regulations that govern the preparation and response processes establish the performance of simulations and drills?	
Indicator Overview	
<p>The preparation and response to emergencies and disasters finds great benefit in the systematic realization of simulations, drills and exercises that validate and test the various procedures and protocols, in addition to the emergency and contingency plans in place, thus providing an opportunity for continuous improvement and the development of new and better strategies and measures.</p> <p>This indicator recognizes the importance of the regulations establishing it as an obligation.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the DRM regulations or those that regulate the preparation and response processes, if the obligation to carry out simulations and drills on the various preparation and response processes is established. 2. Identify the types of simulations that have recently been carried out in the country, whether at the national, sectorial or territorial level, and investigate the regulations that support their execution. 3. If necessary, meet with staff from the DRM or Preparation and Response entity to inquire about conducting simulations and drills, as well as the regulations underpinning them 	
Link to other indicators	
GF-1A-1 DP-1A-1 DP-1A-2	The regulations revised or used to verify these indicators could establish the performance of simulations and/or drills.
DP-1A-3 DP-1A-5	Verify whether the national emergency plan, protocols and official procedures (i.e., that have normative value) of the response coordination bodies provide for the conduct of simulations or drills.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the identified regulations, which include the national emergency plan, official protocols and procedures (i.e., having normative value), must explicitly establish the responsibilities or functions for conducting drills and/or simulations of the Preparation and Response processes. For this compliance, it would be sufficient that the regulations establish the performance of simulations and/or drills at national, sector or territorial level.</p> <p>If information is available, it is desirable to include in the justification of this indicator the evidence found about the performance of simulations and/or recent simulations in the country, briefly describing them, even if the regulations that establish the obligation to perform them do not exist.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	

Examples of compliance in countries of the region
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<p>Mexico 2014. Article 60 of the Internal Regulations of the Secretariat of Government establishes: "<i>XIII. Promote the realization of exercises and simulations that strengthen the coordination of the Federal Government with the states, the private sector and the civil society in civil protection tasks</i>". Additionally, the SINAPROC Organization and Operation Manual, approved in October 2006 (PR-1A-7b), identifies the responsibilities of municipal governments and states and establishes that "They promote <i>the realization of training courses, exercises and simulations that allow for the improvement of the preventive and response capacities of the participants in the State Civil Protection System, and Municipal Civil Protection System</i>".</p>
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Examples of non-compliance in countries of the region
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<p>Colombia 2013. Law 1523 of April 24, 2012 does not establish in a direct or explicit manner the realization of simulations and drills. However, they have been carried out at the national level and particularly in regions of the country affected by the probable occurrence of hurricanes and tsunamis (NOTE: this issue should be part of the regulation of the Law which, until the time of application of the IGOPP - August and September 2013 - had not yet taken place).</p>
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Code DP-1A-8

Closed-ended question	
8. Are there regulations for the coordination of international assistance and mutual aid in case of disaster?	
Indicator Overview	
<p>Disaster Risk Management (DRM) and the national system or structure for its implementation at the national level, starts from the premise that the confluence and contribution of all levels of government, as well as of civil society and the private sector, is permanently required to deal with the consequences of disasters. However, countries should be especially careful to ensure that their regulations contemplate probable scenarios in which, due to the severity of the events, it is unavoidable to make requests for aid and assistance to the governments of other countries or to international organizations, or that, without such formalities, such aid or assistance provided by foreign governments is received, without losing sight of the fact that these scenarios must be considered both as a requesting and as a receiving government.</p> <p>This indicator recognizes as a good practice that national regulations provide the powers and competencies to carry out the necessary coordination actions to facilitate international assistance and mutual aid in cases of disaster.</p> <p>Alternatively, it is usual for this matter to be the object of treaties, multilateral or bilateral agreements, etc., in which the development of coordinated actions is proposed in an international, regional (CDEMA, CEPREDENAC, etc.) or bilateral response and in which the country participates as a signatory.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the validity of a national regulation that establishes the coordination of international assistance and mutual aid in case of disaster, whether it is the national regulation of DRM, the one that regulates the activities of preparation and response, the regulation of foreign relations or other relevant regulations. 2. Verify, in case no national regulation is in force for that purpose, whether the country is a signatory to any bilateral or multilateral mechanism (e.g., within its membership of regional entities such as CDEMA, CEPREDENAC, etc.) of international law with the same content. In addition, it should be verified that the international mechanism has been ratified, approved, or confirmed in accordance with the formalities established by the corresponding national regulations and that the mechanism has therefore been given legal status in the country (for example, through publication in the official organ). 3. If necessary, meet with staff from the DRM lead entity, the preparation and response entity, and/or the UN system representative in the country to inquire about this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1	The regulations revised or used to verify these indicators could establish the coordination of international assistance and mutual aid in case of disaster.
DP-3-3 DP-3-6 RC-3-2 RC-3-3 RC-3-4	Guidance on the existence of standards for the coordination of international assistance and mutual aid in case of disaster could be obtained from the documentation reviewed or used to verify these indicators.
Description of the minimum situation required to consider the indicator met	

For this indicator to be met, the regulations identified must establish coordination between countries for international assistance and mutual aid in case of disaster; or the existence of an international law mechanism that has been ratified, approved or officially confirmed by the country and therefore has legal status in the country.

If this indicator is to be verified with evidence of the country's participation in regional entities (CDEMA, CEPREDENAC, etc.), bilateral agreements, or similar, evidence must be provided that the agreement has been ratified, approved, or confirmed in accordance with the formalities set forth in the country's regulations.

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Examples of compliance in countries of the region

Costa Rica 2014. Law No. 8488 National Law on Emergencies and Risk Prevention of October 27, 2005 (DP-1A-8a) considers in its "Article 14. Ordinary prevention competences of the Commission... L) To manage international aid, from agencies and countries, in coordination with the Ministry of Foreign Affairs and Culture, for prevention programs and emergency care. M) To coordinate the international aid that Costa Rica can offer to other nations..." On the other hand, "Article 19. Presidency of the Commission... D. To coordinate, with the Ministers of the Government, autonomous institutions, public enterprises, municipalities and cooperation agencies, among others, the actions and negotiations that seek to obtain technical, material and financial assistance to cover the needs demanded by the Commission" The above is enriched with the content of the National Plan for Risk Management 2010 - 2015. The National Commission for Risk Prevention and Emergency Response (DP-1A-8b), whose Thematic Axis No. 6, preparations and response to face emergency and disaster situations, considers the alignment with policy guideline No. 3 to promote the establishment of national and international cooperation agreements, agreements and guidelines to optimize the preparation and response to emergencies and disasters.

Examples of non-compliance in countries of the region

Dominican Republic 2014. However, Regulation 874-09 for the Application of Law No. 147-02 on Risk Management (DP-1A-8a) Article 10.1.- Of the activity of the National Emergency Commission (CNE) (for its acronym in Spanish), includes two paragraphs related to the humanitarian support of the Dominican Republic to other countries (paragraphs I and II), does not establish parameters or similar references on the humanitarian support of other countries to the Dominican Republic, which is essentially what this indicator investigates.

Code DP-1B-1

Closed-ended question	
1. Do the regulations governing the preparation and response processes establish the formulation of emergency or contingency plans in the different sectors or ministries?	
Indicator Overview	
<p>Disaster Risk Management (DRM) is a concatenated set of processes before and after the occurrence of emergencies and disasters. Within these processes is the development of emergency or contingency plans. This indicator values the fact that DRM regulations or those regulating preparation and response processes explicitly provide that the preparation of such plans is the responsibility of the different sectors within the scope of their competencies.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the DRM regulations or those that regulate the preparation and response processes, if the formulation of emergency or contingency plans is explicitly established at the sector level. 2. If the identified regulation assigns general responsibilities for DRM to the sectors, the definition and/or scope of DRM actions should be identified in the same or another DRM regulation, in order to verify that it explicitly includes the formulation of emergency or contingency plans at the sector level. 3. If the regulations identified assign responsibilities for the formulation of emergency plans to the members of the National DRM System, National Civil Protection System (or similar), the definition and/or scope of these national systems should be identified in the same or other DRM regulations, to verify that the sectors (ministries, public institutions, etc.) are part of them. 4. If necessary, interview staff from the DRM lead agency on preparations and response to inquire about this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1	Review whether the regulations used to verify these indicators assign responsibilities to sectors or ministries for formulating emergency or contingency plans.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must establish explicit responsibilities or functions for the formulation of emergency or contingency plans in the various sectors.</p> <p>In the drafting of some regulations, these responsibilities may be assigned to public institutions, government institutions or other denominations in which the various sectors, secretariats or ministries of the country fall into these categories.</p> <p>Occasionally, some sectors may have formulated their emergency plans. However, what the indicator seeks is the existence of regulations that establish the obligation to formulate such plans.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	

Examples of compliance in countries of the region

Peru 2013. Regulations to the Law of SINAGERD, approved by the Supreme Decree No. 048-2011-PCM, of May 25, 2011 (DP 1B-1a), establishes in Article 39, Of the specific plans by process, that:
*"39.1 In accordance with the National Plan for Disaster Risk Management, public entities at all levels of government formulate, approve and execute, among others, the following Plans: ...
f. Contingency plans".*

Colombia 2013. Law 1523 of April 24, 2012, which adopts the national policy on disaster risk management and establishes the National System of Disaster Risk Management and other provisions (DP-1B-1a) provides in Article 42, on specific risk analysis and contingency plans, that *"all public or private entities in charge of providing public services, executing major civil works or developing industrial or other activities that could mean a risk of disaster for society, as well as those specifically determined by the National Unit for Disaster Risk Management, must perform a specific risk analysis that considers the possible effects of natural events on the exposed infrastructure and those derived from the damage to it in its area of influence, as well as those derived from its operation. Based on this analysis, they will design and implement the risk reduction measures and emergency and contingency plans that will be of obligatory compliance".*

Examples of non-compliance in countries of the region

Guyana 2017. No evidence of formal regulations for the disaster Preparation and Response process were found for Guyana. There is a set of documents developed by the Civil Defense Commission (CDC) which, per the people interviewed in this institution, have been approved by the Cabinet in 2014. Since Cabinet resolutions are considered classified documents, they are not available for consultation. Among these set of documents, the draft version of the Multi-hazard Disaster Preparation and Response Plan available in Internet, establishes in Chapter 5.0 Disaster Preparedness Functions: " 5.2 Pre-Disaster: The CDC will: e. *Provide technical support to public and private sectors in preparation of contingency plans;* f. *Lay down the guidelines for preparing disaster management plans for different Ministries, Department and the RDCs*". While the Multi-Hazard Disaster Preparation and Response Plan includes these relevant provisions for the assessment of the indicator, due to its "draft" condition, it cannot be used as verifier.

Code DP-1B-2

Closed-ended question	
2. Do the regulations that govern the processes of preparation and response provide for the creation and operation of surveillance or warning systems for dangerous natural phenomena?	
Indicator Overview	
Monitoring and early warning systems for natural hazards have shown a great impact on reducing the loss of life and property in the countries or areas that implement them. Thus, it is considered a quality criterion that the national regulations on Disaster Risk Management (DRM) or those regulating Preparation and Response (DP) actions, include the creation and operation of these systems.	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the DRM regulations or those that regulate the preparation and response processes, if the creation and operation of surveillance or early warning systems for dangerous phenomena is stipulated. 2. Investigate whether the regulations related to the national entities responsible for generating information on hazardous phenomena consider the creation and operation of surveillance or early warning systems for hazardous phenomena. 3. If necessary, meet with staff from the DRM lead agency, the Preparation and Response agency, or those involved in generating information on hazardous phenomena to inquire about the existence of these systems. 	
Link to other indicators	
GF-1A-1 DP-1A-1	Check if the regulations used for these indicators allow to verify this indication.
RI-1B-7	The regulations related to the continuous development and maintenance of observation and monitoring networks of dangerous natural phenomena could allow the orientation or verification of this indicator, as long as its scope goes beyond the monitoring of the phenomena and also includes the warning of the population.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must explicitly establish the creation and operation of surveillance or early warning systems for natural hazards.</p> <p>It would be sufficient to mention these systems in a general way or specifically for one or more natural hazards or threats. It is not necessary for the warning systems referred to in the regulations to be operational; however, the justification should mention whether or not they are operational, even if the regulations governing the preparation and response processes do not mention such systems.</p> <p>The indicator would not be met if the identified regulations refer exclusively to the monitoring of the variables that characterize natural phenomena, since the RI-1B-7 indicator already investigates this condition.</p> <p>This indicator is intended to go a step further and verify whether the regulations establish the creation and operation of warning systems for the population. Although these systems are fed with the information generated by natural phenomenon monitoring systems, they also require an exposure and vulnerability analysis that determines the population that must be alerted and, therefore, must eventually proceed with the urgent measures needed to avoid or minimize the impact of the natural phenomenon.</p>	

In summary, just as the IR-1B-7 indicator focuses on monitoring natural phenomena, this indicator focuses on timely warning the population of the possible occurrence of such phenomena.

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Examples of compliance in countries of the region

Guatemala 2013. The Regulations of Law No. 109-96, Law of the National Coordinator for the Reduction of Natural or Provoked Disasters (CONRED), adopted by Governmental Agreement No. 49-2012 of March 14, 2012 (DP-1A-2a) in its Article 90, Early Warning Systems, establishes that *"The Coordinators will promote, implement, operate and maintain the early warning system with the participation of the communities in order to establish warning and alert mechanisms aimed at reducing the impact of disasters..."*.

Examples of non-compliance in countries of the region

Paraguay 2016. No evidence was found. They were analyzed: (i) Law No. 2615/05 creating the Secretariat of National Emergency, approved on 10 June 2005 and published in Gazette No. 53 of 15 June 2005; (ii) Decree No. 11,632 regulating Law No. 2615/05 creating the Secretariat of National Emergency (S.E.N.) (for its acronym in Spanish), approved on 12 August 2013; (iii) Decree No. 3713/15, extending and partially amending Decree No. 11.632/2013 establishing the regulation of Law No. 2615/05 creating the Secretariat of National Emergency (SEN), approved on June 30, 2015; and (iv) Strategic Institutional Plan 2015 2018 of the Secretariat of National Emergency, approved by Resolution No. 915/15. Although Law No. 2615/05 creating the Secretariat of the National Emergency, approved on 10 June 2005, grants the Secretariat of the National Emergency powers to collect hydrometeorological information, nothing is said about it being used to establish a monitoring or warning system for this type of phenomenon.

Code DP-1B-3

Closed-ended question	
3. Does the environmental sector's legislation define the responsibility for carrying out disaster response preparedness activities within its scope of competence?	
Indicator Overview	
<p>Disaster Risk Management (DRM) permanently requires the convergence and contribution of the different sectors of public administration and territorial management units. This indicator values the fact that the different regulatory frameworks of the sectors have responsibilities for response preparation activities from each area. This is an explicit recognition that the responsibilities in this process of preparation and response do not point only to the national coordinating body for DRM or for preparation and response, such as civil protection, but also to all other government sectors.</p> <p>Typical response preparedness activities include training, developing response plans and protocols, and conducting simulations or drills.</p> <p>Thus, this indicator recognizes as a quality attribute that the regulatory framework of the environmental sector defines the responsibility for response preparedness activities.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate whether the environmental sector's regulations establish responsibilities for carrying out disaster response preparedness activities. 2. If necessary, consult with representatives of the environmental sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-8 RR-1B-6 RR-1B-7 RC-1B-1	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-2-4	If the sector has a National Emergency or Contingency Plan, ask for the regulations that mandate or support its elaboration.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the regulatory framework for the environment sector must establish the responsibility and functions for carrying out disaster response preparedness activities in its area of competence.</p> <p>The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.</p> <p>This indicator will not be validated if the regulations refer to preparedness activities for response to "environmental" emergencies or disasters, without the same detail as disasters due to hazardous natural phenomena.</p> <p>Not to be confused with the functions that may be established by environmental regulations on other ex ante DRM processes such as risk identification, prevention or disaster mitigation actions.</p>	
Examples of compliance in countries of the region	

Paraguay 2016. Law No. 1561/00, which creates the National System of the Environment, the National Council of the Environment and the Secretariat of the Environment, approved on July 24, 2000 and published in the Official Gazette No. 140 (DP-1B-3a), allows the validation of this condition since the *functions* of the Secretariat of the Environment include participating in the response to disasters and contingencies, as explained in Article 12(o). *o) participate in plans and organizations for the prevention, control and assistance in natural disasters and environmental contingencies*".

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of non-compliance in countries of the region

Costa Rica 2014. The main regulations of the sector were analyzed (Law N. 7554, Organic Law on the Environment, of September 28, 1995). It defines the scope of the environmental sector's responsibilities: *"environmental education and research; environmental impact; environmental protection and improvement in human settlements; land use planning; protected wildlife areas; marine, coastal and wetland resources; biological diversity; forest resources; air; water; soil; energy resources; pollution and ecological production"*. This regulation, in none of the areas of competence indicated, establishes explicit responsibilities for the preparation.

On the other hand, Law No. 7575, Forestry Law of February 5, 1996, considers: " *Article 14. Subparagraph D. Preventing forest fires, natural disasters or other similar causes or their consequences*". Also, in Article 35 it establishes: *"Prevention of forest fires. The actions undertaken to prevent and extinguish forest fires are declared to be of public interest. The measures taken shall be binding on all the authorities of the country, in accordance with the provisions of the regulations of this law"*. This law is the only one that includes responsibilities in terms of preparation, however, it is not considered representative, given the wide range of competences and areas of action established by the main regulation of the sector.

Colombia 2013. In the Environmental Law of Colombia (Law 99 of 1993), it is defined in Article 1, numeral 9 that *"The prevention of disasters will be a matter of collective interest and the measures taken to avoid or mitigate the effects of their occurrence will be of obligatory compliance"*. In addition, Article 5, paragraph 35, provides that one of the functions of the Ministry of the Environment is to *"evaluate, monitor and control the ecological risk factors and those that may have an impact on the occurrence of natural disasters and coordinate with other authorities the actions aimed at preventing the emergency or preventing the extension of its effects"*, and also Article 31, paragraph 23, establishes that it is the responsibility of the Regional Autonomous Corporations: *"To carry out activities of analysis, follow-up, prevention and control of disasters, in coordination with the other competent authorities, and to assist them in the environmental aspects in the prevention and attention of emergencies and disasters; to advance with the municipal or district administrations programs of adaptation of urban areas in high-risk zones, such as control of erosion, management of watercourses and reforestation"*. Nevertheless, it is considered that this legislation does not establish in an exhaustive way the responsibility to carry out activities of preparation for disasters. The sector's Emergency Plans, which are essentially for the protected areas system, were reviewed: both in the guide for their formulation (original from 2009 and updated to 2013) and in the plans consulted, the legislation on occupational health and the norms on Disaster Prevention and Attention (version of the 2009 guide) and the National System for Disaster Risk Management (version of the 2013 guide) are mentioned as the legal framework that defines this responsibility. Therefore, the indicator is not met.

Code DP-1B-4

Closed-ended question	
4. <i>Does the regulation of the agricultural sector define the responsibility to carry out disaster response preparedness activities within the scope of its competence?</i>	
Indicator Overview	
<p>Disaster Risk Management (DRM) permanently requires the convergence and contribution of the different sectors of public administration and territorial management units. This indicator values the fact that the different regulatory frameworks of the sectors have responsibilities for response preparation activities from each area. This is an explicit recognition that the responsibilities in this process of preparation and response do not point only to the national coordinating body for DRM or for preparation and response, such as civil protection, but also to all other government sectors.</p> <p>Typical response preparedness activities include training, developing response plans and protocols, and conducting simulations or drills.</p> <p>Thus, this indicator recognizes as a quality attribute that the regulatory framework of the agricultural sector defines the responsibility for response preparedness activities.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate whether the agricultural sector's regulations establish responsibilities for carrying out disaster response preparedness activities. 2. If necessary, consult with representatives of the agricultural sector about the existence of regulations that would allow for the validation of this indicator. 	
Link to other indicators	
RI-1B-9 RR-1B-8 RC-1B-2	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-2-5	If the sector has a National Emergency or Contingency Plan, ask for the regulations that mandate or support its elaboration.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the policy framework for the agriculture sector must establish the responsibility and roles for disaster response preparedness activities in its area of competence.</p> <p>The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.</p> <p>Not to be confused with the functions that may be established by agricultural regulations for other ex-ante DRM processes such as risk identification, disaster prevention or mitigation actions.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Costa Rica 2014. State Policy for the Agrifood Sector and Rural Development in Costa Rica 2010-2021. Ministry of Agriculture and Livestock, 2011 (DP-1B-4a) defines the pillars of the policy and considers in its "Pillar 4.4. Climate Change and Agri-environmental Management, and establishes in the numeral "4.4.1.1. Comprehensive risk management. An integral vision of risk management will be promoted in the sector, which considers the execution of actions through the participation and coordination of the public sectorial institutionality. Will consider natural risks ... and the threats that derive from the action of society The following instruments will be promoted: - National risk prevention system, attention and management of disasters due to extreme natural phenomena. In the context of this system, the food sector will strengthen its participation and presence, so that it is subject and object of the national, regional and local risk management plans and programs

Examples of non-compliance in countries of the region

Ecuador 2016. The entire regulatory framework for the agricultural sector was analyzed and the document Agricultural Policies to 2025, published in 2015, was identified. In addition to this sector policy document, which does not include relevant references for this indicator, no evidence has been found of regulations that specifically establish the sector's responsibility to carry out disaster response preparedness activities. Additionally, the lack of this mandate in the sector's regulations was ratified in the interview with the delegate of that Ministry.

Code DP-1B-5

Closed-ended question	
5. Does the health sector's normative framework define the responsibility to carry out disaster response preparedness activities within its competence?	
Indicator Overview	
<p>Disaster Risk Management (DRM) permanently requires the convergence and contribution of the different sectors of public administration and territorial management units. This indicator values the fact that the different regulatory frameworks of the sectors have responsibilities for response preparation activities from each area. This is an explicit recognition that the responsibilities in this process of preparation and response do not point only to the national coordinating body for DRM or for preparation and response, such as civil protection, but also to all other government sectors.</p> <p>Typical response preparedness activities include training, developing response plans and protocols, and conducting simulations or drills.</p> <p>Thus, this indicator recognizes as a quality attribute that the health sector's regulatory framework defines the responsibility for response preparedness activities.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate whether health sector regulations establish responsibilities for carrying out disaster response preparedness activities. 2. If necessary, consult with representatives of the health sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-10 RR-1B-9 RC-1B-3	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-2-6	If the sector has a National Emergency or Contingency Plan, ask for the regulations that mandate or support its elaboration.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the health sector's regulatory framework must establish the responsibility and functions for disaster response preparedness activities in its area of competence.</p> <p>The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.</p> <p>This indicator will not be validated if the regulations refer to preparedness activities for response to "health" emergencies or disasters, without detailing that disasters due to hazardous natural phenomena are part of them.</p> <p>Not to be confused with the functions that may be established by the health sector's regulations on other ex-ante DRM processes such as risk identification, prevention actions or disaster mitigation.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. The General Organization Manual of the Ministry of Health, published on August 17, 2012 (DP-1B-5a), indicates among the functions of the National Center for Preventive Programs and Disease Control *"To establish the national, regional, state and, if applicable, jurisdictional mechanisms and procedures for rapid response to support prevention and health protection programs specifically in health emergencies, in coordination with the National Civil Protection System.*

Peru 2013. The National Environmental Health Policy 2011-2020-Ministry of Health, approved by Ministerial Resolution No. 258-2011-MINSA, of April 4, 2011 (DP 1B-5a), provides in its sixth policy, contained on page 31, that *"...a set of mechanisms and plans must be established that articulate the response to possible emergencies and disasters of environmental health interventions, defining mechanisms for timely environmental management and that have an impact on these types of situations..."*.

Examples of non-compliance in countries of the region

Chile 2013. Although the Ministry of Health published the *"Epidemiological Surveillance Guide for Emergencies and Disasters"* which contains explicit recommendations, no normative evidence was found from the health sector, which defines the responsibility to carry out such disaster response preparedness activities within the scope of its competencies. This was corroborated by the Emergency Department of the Ministry of Health (MINSAL) (for its acronym in Spanish).

Code DP-1B-6

Closed-ended question	
6. <i>Does the regulation of the housing sector define the responsibility to carry out disaster response preparedness activities within its competence?</i>	
Indicator Overview	
<p>Disaster Risk Management (DRM) permanently requires the convergence and contribution of the different sectors of public administration and territorial management units. This indicator values the fact that the different regulatory frameworks of the sectors have responsibilities for response preparation activities from each area. This is an explicit recognition that the responsibilities in this process of preparation and response do not point only to the national coordinating body for DRM or for preparation and response, such as civil protection, but also to all other government sectors.</p> <p>Typical response preparedness activities include training, developing response plans and protocols, and conducting simulations or drills.</p> <p>Thus, this indicator recognizes as a quality attribute that the regulatory framework of the housing sector defines the responsibility for response preparedness activities.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate whether the housing sector's regulations establish responsibilities for carrying out disaster response preparedness activities. 2. If necessary, consult with representatives of the housing sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-11 RR-1B-10 RC-1B-4	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-2-7	If the sector has a National Emergency or Contingency Plan, ask for the regulations that mandate or support its elaboration.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the identified housing sector regulations must establish the responsibility and functions for carrying out disaster response preparedness activities in their area of competence.</p> <p>The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.</p> <p>Not to be confused with the functions that may be established by the housing sector regulations on other ex ante DRM processes such as risk identification, prevention or disaster mitigation actions.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Costa Rica 2014. National Policy on Housing and Human Settlements 2012-2030, Ministry of Housing and Human Settlements: (DP-1B-6a) *"General Objective: Promote the development of human settlements in safe sites and in function of their sustainability, increasing the capacity to effectively deal with emergencies"*. Explicit mention of *"increasing capacity to respond to emergencies"* is considered a mandate for preparedness.

El Salvador 2016. El Salvador's National Housing and Habitat Policy, in effect since October 2015, (DP-1B-6a) within the axis *"Quantitative and qualitative housing deficit"*, establishes the need to *"Design and implement programs for families at risk, which provide mechanisms for response and rapid attention to emergencies, prevention and resilience"*. -IV Axes and Guidelines. Axis 1.5-

Examples of non-compliance in countries of the region

Belize 2017. The Housing and Town Planning Act Chapter 182, of the Substantive Laws of Belize, revised edition 2011, in Part I *"Preliminary and Constitution of Central Authority"*, section 3, subsection (1) establishes the *"Central Building Authority"*. According to subsection (2), this Authority shall consist of 8 persons, among who is *"[...] the National Emergency Coordinator appointed under the Disaster Preparation and Response Act, Cap. 145"*. While the above makes the National Coordinator part of the Central Building Authority, his role and responsibility is unclear, hence by this section alone no specific disaster preparedness obligation can be established. In Part III *"Town and Country Planning, Land Development, Compensation and Betterment etc."*, section 41, subsection (1) enables the Central Building Authority to prepare, vary or adopt schemes *"[...] subject to the provisions of any special area precautionary plan prepared under the Disaster Preparation and Response Act, Cap. 145 [...]"*. Again, specific disaster preparedness links can't be established through this section. The Reconstruction and Development Corporation Act Chapter 193, of the Substantive Laws of Belize, revised edition 2011, doesn't include any regulations related to disaster preparedness. Even though the housing regulations do link to the Disaster Preparation and Response Act Chapter 145, of the Substantive Laws of Belize, revised edition 2011, no specific competencies and functions to conduct disaster preparedness activities in the field were established, hence the condition is not met.

Code DP-1B-7

Closed-ended question	
7. <i>Does the regulation of the education sector define the responsibility to carry out disaster response preparedness activities in the area of its competence?</i>	
Indicator Overview	
<p>Disaster Risk Management (DRM) permanently requires the convergence and contribution of the different sectors of public administration and territorial management units. This indicator values the fact that the different regulatory frameworks of the sectors have responsibilities for response preparation activities from each area. This is an explicit recognition that the responsibilities in this process of preparation and response do not point only to the national coordinating body for DRM or for preparation and response, such as civil protection, but also to all other government sectors.</p> <p>Typical response preparedness activities include training, developing response plans and protocols, and conducting simulations or drills.</p> <p>Thus, this indicator recognizes as an attribute of quality that the normative framework of the education sector defines the responsibility to carry out preparedness activities for the response.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate whether the education sector's regulations establish responsibilities for carrying out disaster response preparedness activities. 2. If necessary, consult with representatives of the education sector about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RI-1B-12 RR-1B-11 RC-1B-5	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-2-8	If the sector has a National Emergency or Contingency Plan, ask for the regulations that mandate or support its elaboration.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the education sector's policy framework must establish the responsibility and roles for carrying out disaster response preparedness activities in its area of competence.</p> <p>The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.</p> <p>Not to be confused with the functions that may be established by the education sector's regulations on other ex-ante DRM processes such as risk identification, prevention or disaster mitigation actions.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Colombia 2013. Law 115 of February 8, 1994, by which the General Education Law (DP-1B-7a) is issued, lists in Article 5 the purposes of education, including in numeral 10 that *"The acquisition of an awareness for the conservation, protection and improvement of the environment, of the quality of life, of the rational use of natural resources, of the prevention of disasters, within an ecological culture and of the risk and the defense of the cultural heritage of the Nation"*. Specifically, in relation to response preparedness, Ministerial Directive No. 12 of July 2009, addressed to the secretariats of education of the certified territorial entities, on the continuity of the provision of educational services in emergency situations (DP- 1B-7b), orders in its preamble that these secretariats *"must participate in the regional and local committees for the prevention and attention of disasters"* (today Territorial Risk Management Committees), to *"develop local emergency and contingency plans"*.

Examples of non-compliance in countries of the region

Venezuela 2015. The Organic Law on Education published in the Official Gazette No. 5929 of August 15, 2009 and the General Regulations to the Organic Law on Education published in the Official Gazette No. 36,787 of September 15, 1999, do not define the responsibility to carry out disaster response preparation activities. Although the regulations of the education sector do not define this responsibility, the Venezuelan Standard COVENIN: Emergency Action Plan for Educational Facilities No. 3791:2002 establishes the minimum requirements and actions necessary for the formulation and preparation of an Emergency Action Plan for educational facilities, both public and private, at all levels. Although this norm COVENIN establishes the requirements to formulate the plans, nevertheless, it does not determine concrete responsibilities within the sector.

Code DP-1B-8

Closed-ended question	
8. Does the regulation of the tourism sector define the responsibility to carry out disaster response preparedness activities within the scope of its competencies?	
Indicator Overview	
<p>Disaster Risk Management (DRM) permanently requires the convergence and contribution of the different sectors of public administration and territorial management units. This indicator values the fact that the different regulatory frameworks of the sectors have responsibilities for response preparation activities from each area. This is an explicit recognition that the responsibilities in this process of preparation and response do not point only to the national coordinating body for DRM or for preparation and response, such as civil protection, but also to all other government sectors.</p> <p>Typical response preparedness activities include training, developing response plans and protocols, and conducting simulations or drills.</p> <p>Thus, this indicator recognizes as a quality attribute that the regulatory framework of the tourism sector defines the responsibility for response preparedness activities.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate whether tourism sector regulations establish responsibilities for disaster response preparedness. 2. If necessary, consult with representatives of the tourism sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-13 RR-1B-12 RC-1B-6	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-2-9	If the sector has a National Emergency or Contingency Plan, ask for the regulations that mandate or support its elaboration.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the tourism sector's regulatory framework must establish the responsibility and roles for carrying out disaster response preparedness activities within its area of responsibility.</p> <p>The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.</p> <p>Not to be confused with the functions that the tourism sector's regulations may establish over other ex-ante DRM processes such as risk identification, prevention or disaster mitigation actions.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Peru 2013. The Emergency Operations Plan for the Tourism and Foreign Trade Sector, approved by Ministerial Resolution N° 054-2008 MINCETUR-DM of March 31, 2008 (DP 1B-8a). This regulatory document establishes the Preparation and Response activities to be executed in the sector in compliance with the National Emergency Operations Plan.

Examples of non-compliance in countries of the region

Colombia 2013. The sector's regulations are defined by Law 300 of 1996, "by which *the General Law of Tourism is issued and other provisions are dictated*"; and its regulatory decrees, in addition to Law 1101 of 2006 that modifies Law 300 in some articles. In general, the focus of all the sector's legislation is to guarantee the control of the State over the private activities of tourist service providers, as well as to keep a record of the operators and to guarantee the protection of the environment and the consumer. The concept of "*tourist safety*" is mentioned in the Law, but there is no clear determination of responsibilities for disaster preparedness by the sector or by tour operators accredited with the Ministry of Commerce, Industry and Tourism, therefore the indicator is not met.

Code DP-1B-9

Closed-ended question	
9. <i>Does the regulation of the transport sector (or equivalent sector) define the responsibility to carry out disaster response preparedness activities within its scope of competence?</i>	
Indicator Overview	
<p>Disaster Risk Management (DRM) permanently requires the convergence and contribution of the different sectors of public administration and territorial management units. This indicator values the fact that the different regulatory frameworks of the sectors have responsibilities for response preparation activities from each area. This is an explicit recognition that the responsibilities in this preparation and response process do not point solely to the national body responsible for DRM or for preparation and response.</p> <p>Typical response preparedness activities include training, developing response plans and protocols, and conducting simulations or drills.</p> <p>Thus, this indicator recognizes as a quality attribute that the regulatory framework of the transport sector (understood as road works), defines the responsibility to carry out activities to prepare for the response.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate whether the transport sector's regulations establish responsibilities for carrying out disaster response preparedness activities. 2. If necessary, consult with representatives of the transport sector on the existence of regulations that allow this indicator to be validated. 	
Link to other indicators	
RI-1B-14 RR-1B-13 RC-1B-7	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-1B-16	If the sector has a National Emergency or Contingency Plan, ask for the regulations that mandate or support its elaboration.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulatory framework of the transport sector, understood as road works, must establish competencies and functions to carry out disaster response preparedness activities in its area of competence.</p> <p>The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.</p> <p>Not to be confused with the functions that may be established by the transport sector regulations on other ex-ante DRM processes such as risk identification, prevention or disaster mitigation actions.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Chile 2013. Resolution No. 4391 of the Ministry of Public Works of December 9 (2010) which regulates the Internal Functional Organization of the General Directorate of Public Works, and establishes "2° *The General Sub-Directorate of Public Works is made up of ... The Department of Risk Prevention of Public Works, the Executive Secretariat of Environment and Citizen Participation, the Office of Emergency Attention of Public Works, the Office of ... Its objectives and general functions are: ...*

e) To propose, implement and control the Ministerial Action Plan for Emergencies derived from natural disasters or other causes that cause serious damage to people and public works. This Plan must ensure the adequate and timely response to emergencies and the due coordination between the National Emergency Office of the Ministry of the Interior and the Ministry of Public Works and its dependent Services..."

Examples of non-compliance in countries of the region

Bolivia 2015. The General Law No. 165 of Transport, enacted on August 16, 2011, establishes in Article 90. (Contingency Plan): *"The competent authority at the central level of the State, shall regulate and supervise that it is incorporated into the strategic and operational plans of all competent authorities, operators of the transport service in all its modes and those who provide complementary logistic services to transport, risk reduction actions and response to emergencies and disasters.* The responsibility for response preparations is not specified, although in the interview with the sector it was stated that there has been a unit in charge of preparations for many years, but that it is not currently active.

Code DP-1B-10

Closed-ended question	
10. Does the water and sanitation sector (or equivalent) regulation define the responsibility for carrying out disaster preparedness activities within its scope?	
Indicator Overview	
<p>Disaster Risk Management (DRM) permanently requires the convergence and contribution of the different sectors of public administration and territorial management units. This indicator values the fact that the different regulatory frameworks of the sectors have responsibilities for response preparation activities from each area. This is an explicit recognition that the responsibilities in this preparation and response process do not point solely to the national body responsible for DRM or for preparation and response.</p> <p>Typical response preparedness activities include training, developing response plans and protocols, and conducting simulations or drills.</p> <p>Thus, this indicator recognizes as a quality attribute that the water and sanitation sector policy framework (or equivalent) defines the responsibility for response preparedness activities.</p> <p>It should be noted that in some countries the water and sanitation sector involves several institutions responsible for governance, regulation (superintendency) and the provision of these types of services, where each of these institutions may have its own regulatory framework. Even in some countries the provision of water and sanitation services can be done under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility to carry out response preparedness activities must be defined, regardless of who the actor (public or private) is that must comply.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing and regulating) of the water and sanitation sector. 2. Find out if the regulations linked to the relevant actors (governing and regulating) of the water and sanitation sector establish responsibilities for carrying out disaster response preparedness activities. 3. If necessary, consult with representatives of the water and sanitation sector (or equivalent) about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RI-1B-15 RR-1B-14 RC-1B-8 DP-1B-13	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-2-11 DP-2-13	If the water and sanitation sector (or equivalent) and/or the company providing the public water and sanitation service has a National Emergency or Contingency Plan, ask for the regulations that mandate or support its preparation.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the normative framework applicable to at least one of the relevant actors in the water and sanitation sector (governing body or regulator) must establish responsibilities and functions for carrying out disaster response preparedness activities in its area of competence. It would be acceptable for such responsibilities and functions to be defined, not for the governing body or regulator, but directly for the service provider. What is important is that they be defined for some relevant actor in the sector.

The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.

This indicator will not be validated if the regulations refer to emergency response preparedness activities, without making it explicit that the notion of "emergencies" includes those caused by the occurrence of dangerous natural phenomena.

Not to be confused with the functions that may be established by the water and sanitation sector's regulations (or equivalent) over other ex-ante DRM processes such as risk identification, prevention or disaster mitigation actions.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Chile 2013. The Ministry of Public Works is the institution in charge of the Potable Water and Sanitation Sector. The Superintendence of Sanitary Services (SISS) is an autonomous institution dependent on this Ministry which also has the Directorate of Hydraulic Works and the General Directorate of Public Works. Resolution No. 4391 of the Ministry of Public Works of December 9, 2010, which regulates the Internal Functional Organization of the General Directorate of Public Works, states "2° *The General Sub-Directorate of Public Works is made up of ... The Department of Risk Prevention of Public Works, the Executive Secretariat of Environment and Citizen Participation, the Office of Emergency Attention of Public Works, the Office of ... Its objectives and general functions are: ... e) To propose, implement and control the Ministerial Action Plan for Emergencies derived from natural disasters or other causes that cause serious damage to people and public works. This Plan must ensure the adequate and timely response to emergencies and the due coordination between the National Emergency Office of the Ministry of the Interior and the Ministry of Public Works and its dependent Services...*".

Examples of non-compliance in countries of the region

Brazil 2017. Law No. 9,433, of January 8, 1997, which establishes the National Water Resources Policy, creates the National System of Water Resources Management, regulates paragraph XIX of Article 21 of the Federal Constitution, and modifies Article 1 of Law No. 8,001, of March 13, 1990, which modified Law No. 7,990 of December 28, 1989, does not define the responsibility for disaster preparedness activities within its competence. In turn, Law No. 9,984 of July 17, 2000, which deals with the creation of the National Water Agency – ANA (for its acronym in Portuguese), the federal entity for the implementation of the National Water Resources Policy and the coordination of the National Water Resources Management System, also does not establish any responsibility for carrying out disaster preparedness activities within its competence. When consulting Law No. 10.881 of 9 June 2004, which deals with management contracts between the National Water Agency and the entities that delegate the functions of the Water Agencies related to the management of water resources in the Union's domain and other measures It also does not mention the term disaster at any time and/or define the responsibility for disaster preparedness activities within its competence.

Code DP-1B-11

Closed-ended question	
11. <i>Does the regulatory framework of the telecommunications sector (or equivalent) define the responsibility for carrying out disaster response preparedness activities within the scope of its competencies?</i>	
Indicator Overview	
<p>Disaster Risk Management (DRM) permanently requires the convergence and contribution of the different sectors of public administration and territorial management units. This indicator values the fact that the different regulatory frameworks of the sectors have responsibilities for response preparation activities from each area. This is an explicit recognition that the responsibilities in this preparation and response process do not point solely to the national body responsible for DRM or for preparation and response.</p> <p>Typical response preparedness activities include training, developing response plans and protocols, and conducting simulations or drills.</p> <p>Thus, this indicator recognizes as a quality attribute that the regulatory framework of the telecommunications sector defines the responsibility for response preparedness activities.</p> <p>It should be noted that in some countries the telecommunications sector (understood as that which includes at least telephony services) involves several institutions in charge of governance, regulation (superintendency) and the provision of this type of service, where each of them may have its own regulatory framework. In some countries, the provision of telecommunications services may even be carried out under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility for response preparation activities must be defined, regardless of who the actor (public or private) is that must comply with it.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing and regulatory) of the telecommunications sector. 2. Investigate whether the regulations of the telecommunications sector, including any guidelines, technical regulations and concession contracts that may exist, establish responsibilities for carrying out disaster response preparedness activities. 3. If necessary, consult with representatives of the telecommunications sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-16 RR-1B-15 RC-1B-9 DP-1B-14	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-2-15	If the telecommunications sector and/or the company providing the public telecommunications service has a National Emergency or Contingency Plan, investigate the regulations that mandate or support its preparation.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the applicable regulatory framework should establish the responsibilities and functions of at least one of the relevant actors in the telecommunications sector (governing body, regulator or provider) to carry out disaster response preparedness activities in its area of competence. It would be acceptable for such responsibilities and functions to be defined, not for the governing body or regulator, but directly for the service provider. What is important is that they be defined for some relevant actor in the sector.

The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.

Not to be confused with the functions that may be established by the telecommunications sector regulations on other ex-ante DRM processes such as risk identification, prevention or disaster mitigation actions.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Chile 2013. Law No. 20478, Ministry of Transport and Telecommunications (2010) on recovery and continuity in critical and emergency conditions of the public telecommunications system, considers in Title VIII "Critical Telecommunications Infrastructure", Article 39 A, that "The Ministry, *through the Undersecretary of Telecommunications, shall develop a plan to safeguard the country's critical telecommunications infrastructure, in order to ensure the continuity of communications in emergency situations resulting from natural phenomena, widespread power failures or other disaster situations...*".

Examples of non-compliance in countries of the region

Guatemala 2013. Decree No. 94 - 96 of October 17, 1996 and its amendments issued by Decrees No. 115-97 of November 21, 1997 and No. 34-2012 of November 20, 2012 of the General Telecommunications Law, do not define the responsibility for carrying out disaster response preparedness activities within the scope of their powers.

Code DP-1B-12

Closed-ended question	
12. Does the energy sector regulation (or equivalent) define the responsibility for carrying out disaster response preparedness activities within the scope of its competencies?	
Indicator Overview	
<p>Disaster Risk Management (DRM) permanently requires the convergence and contribution of the different sectors of public administration and territorial management units. This indicator values the fact that the different regulatory frameworks of the sectors have responsibilities for response preparation activities from each area. This is an explicit recognition that the responsibilities in this preparation and response process do not point solely to the national body responsible for DRM or for preparation and response.</p> <p>Typical response preparedness activities include training, developing response plans and protocols, and conducting simulations or drills.</p> <p>Thus, this indicator recognizes as a quality attribute that the regulatory framework of the energy sector, understood as electrical energy, defines the responsibility to carry out response preparation activities.</p> <p>It should be noted that in some countries the energy sector involves several institutions responsible for the generation, transmission and distribution of electricity. Likewise, there could be institutions responsible for the steering, regulation (superintendency) and provision of this type of service, where each one of them may have its own regulatory framework.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing and regulatory) of the electricity sector. 2. Identify the institutions in charge of the generation, transmission and distribution of electrical energy. 3. Investigate whether the regulations of the electricity sector, including any guidelines, technical regulations and concession contracts that may exist, establish responsibilities for carrying out disaster response preparedness activities. 4. If necessary, consult with representatives of the electrical energy sector about the existence of regulations that allow the validation of this. 	
Link to other indicators	
RI-1B-17 RR-1B-16 RC-1B-10	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-1B-15	If the sector has a National Emergency or Contingency Plan, ask for the regulations that mandate or support its elaboration.
Description of the minimum situation required to consider the indicator met	

<p>For the indicator to be met, at least one of the following conditions must be satisfied:</p> <ul style="list-style-type: none"> - The regulatory framework applicable to at least one of the relevant actors in the energy sector (governing or regulatory body), should establish responsibilities and functions to carry out disaster response preparedness activities in its area of competence. - That there are regulations that establish responsibilities and functions to carry out disaster response preparedness activities for each of the institutions in charge of the generation, transmission and distribution of electrical energy. <p>The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.</p> <p>Not to be confused with the functions that may be established by the energy sector regulations on other ex-ante DRM processes such as risk identification, prevention or disaster mitigation actions.</p>
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>
<p>Examples of compliance in countries of the region</p>
<p>El Salvador 2016. Based on the mandates of the Law and the National Protection Plan, and in use of its legal powers within the energy sector, the General Superintendence of Electricity and Telecommunications, SIGET (based on its acronym in Spanish), approved, through Agreement 558 - E - 2013 of May 20, 2013 (DP-1B- 12a), the Basic Contents of the Emergency Plans for the electrical energy distribution companies, establishing that <i>"The distribution companies shall submit to the SIGET within 60 days as of the notification of this agreement (558-E-2013) a complete Emergency Plan composed of a General Manual of the Emergency Plan and the corresponding Procedures (literal c, recommendations); and that "The Emergency Plans shall be updated annually and the Distribution Companies shall submit to the SIGET, the Updated Manual no later than the sixteenth day of January of each year or the following business day"</i> (literal d). Agreement 558-E-2013 includes as an Annex the approved contents of the emergency plans, in which it is defined that it must contemplate all the events that could cause important disruptions of the electric power service, such as: hurricanes; tropical depressions; earthquakes; floods; storms; accidents and fires.</p>
<p>Examples of non-compliance in countries of the region</p>
<p>Ecuador 2016. The Organic Law of the Public Electricity Service does not contain specific provisions related to the responsibility of carrying out response preparation activities within the scope of the sector's competencies; the only reference is aimed at verifying the feasibility of providing electricity services based on a technical document issued by the National Secretariat of Risk Management (Art.65).</p>

Code DP-1B-13

Closed-ended question	
13. Do the regulations that govern the entities that provide public water and sanitation services require the formulation and implementation of emergency, contingency or business continuity plans in the event of disasters?	
Indicator Overview	
<p>It is a fundamental objective of Disaster Risk Management (DRM), and specifically of the processes of preparation for response, that once a certain disaster has occurred, those functions and services that have been partially or totally suspended should be diligently identified, and that by their nature and importance their restoration should be critical.</p> <p>This indicator values the fact that the regulations governing entities that provide public water and sanitation services, given their strategic importance for the recovery of society's normality in the event of a disaster, establish the obligation for these entities to formulate and implement emergency, contingency or business continuity plans in the face of disasters, thus providing the organization with due resilience.</p> <p>It should be noted that in some countries the water and sanitation sector involves several institutions responsible for governance, regulation (superintendency) and the provision of these types of services, where each of these institutions may have its own regulatory framework. Even in some countries the provision of water and sanitation services can be done under the scheme of concessions, public-private partnerships or by private providers.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the actors (governing and regulating) of the water and sanitation sector. 2. Investigate whether the regulations related to the actors (governing and regulating) of the water and sanitation sector (including the guidelines, technical regulations and concession contracts that may exist), establish the responsibility of the entities that provide public water and sanitation services to formulate and implement emergency, contingency or business continuity plans in the event of disasters. 3. If necessary, consult with representatives of the water and sanitation sector (or equivalent) about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RI-1B-15 RR-1B-14 RC-1B-8 DP-1B-10	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-2-11 DP-2-13	If the water and sanitation sector (or equivalent) and/or the water and sanitation public service provider have a National Emergency or Contingency Plan, investigate the regulations that support them.
Description of the minimum situation required to consider the indicator met	

In order for the indicator to be met, the regulations that govern the entities that provide public water and sanitation services must establish the responsibility for preparing emergency, contingency or business continuity plans in the event of disasters.

The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.

This indicator cannot be verified solely on the basis of the existence of emergency, contingency or business continuity plans for disasters of one or more public water and sanitation service providers.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Colombia 2013. The technical regulation of the potable water and basic sanitation sector RAS (for its acronym in Spanish) - 2000, approved by Resolution No. 1096 of 2000 (DP-1B-13a) and which is mandatory for the sector; obliges the elaboration of "*Contingency Plans*", and defines in article 201 that these plans "*must be based on the potential risk scenarios of the system that must be obtained from the vulnerability analysis carried out according to the threats that can seriously affect it during its useful life. The contingency plan must include general procedures for emergency attention and specific procedures for each identified risk scenario*".

Examples of non-compliance in countries of the region

Venezuela 2015. Organic Law for the Provision of Potable Water and Sanitation Services of December 31, 2001, only establishes in the "*Obligations of the Service Providers*", Article 65, literal "q. to provide immediate assistance to the authorities in cases of emergency or public calamity, in matters related to the services referred to in this Law" but does not oblige the formulation and implementation of continuity of operations or business plans in case of disasters.

Code DP-1B-14

Closed-ended question	
14. Do the regulations that govern the entities that provide public telecommunications services require the formulation of emergency, contingency or business continuity plans in the event of disasters?	
Indicator Overview	
<p>It is a fundamental objective of Disaster Risk Management (DRM), and specifically of the processes of preparation for response, that once a certain disaster has occurred, those functions and services that have been partially or totally suspended should be diligently identified, and that by their nature and importance their restoration should be critical.</p> <p>This indicator values the fact that the regulations governing entities that provide public telecommunications services (understood as those that include at least telephony services), given their strategic importance for the recovery of society's normality in the event of a disaster, establish the obligation for these entities to formulate and implement emergency, contingency or business continuity plans in the event of disasters, thus providing the organization with due resilience.</p> <p>It should be considered that in some countries the sector involves several institutions in charge of the steering, regulation (superintendency) and provision of this type of service where each of these institutions may have its own regulatory framework. Even in some countries, the provision of telecommunications services can be carried out under the scheme of concessions, public-private partnerships or by private providers.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the actors (managers, regulators and providers) of the telecommunications sector. 2. Investigate whether the regulations related to the actors (regulators and providers) of the telecommunications sector (including the guidelines, technical regulations and concession contracts that may exist) establish the responsibility of the entities providing public telecommunications services to formulate and implement emergency, contingency or business continuity plans in the event of disasters. 3. If necessary, consult with representatives of the telecommunications sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-16 RR-1B-15 RC-1B-9	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP 1B-11 DP-2-15	If the telecommunications sector and/or the company providing the public telecommunications service has a National Emergency or Contingency Plan, investigate the regulations that support it.
Description of the minimum situation required to consider the indicator met	

In order for the indicator to be met, the regulations governing entities providing public telecommunications services must establish the responsibility for preparing emergency, contingency or business continuity plans in the event of disasters.

The justification recommends detailing the disaster response preparedness activities defined in the identified regulations.

This indicator cannot be verified with the sole existence of emergency, contingency or business continuity plans in the face of disasters of one or more public telecommunications service providers.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Chile 2013. Law No. 18168, General Telecommunications Law, of the Ministry of Transport and Telecommunications, of September 15, 1982 (DP-1B-14a), General Telecommunications Law; considers in "TITLE VIII - Critical Telecommunications Infrastructure", Article 39 A, that *"The Ministry, through the Undersecretary of Telecommunications, shall develop a plan to safeguard the country's critical telecommunications infrastructure, in order to ensure the continuity of communications in emergency situations resulting from natural phenomena, widespread power failures or other disaster situations. For this purpose, it will have the following attributions..."*.

Examples of non-compliance in countries of the region

Colombia 2013. Law 1341 of 2009, *"By which principles and concepts are defined about the information society and the organization of the Information and Communication Technologies -TIC- (for its acronym in Spanish), the National Agency of Spectrum is created and other provisions are issued"*. Paragraph 2 of Article No. 8 on *"telecommunications in cases of emergency"*, establishes that *"in order to meet the needs related to the reasons for the declaration of an emergency (...), and in particular to ensure continuity in the provision of telecommunications services and networks, the provision of telecommunications networks and services is declared as being of public utility"*. However, this norm does not oblige the formulation of continuity plans of business as such in emergency situations.

Code DP-1B-15

Closed-ended question	
15. <i>Do the regulations that govern the entities in charge of generating, transmitting and providing public energy services require the formulation of emergency, contingency or business continuity plans in the event of disasters?</i>	
Indicator Overview	
<p>It is a fundamental objective of Disaster Risk Management (DRM), and specifically of the processes of preparation for response, that once a certain disaster has occurred, those functions and services that have been partially or totally suspended should be diligently identified, and that by their nature and importance their restoration should be critical.</p> <p>This indicator values the fact that the regulations governing entities in charge of generating, transmitting and providing public energy services, given their strategic importance for the recovery of society's normality in the event of a disaster, establish the obligation for these entities to formulate and implement emergency, contingency or business continuity plans in the event of disasters, thus providing the organization with due resilience.</p> <p>It should be considered that in some countries the energy sector involves several institutions in charge of the steering, regulation (superintendency) and those in charge of the generation, transmission and provision of this type of service, where each of these institutions may have its own regulatory framework.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the actors (rectors, regulators, generators, transmitters and providers) of the energy sector. 2. Investigate whether the regulations related to the actors (governors, regulators, generators, transmitters and providers) of the energy sector (including the guidelines, technical regulations and concession contracts that may exist) establish the responsibility that these entities of the public energy service must formulate and implement emergency, contingency or business continuity plans in the event of disasters. 3. If necessary, consult with representatives of the energy sector on the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RI-1B-17 RR-1B-16 RC-1B-10	Check whether the regulations used for these indicators allow for the verification of this indicator.
DP-1B-12	If the sector has a National Emergency or Contingency Plan, investigate the regulations that support it.
Description of the minimum situation required to consider the indicator met	

In order to comply with the indicator, the regulations that govern the entities that provide public energy services must establish the responsibility to prepare emergency, contingency or business continuity plans in case of disasters for the entities that generate, transmit and provide energy services.

The justification recommends detailing the disaster response preparedness activities defined in the regulations identified for the entities responsible for power generation, transmission and distribution.

This indicator cannot be verified solely on the basis of the existence of emergency, contingency or business continuity plans in the face of disasters of the entities responsible for the generation, transmission and distribution of energy.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Venezuela 2015. The Organic Law of the Electric System and Service, published in the Official Gazette N°. 39,573 dated December 14, 2010 (DP-1B-15a), establishes in its article 23 that *"The Ministry of the People's Power with competence in matters of electrical energy, with the technical support of the operator and service provider, will prepare the contingency plan, in order to guarantee the security of the system and the continuity of the electrical service, in accordance with the applicable legal system"*.

Examples of non-compliance in countries of the region

Brazil 2017. Law No. 9,427, of December 26, 1996, which establishes the National Electric Energy Agency – ANEEL (for its acronym in Portuguese), regulates the regime of concessions for public electric energy services and provides other measures, and Law No. 12,334, of September 20, 2010, which establishes the National Dam Safety Policy for the accumulation of water for any use, the final or temporary disposal of tailings and the accumulation of industrial waste, creates the National Dam Safety Information System and modifies the wording of Article 35 of Law No. 9.433, of 8 January 1997, and Article 4 of Law No. 9.984, of 17 July 2000, as well as Decree No. 2.335, of 6 October 1997, which establishes the National Agency of Electrical Energy - ANEEL, as a special regime authority, approves its Regional Structure and the Demonstration Framework. Commission positions and reliable functions and other provisions, or in Decree No. 41,019 of February 26, 1957, which regulates electricity services, does not mention the obligation to formulate business continuity or disaster plans. In line with the information found, during an interview with the management team of one of the largest energy companies in the country (Tractebel, Angie), it was reported that they also do not know specific rules for these cases.

Code DP-1B-16

Closed-ended question	
16. <i>Are there regulations that establish the obligation to formulate and implement emergency or contingency plans associated with the storage, transport, handling or processing of hazardous substances?</i>	
Indicator Overview	
The anthropic threat posed by spills, pollution or explosions of hazardous substances sometimes interacts with natural hazards, increasing risk levels. Given that the actors involved in the response to this type of phenomena are usually the same ones who respond to emergencies and disasters, the existence of regulations governing the storage, transport, handling and processing of hazardous substances is considered a quality attribute.	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Inquire about specific regulations governing the storage, transport, handling or processing of hazardous substances. 2. Inquire about regulations in the environmental, health, land transport of hazardous substances or in the specific of DRM or emergency response preparations and disasters. 3. Identify if such regulations indicate the obligation to develop specific emergency or contingency plans for cases of accidents or anthropic disasters related to the storage, transport, handling or processing of these hazardous substances. 	
Link to other indicators	
DP-1B-1 DP-1B-17	Check whether the regulations used for these indicators allow for the verification of this indicator.
Description of the minimum situation required to consider the indicator met	
<p>In order for this indicator to be met, the regulations identified must establish the obligation to formulate and implement emergency or contingency plans associated with the storage, transport, handling or processing of hazardous substances.</p> <p>It will not be possible to verify this indicator if the identified regulations only cover hydrocarbons, since the spirit of this indicator is that there is coverage for different types of hazardous substances.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Peru 2013. Law No. 28256, Law Regulating the Land Transportation of Hazardous Materials and Waste, June 18, 2004 (DP 1B-16a) - contains in its Article 9, of the Contingency Plans "The main <i>holders of the activity that use hazardous materials are obliged to elaborate or require the contractor companies to intervene in the production, storage, packaging, transport, handling, use, reuse, treatment, recycling and final disposal of hazardous materials and waste, a contingency plan that will be approved by the corresponding Sector, for the purposes of environmental control and inspection</i>".</p>	

Examples of non-compliance in countries of the region
<p>Guatemala 2013. The relevant regulations of the environmental, health, transportation and specific solid waste management sectors were reviewed and no regulations were found that establish the obligation to formulate and implement emergency or contingency plans associated with the transportation, handling or processing of hazardous substances. The 2010 National Profile on the Rational Management of Chemicals and Hazardous Wastes in Guatemala states that Guatemala does not have a chemical emergency plan and that the Globally Harmonized System of Classification and Labeling of Chemicals (GHS) is not being applied at the national level.</p>

Code DP-1B-17

Closed-ended question	
17. Are there regulations that establish the obligation to formulate and implement emergency or contingency plans for oil spills, combustion or pollution?	
Indicator Overview	
<p>A long chain of effects and their prolongation in time are some of the negative consequences of accidents related to the spill, combustion or contamination by hydrocarbons, without forgetting to consider their onerous recovery process, comparable to that of accidents by dangerous substances. In addition, this type of accidents are sometimes generated by natural phenomena.</p> <p>Due to the nature of these types of accidents, they involve several sectors, since they do not only concern the oil companies, but also the environmental, energy, health, transportation (land and sea) sectors, as well as the fire department, among others. This indicator gives value, in the framework of the process of preparation for the response, to the obligation of elaborating emergency plans related to this type of accidents, mainly because of the coordination exercise it requires.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of specific regulations on hydrocarbons that regulate their spillage, combustion or contamination. 2. Identify the regulations of the sectors that could be involved in relation to the spill, combustion or contamination by hydrocarbons: national oil, environmental, energy, health, transport (land and sea), fire department, etc., in order to identify if any of these regulations establish the obligation to prepare emergency or contingency plans related to this type of accident. 3. Review, if applicable, the specific DRM regulations or the regulations on preparations for response to emergencies and disasters, in case there is any reference in any of them. 	
Link to other indicators	
DP-1B-1 DP-1B-16	Check whether the regulations used for these indicators allow for the verification of this indicator.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with this indicator, the regulations identified must establish the obligation to formulate and implement emergency or contingency plans associated with the spill, combustion or contamination by hydrocarbons.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Costa Rica 2014. Law No. 7227 Convention for the Protection and Development of the Marine Environment of the Wider Caribbean Region of April 22, 1991 (DP-1B-17a) refers to the following: "*Article 3. General provisions... 2 The Contracting Parties shall, within their capabilities, establish and maintain or cause to be established and maintained the means for dealing with oil spill incidents and shall endeavour to reduce the risks thereof. Such means shall include the enactment, where necessary, of relevant legislation, the preparation of emergency plans, the identification and development of means to deal with oil spill incidents and the designation of an authority responsible for this Protocol. Article 11. Cooperation in cases of emergency... 1 The Contracting Parties shall cooperate to take all necessary measures to deal with emergencies of pollution occurring in the Convention area, from whatever cause, and to control, reduce or eliminate pollution or the threat of pollution resulting from it. To this end the Contracting Parties shall, individually or jointly, draw up and promote plans to deal with incidents involving pollution or the threat of contamination of the area of application of the Convention*".

Examples of non-compliance in countries of the region

Bahamas 2017. Chapter 275 of the Merchant Shipping (Oil Pollution) Act 1974 (updated in 2009) incorporates MARPOL 73/78 (International Convention for the Prevention of Pollution from Ships, 1973 as modified by the Protocol of 1978) into national law and prohibits discharges of oil or mixtures into Bahamian waters in section 5. There is a National Oil Spill Contingency Plan which was approved by Cabinet in 1999, which derives in part from the Caribbean Islands Oil Pollution Preparedness Response and Co-operation Plan. Despite the existence of such plan, no legislation that mandates its development and implementation could be found.

Code DP-1C-1

Closed-ended question	
1. Do the regulations governing the preparation and response processes provide for coordination bodies in the territory?	
Indicator Overview	
<p>This indicator seeks to ensure that DRM or Preparation and Response regulations provide for the existence of Preparation and Response coordination bodies at the local level, helping the Territorial Management Units (TMUs) to regulate and standardize preparedness actions and operations, which helps reduce delays and improvisation in response tasks.</p> <p>As a quality criterion of the regulations, therefore, the existence of instances of coordination of the preparation and response processes in the TMUs is valued.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the existing territorial management units in the country. 2. Investigate the DRM regulations or those that regulate the processes of preparation and response, if coordination instances are established in the territory to carry out the processes of preparation and response to disasters. 3. If necessary, check with the lead institution for DRM or the preparation and response processes on compliance with this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1 RI-1C-1 RR-1C-1	Check whether the regulations used for these indicators allow for the verification of this indicator.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must explicitly establish the coordination bodies that will carry out the emergency and disaster Preparation and Response processes in the territorial management units.</p> <p>If the regulations establish general coordination bodies for DRM in the TMUs, the justification must state that preparations and response are part of the scope and processes of DRM defined in the regulations. Likewise, the instances defined in the regulations for the different territorial levels must be explicitly indicated.</p> <p>If the regulations identified do not establish coordination bodies for the different TMUs existing in the country (regions, states, provinces, departments, municipalities, cantons, etc.), this indicator can be validated if at least the same are established at the municipal (district) level.</p> <p>This indicator will not be validated if the regulations identified assign responsibilities only for the analysis of threats or vulnerability analysis, since the indicator seeks to validate the combination of both analyses that result in an estimate of the risk.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. You can consult other results of the iGOPP applications at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Jamaica 2013. Section 5 of the Disaster Preparedness and Emergency Act mandates the collaboration with the local government authorities for supporting disaster preparedness and mitigation activities. The Act mandated the development of a National Disaster Management Plan that establishes a National Emergency Operation Centre as well as Emergency Operations Centers at the local level for each parish. The Plan outlines an organizational chart for coordination.

" *Concept of operations: Regional Emergency Operations Centers (REOC's) will be activated in cases where only a few parishes are affected, in which events the ODP will relate to the appropriate REOC*".

Examples of non-compliance in countries of the region

Argentina 2014. According to Decree 1697/2004 the National Direction of Civil Protection has the following functions: "To coordinate the *formulation of the plans and activities of preparation and attention to disasters to be developed by the organisms of Civil Protection/Defense of the Provinces and the Autonomous City of Buenos Aires. To promote the coordination of efforts with other organisms of the National, Provincial and Municipal State and civil organizations, with respect to the treatment that they demand an integral action in the matter*". The Emergency Operations Center (COE) (for its acronym in Spanish) is the body that conducts operations in the field, which is constituted by the Governor (at the provincial level) or the Mayor (at the municipal level) in the event of an emergency. The existence of the COE is not formalized in regulations at the national level and it has not been possible to verify in all provinces and municipalities of the country regulations adopted by the respective COEs.

Code DP-1C-2

Closed-ended question	
2. Do the regulations governing the preparation and response processes establish criteria for subsidiary assistance between different levels of government?	
Indicator Overview	
<p>This indicator recognizes as a quality attribute in national DRM or Preparation and Response regulations if criteria are established for subsidiary assistance between different levels of government in tasks related to disaster response. This means a sort of graduality principle, by which the regulations provide that the lower territorial level, in the event of an emergency or disaster, will initially be responsible for executing 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, so that the higher territorial level will have to resume those tasks and so on, and it will be until the territorial levels have been exhausted (according to the political-administrative model of the country in question) that the action of the national government will be activated.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the DRM regulations or those that regulate the processes of preparation and response, if criteria of subsidiarity are established between the different levels of government for the response to emergencies and disasters. 2. If necessary, inquire with the DRM lead institution or the preparation and response processes about compliance with this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1	Check whether the regulations used for these indicators allow for the verification of this indicator.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, the regulations identified must establish the principle or criteria for subsidiary assistance among the different levels of government.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Honduras 2014. Decree PCM-051-2013 State Policy for Integrated Risk Management in Honduras, published in La Gaceta on November 26, 2013 (DP-1C-2a). Within the principles of this policy is considered "(f) <i>Autonomy, subsidiarity and decentralization. A higher level should only take action when the lower level has no functional territorial hierarchy or when for some reason it is not in a position to decide or act or when its decision-making capacity is overwhelmed by the magnitude of the effects of the disaster. Municipal governance capacities will be strengthened and assisted subsidiarily with the support of central public entities and civil society</i>".</p>	
Examples of non-compliance in countries of the region	

Costa Rica 2014. Although the principle of solidarity exists in the National Law of Emergencies and Risk Prevention, it is from state institutions to the population and not between levels of government. The closest to the subsidiary principle is contained in the National Plan for Risk Management 2010-2015, which defines: *"Integral management process: Risk management is based on an integrated approach, in which the organs, structures, methods, procedures and resources of the central administration, decentralized administration, public enterprises and local governments are articulated, seeking the participation of the private sector and organized civil society"*.

Code DP-1C-3

Closed-ended question	
3. Do the regulations governing the preparation and response processes establish the formulation of emergency or contingency plans at the level of the Territorial Management Units?	
Indicator Overview	
<p>This indicator recognizes the importance of emergency plans being formulated from territorial management units, with the understanding that disaster management from the local level will always be faster and more responsive to the real needs of the affected population.</p> <p>Planning the actions of local authorities in response to disasters is considered a quality attribute. Thus, this indicator requires that the regulations governing DRM components or Preparation and Response processes instruct the preparation of such emergency or contingency plans at the level of territorial management units.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify whether the DRM or Preparation and Response regulations mandate the formulation of emergency or contingency plans at the level of territorial management units. 2. If necessary, check with the lead institution for DRM or the preparation and response processes on compliance with this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1 RI-1C-1 RR-1C-1	Check whether the regulations used for these indicators allow for the verification of this indicator.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the regulations identified must establish the obligation or responsibility for the formulation of emergency or contingency plans at the level of the territorial management units.</p> <p>If the regulations establish the formulation of DRM plans, the justification must state that emergency or contingency planning is an integral part of disaster risk management plans.</p> <p>If the regulations identified do not establish this obligation for the different TMUs in the country (regions, states, provinces, departments, municipalities, cantons, etc.), this indicator can be validated if at least the same is established for the municipal (district) level.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/</i></p>	
Examples of compliance in countries of the region	

Colombia 2013. Law 1523 of April 24, 2012, which adopts the national policy on disaster risk management and establishes the National System of Disaster Risk Management and other provisions (DP-1C-3a), defines in Article 33 the Risk Management Plan as "... *the instrument that defines the objectives, programs, actions, responsible persons and budgets, through which the processes of... disaster management... are executed, shall address the actions necessary for... the preparation for the response to emergencies...*". Additionally, in the Article 37 it is stated that "*Departmental, district and municipal authorities shall formulate and agree with their respective risk management councils on a disaster risk management plan and a strategy for the response to emergencies in their respective jurisdiction, in harmony with the national risk management plan and response strategy. The plan and strategy, and its updates, shall be adopted by decree issued by the governor or mayor, as the case may be, within ninety (90) days from the date this law is enacted.*"

Examples of non-compliance in countries of the region

Paraguay 2017. No evidence was found in this regard, assigning the responsibility or obligation that the territorial authorities (municipalities and departments) must prepare emergency or disaster risk management plans. They were analyzed: (i) Law No. 2615/05 creating the Secretariat of National Emergency (S.E.N.) (for its acronym in Spanish) approved on June 10, 2005, published in the Official Gazette No. 53 of June 15, 2005; (ii) Decree No. 11,632 which regulates Law No. 2615/05 creating the Secretariat of National Emergency (S.E.N.), published in the Official Gazette No. 53 of June 15, 2005.E.N) approved on August 12, 2013; and (iii) Decree No. 3713/15, which expands and partially amends Decree No. 11,632/2013 regulating Law No. 2615/05 creating the Secretariat of National Emergency (SEN), approved on June 30, 2015.

Code DP-1C-4

Closed-ended question	
4. Are there any national regulations, other than DRM or preparatory regulations that define competencies for territorial management units in preparation and response?	
Indicator Overview	
<p>Disaster Risk Management (DRM), in the fulfillment of its objectives, must be harmonized with the different models of political-administrative organization, especially when it comes to differentiating between the national or central level, and what corresponds to the Territorial Management Units (TMU). In this case, this indicator attaches significant value to the existence of a definition of competencies for the TMUs in matters of disaster response preparedness within the regulations governing the general competencies of the TMUs, since it contributes to the express regulations of DRM or Preparation and Response.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of national regulations on matters other than DRM and the preparations and response that regulate the competences of the TMUs. 2. Verify if such specific regulations establish competences for the TMUs in the processes of preparation and response to emergencies and disasters. Possible verifiable rules may be: municipal regulations, autonomy regulations, decentralization regulations, territorial regulations or regional planning regulations, etc. 3. If necessary, inquire with the DRM lead institution or the preparation and response processes, or with national associations of municipalities about compliance with this indicator. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified, other than DRM and Preparation and Response, must explicitly establish competencies for TMUs in disaster Preparation and Response.</p> <p>If the regulations establish competences for the TMUs for DRM, the justification must state that the preparations and response are part of the scope and processes of DRM defined in the regulations. Likewise, the justification must indicate the competencies defined for the territorial management units in the regulations with regard to disaster Preparation and Response.</p> <p>If the regulations identified do not establish competencies for the different TMUs in the country (regions, states, provinces, departments, municipalities, cantons, etc.), this indicator can be validated if at least the same are established for the municipal (district) level.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Bolivia 2015. Article 100 (Risk Management and Response to Natural Disasters) of the Framework Law on Autonomies and Decentralization No. 031, enacted on July 19, 2010 (DP-1C-4a), states that *"In application of Paragraph II of Article 297 of the Political Constitution of the State and Article 72 of the present Law, the residual competence of risk management is incorporated"*, establishing exclusive competences for the central level of the State, departmental level, municipal level and governments of the indigenous autonomies. In section II of this article, the exclusive competencies for the departmental level include the following: *"1. To form and lead departmental committees for risk reduction and disaster attention, in coordination with municipal committees... 5. To develop early warning systems linked to more than one municipality; 6. To declare disaster and/or emergency, based on the respective classification and response and integral recovery actions in a concurrent manner with the municipal and indigenous native peasant governments"*. Additionally, in section III, it defines among the exclusive competencies for the municipal level, the following: *"(...) 2. To regulate, form and lead municipal committees for risk reduction and disaster response. (...) 8. To implement early warning systems. (...) 12. Declare disaster and/or emergency, according to the corresponding categorization. Execute response and integral recovery from its budget"*.

Examples of non-compliance in countries of the region

Costa Rica 2014. Law No. 7794 Municipal Code of April 27, 1998, is the regulation that defines the powers of territorial units, however, related to risk only considers in its Article 13 as the power of the Council to dictate the measures of urban planning, and does not provide at all issues related to disasters or emergencies.

Code DP-1C-5

Closed-ended question	
5. Are there regulations authorizing municipalities to use their own resources outside their jurisdiction in emergency situations?	
Indicator Overview	
In some countries legislation may restrict municipalities from spending resources under their jurisdiction for the benefit of another municipality. This indicator considers the joint effort of various municipalities in responding to emergencies or disasters to be desirable and therefore values the existence of regulations that allow a municipality to support other municipalities with resources if required. The resources could be both financial and in kind.	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the regulations that establish the powers of the municipalities, regulations on territorial autonomy or regulations that govern the processes of public and territorial investment. 2. Investigate the existence of specific regulations that enable the use of economic or in-kind resources for disaster response between municipalities. 3. Identify recent experiences of mutual aid between municipalities in case of emergencies and disasters, and investigate with the municipalities involved the normality that allows it. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
For the indicator to be met, there must be regulations that allow the use of economic disaster response. If recent experiences of mutual aid between municipalities are identified, they should be noted in the justification even if the indicator was not verified due to lack of regulations.	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Venezuela 2015. The Decree with the force of law of the National Organization for Civil Protection and Disaster Management published in the Official Gazette, No. 5557 Extraordinary, on November 13, 2001 (DP-1C-5a), establishes in its article 25 that among the responsibilities assigned in the National Plan for Civil Protection and Disaster Management, they must include the cooperation and mutual aid of the bordering state and municipal agencies with respect to the available capacities and coverage of the geographical space where the disaster occurs.</p>	
Examples of non-compliance in countries of the region	
<p>Paraguay 2016. No regulations have been identified that enable municipal governments to use their own resources outside their jurisdiction in emergency situations, whether financial or otherwise. They were analyzed: (i) Law No. 2615/05 creating the Secretariat of National Emergency, approved on June 10, 2005 and published in the Official Gazette No. 53 on June 15, 2005; (ii) Law No. 3,966/10 on Municipal Organisms, of February 8, 2010, published in the Official Gazette No. 28 of February 10, 2010; and (iii) Law No. 426/94 establishing the Organic Charter of the Departmental Government, approved on December 7, 1994.</p>	

Code DP-2-1

Closed-ended question	
1. <i>Has the national entity responsible for coordinating the preparation of the response received resources for these functions in the last fiscal period?</i>	
Indicator Overview	
<p>It is considered a good practice that resources are allocated from the national body responsible for coordinating response preparedness to fund response preparedness activities. Response preparedness activities may include, among others: drills, installation and/or strengthening of early warning systems, training in Preparation and Response, procurement of response equipment and supplies, communication and awareness campaigns on response preparedness, etc.</p> <p>It is not enough that this budget allocation be exclusively for the functioning of the national-level preparedness coordinating entity; this indicator values that this entity is also allocated resources to plan and implement response preparedness activities.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the existence and powers of the national entity in charge of coordinating the preparations for the response. 2. Verify that in the last fiscal period financial resources have been assigned to that entity. This can be verified in the national budget, in the budget execution and expenditure reports, or in the annual operating and management plan of the entity. 3. Consult with the tax, economic or financial authorities, specifically with the areas in charge of budgetary issues. 4. If necessary, consult with the national entity in charge of coordinating response preparedness on the fulfilment of this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1	The standard reviewed or used to verify these indicators could contain information on which national entity is responsible for coordinating response preparations.
GF-2-3	If there is an expenditure object or budget classifier in the national budget for allocating resources to ex-ante disaster risk management activities, verify whether resources have been allocated to the national body responsible for coordinating response preparedness to enable verification of this indicator.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the following conditions must be satisfied:</p> <ol style="list-style-type: none"> 1. Evidence of the existence of a national body responsible for coordinating response preparedness. Among the names generally used to designate this entity are "Protección Civil", "Defensa Civil", "Oficina Nacional de Emergencias", among many others. There are countries in which the leading entity of disaster management is responsible for coordinating response preparedness, and it does so through one of its units, departments, directorates, etc. 	

2- Evidence of the allocation of resources to that entity, from the national budget for activities such as drills, training, plan development, communication and awareness campaigns on response preparations, brigade equipment, etc.

It is not enough to evidence the budget allocation for the operation (current expenses such as personnel, vehicle fuel, stationery, etc.) of the national entity responsible for coordinating the response preparedness. It is essential to demonstrate that these resources have been allocated to carry out activities such as those mentioned above.

In the justification, if possible, it is advisable to detail both the types of response preparedness activities and the total amount of resources allocated for this purpose.

This indicator will not be met if the resources come from, or the disaster preparedness activities are carried out with, funding from international cooperation institutions, the private sector or another source other than the national budget.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Chile 2013. In the strategic definition sheet year 2012-2014 (Form A1), in the Item 05, chapter 04, National Emergency Office is evidenced the allocation of resources for the strategic product 1, which consists of *"Modernization of emergency management and early warning in the State"*, and is described as *"Development, strengthening and consolidation of the National Seismic Monitoring Network, the National Telecommunications Network, the Emergency Alert System (SAE) (for its acronym in Spanish) and the use of digital tools for the control and monitoring of emergencies"*. Also, through the development of regional investment projects for the strengthening of Early Warning systems in the territory. It is worth mentioning that this Form must be submitted by all services to the Budget Division at the time of submitting their budgets for approval and resource allocation.

Examples of non-compliance in countries of the region

Dominican Republic 2014. It was found that Law No. 311-12, State General Budget Law 2013 (DP-2-1a), approved in 2012, allocates resources for

National Emergency Commission: RD\$ 35,383,732.00

Civil Defense: RD\$ 70,886,972.00

Although the Emergency Operations Center (which is a unit of the National Emergency Commission), is headed by a Civil Defense official and is based in the Civil Defense, it has not been possible to verify whether the above-mentioned funds (or part of them) are allocated to particular Preparation and Response activities. In addition, the Regulation for the Application of Law No. 147- 02 on Risk Management states that *"the COE will request the necessary resources from the different institutions, in accordance with the National Emergency Plan"*. Nor was it possible to find evidence of the resources provided by other institutions.

Code DP-2-2

Closed-ended question	
2. <i>Has at least one national fire department received funding for disaster preparedness activities in the last fiscal period?</i>	
Indicator Overview	
<p>The work of fire departments in disaster situations is essential to reduce the impact of the disaster, especially in terms of deaths and injuries. Firefighters help evacuate the population at risk, rescue people in danger, especially the most vulnerable, perform first aid tasks, transfer the most seriously injured to hospitals, and even in the case of fires, help mitigate the disaster. The fire departments tend to have a widespread presence throughout the country, especially in urban areas where the population is concentrated. In order for firefighters to effectively carry out their work in emergencies, it is essential that they are properly equipped and trained, and that they have a sensitized population to facilitate and assist in their work.</p> <p>This indicator recognizes the importance of resource allocation for at least one national fire department for response preparedness activities. Such activities/expenses include: acquisition of response equipment, drills, training, development of emergency plans, communication and awareness campaigns, etc.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the organization of fire departments in the country. 2. Determine if at least one national fire department has resources allocated for response preparedness activities, either in the national budget or in budget execution and expenditure reports, the budget of the ministry on which the fire department depends, the fire department's operational plan, fire department regulations, or fire department management reports. 3. In case the resources for the fire department come from a percentage of the insurance premium or from other sources than public resources, it has to be proved that such resources are allocated to the fire department, by looking for example at reports of the insurance superintendence or insurance companies or the insurance guild. 4. If necessary, consult with fire department representatives on the allocation of resources and implementation of response preparedness activities. 5. In the event that there is no national fire department, but that these brigades are municipal or similar, it will be necessary to confirm whether the capital city fire department has received resources in the last fiscal year. 	
Link to other indicators	
DP-2-3	In some countries the fire departments are also responsible for the prevention and extinction of forest fires. If this is the case in the country under analysis, indicator DP-2-3 would provide guidance on compliance with this indicator.
Description of the minimum situation required to consider the indicator met	

For this indicator to be met, there must be evidence of resource allocation to at least one national fire department for response preparedness activities in the last fiscal year. Such activities could include the following: acquisition of response equipment, simulations, training, and preparation of plans, communication and awareness campaigns, among others. Also, it will be considered as valid evidence the realization of such activities, as long as it can be proved that they have been carried out with resources from the budget of that entity.

In the case of countries in which there is no national fire department, but rather a municipal or similar one, it would be necessary to confirm that the capital city's fire department has received resources in the last fiscal year. By capital city it means the city where the administrative seat of government is located.

If the available information exists, the justification should detail the types of response preparedness activities that have been planned or undertaken, as well as the total amount of resources allocated for this purpose.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

El Salvador 2016. According to Article 1 of Decree 289, Law of the Fire Department of El Salvador (DP-2-2a), published in the Official Gazette No. 69 on April 7, 1995 *"The Fire Department of El Salvador is a public service institution that will be in charge of the prevention, control and extinction of all types of fires, as well as evacuation and rescue activities; protection of persons and their assets; cooperation and relief in case of disaster and other activities related to such service"*. Likewise, Article 2 of said Law establishes *"The Fire Department of El Salvador, shall function as a General Directorate attached to the Ministry of the Interior and Public Security"*. It is worth mentioning that on December 18, 2001, by Decree No. 124 (DP-2-2b), published in the Official Gazette No. 242 of December 20, 2001, the Ministry of Interior and Public Security was renamed *"Ministry of Government"* and more recently, according to the provisions of Decree No. 1 of the Council of Ministers, published in the Official Gazette on June 2, 2014, this Ministry was renamed *"Ministry of Government and Territorial Development"* (DP-2-2c). In the 2016 Budget for the *"Branch of Government and Territorial Development"* (DP-2-2d), evidence of resource allocation was found in the section corresponding to *"3. Relationship between Purpose and Allocated Resources"* for the Budgetary Unit *"02 Prevention and Attention to Risks"* for the Work Line *"01 Prevention, Control and Extinction of Fires"* to *"Prevent the occurrence of fires and immediately attend to emergencies, in order to reduce the loss of human and material lives; likewise, participate in the mitigation of risks in an efficient and effective manner"*.

Examples of non-compliance in countries of the region

Colombia 2013. "Law 1575 of 2012 "" by means of which the General Law of Firemen of Colombia is established" in its article 34 establishes "" National Firemen's Fund. The National Firemen's Fund of Colombia was created as a special account of the nation, managed by the National Direction of Firemen, with patrimonial, administrative, accountable and statistical independence with ends of public interest and social assistance and of attention of the integral management of the risk against fire, the preparations and attention of rescues in all its modalities and the attention of incidents with dangerous materials to strengthen the firemen's bodies". Article 35 establishes "Resources of the national firemen's fund. The national fire fund will be financed with the following resources:

1. Every insurance company that grants insurance policies in the branches of home, fire, earthquake, mines and oil, or the denomination that in its policy portfolio is registered before the Financial Superintendence and that have to do with the branches mentioned above, must contribute to the National Firemen's Fund a sum equivalent to two percent (2%) liquidated on the value of the insurance policy; this value must be sent to the National Firemen's Fund within the first ten (10) days of the month following the acquisition of the mentioned policies.

2. In each fiscal period, the National Government will appropriate in the general budget of the nation for the National Firemen's Fund, at least the sum of twenty-five billion pesos, a figure that will be adjusted annually, according to the Consumer Price Index. These resources will be destined to finance investment projects". At Section 3709 of the National General Budget Law 2013 only evidence of resource allocation for the operating budget was found. The indicator is not met because it was not possible to verify the allocation of resources for disaster preparedness activities.

Code DP-2-3

Closed-ended question	
3. <i>Has the national entity responsible for forest fire prevention and extinction received resources for funding disaster preparedness activities in the last fiscal period?</i>	
Indicator Overview	
<p>The work of the national entity responsible for the prevention and extinction of forest fires is essential to reduce the impact of this type of fire on agricultural and forestry activities and other rural livelihoods, as well as to prevent their spread to urban centers.</p> <p>The entities responsible for the prevention and extinction of forest fires usually have a presence in the areas exposed to this type of fire, and in order for them to effectively carry out their work it is essential that they are properly equipped and trained, and that they have a sensitized population to facilitate and assist in their work.</p> <p>This indicator recognizes the importance of resource allocation for the national entity responsible for the prevention and suppression of forest fires to carry out response preparedness activities. Such activities/expenses include: acquisition of response equipment, drills, training, development of emergency plans, communication and awareness campaigns, etc.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the national entity responsible for the prevention and extinction of forest fires in the country 2. Review in the national budget or in the activity reports of that entity whether it has allocated resources for response preparedness activities in the last fiscal year. 3. If necessary, consult with a representative of that entity on the allocation of resources and implementation of response preparedness activities. 4. In the event that there is no entity responsible at the national level for the prevention and extinction of forest fires, but rather at the territorial level, it will be necessary to confirm that at least one of these has received resources for the preparations in the last fiscal year. 	
Link to other indicators	
DP-2-2	In some countries the fire departments are also responsible for the prevention and extinction of all types of fires, including forest fires. If this is the case in the country under analysis, compliance with indicator DP-2-2 could guide compliance with this indicator.
Description of the minimum situation required to consider the indicator met	

For this indicator to be met, the allocation of resources to the national entity responsible for forest fire prevention and extinction for the financing of response preparation activities in the last fiscal period must be evidenced. Also, it will be considered valid evidence of the implementation of such activities, such as the acquisition of response equipment, drills, training, development of plans, communication and awareness campaigns, as long as it can be shown that they have been carried out with resources from the budget of that entity.

In the case of countries in which there is no entity responsible at the national level for the prevention and suppression of forest fires, but rather at the territorial level, it should be confirmed that at least one of these entities responsible for the prevention and suppression of forest fires has received resources in the last fiscal year.

If the information is available, it is advisable to detail in the justification both the types of response preparedness activities that have been planned or undertaken and the total amount of resources allocated for that purpose.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Nicaragua 2016. The national entity responsible for the prevention and extinction of forest fires, has received resources for the financing of disaster preparedness activities in the last fiscal period in the General Budget of the Republic 2015, Annex II -79, assigns funds to the National Forest Institute, to promote the active participation of the population in the process of prevention and control of forest fires, favor this purpose, brigades will be organized and equipped, early warning systems, forest surveillance systems, forest infrastructure, awareness and training of the population, and dissemination of the importance of forest protection (Expected scope for 2015). To the program 12 of construction and equipment of forest control posts regulation and promotion to the sustainable management of the forests is assigned a total amount of C\$1.0 million and to the Program 13 of Reforestation and protection of the forests, is assigned C\$2.2 million.

Examples of non-compliance in countries of the region

Colombia 2013. In Colombia the Fire Department is the national entity responsible for the prevention and extinction of forest fires. According to Law 1575 of 2012 "by means of which the General Law of Firemen of Colombia is established", in article 2 it is established *"Integral management of the risk against fire. The integral management of the risk against fire, the preparations and attention of rescues in all their modalities and the attention of incidents with dangerous materials, will be in charge of the Firemen institutions and for all their effects, they constitute an essential public service in charge of the State"*. Section 3709 of the National General Budget Law 2013 only found evidence of resource allocation for the operating budget. The condition is negative because it was not possible to verify the allocation of resources for disaster preparedness activities.

Mexico 2014. The General Law of Sustainable Forestry Development, published in the Official Gazette of the Federation (DOF) (for its acronym in Spanish) on February 25, 2003, creates the National Forestry Commission as a decentralized public agency, with its own legal person and assets (article 17) and with the purpose of "... *developing, favoring, and promoting productive, protection, conservation, and restoration activities in forestry matters...* " (article 18).

The Commission will coordinate actions to prevent, combat, and specialized control of forest fires and promote assistance from other agencies and entities of the Federal Public Administration, from the states, and from the municipalities (article 123).

The Federal Expenditure Budget Decree for the 2013 Fiscal Year, (PEF 2013) (for its acronym in Spanish), published in the DOF on December 27, 2012, set forth in APPENDIX 11. ICSENCE, TECHNOLOGY AND INNOVATION PROGRAM (pesos), in Branch 16 Environment and Natural Resources, resources for the National Forestry Commission. However, the condition cannot be assessed as positive because there is no explicit evidence of allocation of these resources for response preparation tasks.

Code DP-2-4

Closed-ended question	
4. Does the environmental sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years?	
Indicator Overview	
<p>Of the activities involved in the Disaster Preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved <i>ex-ante</i>. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the different sectors of the public administration (whether national, central or federal, depending on the country) assume the responsibility to develop, in advance of the occurrence of disasters, emergency or contingency plans or business continuity (or equivalent) that allow for the continuity of the sector's mission in the event of a disaster.</p> <p>This indicator is of particular interest to the environmental sector, considering that at least in the last 5 years, it has produced and approved a national emergency or contingency plan, or a plan for the continuity of operations, in the event of disasters caused by natural phenomena.</p> <p>An Emergency Plan generally defines the roles, responsibilities and general procedures for institutional response and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.</p> <p>Contingency Plans are alternative procedures, of immediate response to the normal order of an institution. They are intended to allow the normal functioning of the institution, even if some of its functions are damaged by an internal or external accident.</p> <p>On the other hand, the purpose of the Continuity of Operations Plan is to analyze the institution's vulnerabilities in order to create and validate logistical 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.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Consult the head of the environmental sector (or equivalent entity) as to whether a national emergency, contingency or continuity of operations plan (or equivalent) applicable to natural phenomena has been prepared and formally approved within the last 5 years. 2. If necessary, interview the staff of the DRM lead agency about the compliance with this indicator. 3. Check the legal validity, effectiveness and approval date of the identified plan. 	
Link to other indicators	
DP-1B-3	If the environmental sector regulations define the responsibility to conduct disaster preparedness activities, they could also mandate the development of the type of plans that this indicator addresses.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the environmental sector must have a current National Emergency Plan or Continuity of Operations Plan (or equivalent) that has been approved by the respective institution in the last 5 years.

If this plan was approved more than 5 years ago, even though no period of validity was established at the time, the indicator will not be considered fulfilled.

Nor will the indicator be met with the existence of National Emergency Plans (or equivalents) in which the environmental sector is cited (unless such a plan contains a chapter or annex, or similar, that corresponds to a National Emergency Plan or Continuity of Operations Plan for the environmental sector) or through Continuity or Emergency Plans of the environmental sector that are not related to natural phenomena.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of the implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as the writing is concerned, these examples should be taken with reservation, since the way in which the corresponding justification is presented, does not necessarily follow the indications of the Protocol for the application of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Peru 2013. It was not possible to ascertain whether there is indeed a formally approved Emergency Plan for the sector. However, Law No. 28551 of 2005 establishes the obligation and procedure for the preparation and presentation of contingency plans, subject to the objectives, principles and strategies of the National Plan for the Prevention and Attention to Disasters. The above law covers all natural and juridical persons of private or public law that conduct and/or manage companies, facilities, buildings and enclosures, who have the obligation to prepare and submit, for approval by the competent authority, contingency plans for each of the operations they develop. On the other hand, Law No. 29664, of February 8, 2011, which creates the National Disaster Risk Management System (SINAGERD for its acronym in Spanish), in its articles 38 and 34 point 34.3 establishes the instruments and defines the specific plans by process that include emergency and contingency plans for all the actors of the National System. It also establishes the concept of continuity of services.

Code DP-2-5

Closed-ended question

5. *Does the agricultural sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received Disaster Preparedness resources in the last fiscal period?*

Indicator Overview

Of the activities involved in the Disaster Preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved *ex-ante*. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the different sectors of the public administration (whether national, central or federal, depending on the country) assume the responsibility to develop, in advance of the occurrence of disasters, emergency or contingency plans or business continuity (or equivalent) that allow for the continuity of the sector's mission in the event of a disaster.

This indicator has a particular interest in the agricultural sector, assessing whether it has produced and approved a National Emergency or Contingency Plan, or a Continuity of Operations Plan, for disasters caused by natural phenomena, at least in the last five years.

An Emergency Plan generally defines the roles, responsibilities and general procedures for institutional response and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.

Contingency Plans are alternative procedures, of immediate response to the normal order of an institution. They are intended to allow the normal functioning of the institution, even if some of its functions are damaged by an internal or external accident.

On the other hand, the purpose of the Continuity of Operations Plan is to analyze the institution'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.

In addition, this indicator recognizes the importance that the coordinating or governing entity of the agricultural sector has received resources for Disaster Preparedness actions, during the last fiscal year or period.

Steps to follow to obtain the required information

Regarding emergency, contingency or continuity of operations plans (or equivalent):

1. Consult the head of the agricultural sector (or equivalent entity) as to whether a national emergency, contingency or continuity of operations plan (or equivalent) applicable to natural phenomena has been prepared and formally approved within the last 5 years, for the sector or for any of its subsectors.
2. If necessary, interview the staff of the DRM lead agency about compliance with this indicator.
3. Check the legal validity, effectiveness and approval date of the identified plan.

Regarding the allocation of resources:

1. Verify whether there is a budgetary instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster response preparedness or DRM actions that may have been used to allocate resources in the sector's budget.
2. Identify whether there are resources allocated, in the last fiscal period, to the leading entity of the agricultural sector or to any of its affiliate entities for disaster response preparedness activities.
3. Review the national budget, budget reports, expenditure execution reports or related official documents of the agricultural sector.
4. If necessary, consult with representatives of the budget area or with the disaster risk management area within the governing entity of the agriculture sector on resource allocation, for the purpose of this indicator.

Link to other indicators

DP-1B-4	If the agricultural sector regulations define the responsibility to conduct disaster preparedness activities, they could also mandate the development of the type of plans that this indicator addresses.
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Description of the minimum situation required to consider the indicator met

The following conditions must be met for the indicator to be met:

1. That the agricultural sector has a national emergency, contingency or continuity of operations plan (or equivalent) in place that has been formally approved by the respective institution within the last 5 years.
2. Evidence that proves the allocation of resources to the sector's governing body, or to any of its affiliated entities, during the last period or fiscal year, for the financing of disaster preparedness activities.

If the identified plan was approved more than 5 years ago, even though no period of validity was established at the time, the indicator will not be considered fulfilled. This indicator will also not be met by the existence of national emergency (or equivalent) plans in which the agricultural sector is mentioned (unless such a plan includes a chapter or annex, or similar, that corresponds to a national emergency, contingency or business continuity plan for the agricultural sector) or by the agricultural sector's business continuity or emergency plans that are unrelated to natural hazards (e.g., for certain pests). or through Continuity or Emergency Plans of the agricultural sector that are not related to natural phenomena

It will be considered as valid evidence for the second condition, the realization of disaster preparedness activities, such as the acquisition of response equipment, simulations, training, elaboration of plans, communication and awareness campaigns, as long as it can be proved that they have been carried out with resources from the budget of that entity.

The justification should detail the type of plan identified, the disaster preparedness activities planned or undertaken by the sector, and information on the total amount of resources allocated for these purposes. On the other hand, it should include, if available, details on the existence of the budgetary instrument, object of expenditure, catalog, and the budget tagger used.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of the implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as the writing is concerned, these examples should be taken with reservation, since the way in which the corresponding justification is presented, does not necessarily follow the indications of the Protocol for the application of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org>"

Examples of compliance in countries of the region

Peru 2013. The Ministry of Agriculture's 2008 Emergency Operations Plan for the Agriculture sector (DP-2-5a) was approved by Supreme Resolution No. 059-2008-AG of November 10, 2008 (DP-2-5b). Likewise, as a second condition, the Ministry of Agriculture has received budgetary resources for disaster preparedness, as shown in Annex 5 of Law No. 29951 on the Public Sector Budget for Fiscal Year 2013, of November 30, 2012 (DP-2-5c), which allocates resources for (i) population and their livelihoods with flood resistance capacities; (ii) population and their livelihoods with flood resistance capacities in ravines and slopes, through the products of 3000444 to 3000448.

Examples of non-compliance in countries of the region

Dominican Republic 2014. The sector has the 2012 Agricultural Sector Contingency Plan, prepared and published in June 2012 by the Ministry of Agriculture, in collaboration with the United Nations Food and Agriculture Organization (FAO), NGOs and the Association of Producers of the Agricultural Regions, South, Northwest, Northeast, Southwest, and North. However, the indicator is not met because it was not possible to demonstrate the allocation of resources for preparedness activities in the sector's 2013 budget.

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

6. *Does the health sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received disaster preparedness resources in the last fiscal period?*

Indicator Overview

Of the activities involved in the Disaster Preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved ex-ante. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the different sectors of the public administration (whether national, central or federal, depending on the country) assume the responsibility to develop, in advance of the occurrence of disasters, emergency or contingency plans or business continuity (or equivalent) that allow for the continuity of the sector's mission in the event of a disaster.

This indicator has a particular interest in the health sector, assessing whether it has produced and approved a National Emergency or Contingency Plan, or a Continuity of Operations Plan, for disasters caused by natural phenomena, at least in the last five years.

An Emergency Plan generally defines the roles, responsibilities and general procedures for institutional response and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.

Contingency Plans are alternative procedures, of immediate response to the normal order of an institution. They are intended to allow the normal functioning of the institution, even if some of its functions are damaged by an internal or external accident.

On the other hand, the purpose of the Continuity of Operations Plan is to analyze the institution'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..

In addition, this indicator recognizes the importance that the coordinating or governing entity of the health sector has received resources for Disaster Preparedness actions during the last fiscal year or period.

Steps to follow to obtain the required information

Regarding emergency, contingency or continuity of operations plans (or equivalent):

1. Consult the head of the health sector (or equivalent entity) as to whether a national emergency, contingency or continuity of operations plan (or equivalent) applicable to natural hazards has been prepared and formally approved within the last 5 years.
2. If necessary, interview the staff of the DRM lead agency about compliance with this indicator.
3. Check the legal validity, effectiveness and approval date of the identified plan.

Regarding the allocation of resources:

1. Verify whether there is a budgetary instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster preparedness or DRM actions that may have been used to allocate resources in the sector's budget.
2. Identify whether there are resources allocated, in the last fiscal period, to the health sector's steering entity or any of its assigned entities for disaster preparedness activities.
3. Review the national budget, budget reports, expenditure execution reports or related official documents of the health sector.
4. If necessary, consult with representatives of the budget area or disaster management area within the health sector governing entity on resource allocation for the purpose of this indicator.

Link to other indicators

DP-1B-5	If the health sector regulations define the responsibility to conduct disaster preparedness activities, they could also mandate the development of the type of plans that this indicator addresses.
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Description of the minimum situation required to consider the indicator met

The following conditions must be met for the indicator to be met:

1. That the health sector has a national emergency, contingency or continuity of operations plan (or equivalent) in place and that has been formally approved by the respective institution within the last 5 years.
2. Evidence that proves the allocation of resources to the sector's governing body, or any of its affiliated entities, during the last period or fiscal year, for the financing of disaster preparedness activities.

If the identified plan was approved more than 5 years ago, even though no period of validity was established at the time, the indicator will not be considered fulfilled. This indicator will also not be met by the existence of national emergency plans (or equivalent) in which the health sector is cited (unless such a plan includes a chapter or annex, or similar, that corresponds to a national emergency plan or continuity of operations plan for the health sector) or by the health sector's business continuity or emergency plans that are not related to natural hazardous events (e.g., for epidemics or other health emergencies).

It will be considered as valid evidence for the second condition, the realization of disaster preparedness activities, such as the acquisition of response equipment, simulations, training, elaboration of plans, communication and awareness campaigns, as long as it can be proved that they have been carried out with resources from the budget of that entity.

The justification should detail the type of plan identified, the disaster preparedness activities planned or undertaken by the sector, and information on the total amount of resources allocated for these purposes. On the other hand, it should include, if available, details on the existence of the budgetary instrument, object of expenditure, catalog, and the budget tagger used.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of the implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as the writing is concerned, these examples should be taken with reservation, since the way in which the corresponding justification is presented, does not necessarily follow the indications of the Protocol for the application of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org>"

Examples of compliance in countries of the region

Colombia 2013. In relation to the elaboration of contingency plans, the sector elaborated and published in 2011 the "*Contingency plan for the health sector in view of the winter season in Colombia*" (DP-2-6a). With regard to the allocation of resources, in the Budget of the Ministry of Health and Social Protection to September 2013 (DP-2-6b) there was evidence of resource allocation for the "*Strengthening of the national communications center, crisis room and the group of emergency and disaster attention of the MPS*".

Examples of non-compliance in countries of the region

Venezuela 2015. The Law on the Integral Management of Socio-Natural and Technological Risks, published in Official Gazette No. 39,095 of January 9, 2009, in Article 8, numeral 11, corresponding to National Policy Guidelines, establishes that "*All public institutions must guarantee their preparation for the implementation in a quick, diligent, coordinated and effective manner of response and rehabilitation actions in case of emergencies or disasters*". However, there was no evidence of the existence of a disaster emergency plan on the website of the Ministry of the People's Power for Health. This was corroborated by interviews with several risk management experts in the country. However, it is worth mentioning that representatives of the Fire Department and Civil Emergency Administration stated that the health sector has these plans, although it was not feasible to have access to them. On the other hand, according to the consultation made to the "*Summary of the General Distribution of the Budget Law for Expenditures for Fiscal Year 2015*", the "*National Annual Operating Plan, Fiscal Year 2014*" and the four titles of the "*Budget Law for Fiscal Year 2015*", published in the Extraordinary Official Gazette N.

6,161 on Wednesday, December 10, 2014, no evidence of resource allocation for the Disaster preparedness for the Ministry of the People's Power for Health.

Code DP-2-7

Closed-ended question	
7. <i>Does the housing sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years?</i>	
Indicator Overview	
<p>Of the activities involved in the Disaster Preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved <i>ex-ante</i>. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the different sectors of the public administration (whether national, central or federal, depending on the country) assume the responsibility to develop, in advance of the occurrence of disasters, emergency or contingency plans or business continuity (or equivalent) that allow for the continuity of the sector's mission in the event of a disaster.</p> <p>This indicator is of particular interest to the housing sector, considering that at least in the last 5 years, it has produced and approved a National Emergency or Contingency Plan, or a Continuity of Operations Plan, in the event of disasters caused by natural phenomena.</p> <p>An Emergency Plan generally defines the roles, responsibilities and general procedures for institutional response and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.</p> <p>Contingency Plans are alternative procedures, of immediate response to the normal order of an institution. They are intended to allow the normal functioning of the institution, even if some of its functions are damaged by an internal or external accident.</p> <p>On the other hand, the purpose of the Continuity of Operations Plan is to analyze the institution'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.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Consult the leading institution of the housing sector (or equivalent entity) as to whether a National Emergency, Contingency or continuity of operations plan (or equivalent) applicable to natural hazardous phenomena has been prepared and formally approved in the last 5 years. 2. If necessary, interview the staff of the DRM lead agency about compliance with this indicator. 3. Check the legal validity, effectiveness and approval date of the national emergency, contingency or continuity of operations plan (or equivalent) that has been identified. 	
Link to other indicators	
DP-1B-6	If the housing sector's regulations define the responsibility for carrying out disaster response preparedness activities, they could also mandate the development of the type of plans that this indicator addresses.
Description of the minimum situation required to consider the indicator met	

To meet this indicator, the housing sector must have a National Emergency, Contingency or continuity of operations plan (or equivalent) in place that has been formally approved by the respective institution within the last 5 years.

If the identified plan was approved more than 5 years ago, even though no period of validity was established at the time, the indicator will not be considered fulfilled. Nor will this indicator be met with the existence of national emergency plans (or equivalent) in which the housing sector is cited (unless such plan includes a chapter, annex or equivalent, that corresponds to a national emergency, contingency or continuity of operations plan for the housing sector) or through emergency housing sector plans that are not related to natural phenomena.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Peru 2013. There is an Emergency Operations Plan for the Housing, Construction and Sanitation Sector, approved by Ministerial Resolution N° 026- 2010 HOUSING, of February 11, 2010 (DP-2-7a).

Examples of non-compliance in countries of the region

Nicaragua 2016. No evidence was found of the existence of an emergency, contingency, or continuity of operations plan for the sector. However, SINAPRED (for its acronym in Spanish) stated that the Nicaraguan Institute of Urban and Rural Housing (INVUR for its acronym in Spanish) prepared the INVUR Response Plan. Since the Plan could not be accessed, the condition is considered negative. It is worth mentioning that INVUR stated that it is in the process of preparing the Protocol for institutional action to deal with emergencies in the event of multiple events (iGOPP consultation workshop).

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

8. *Does the education sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received resources for disaster preparedness in the last fiscal period?*

Indicator Overview

Of the activities involved in the Disaster Preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved *ex-ante*. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the different sectors of the public administration (whether national, central or federal, depending on the country) assume the responsibility to develop, in advance of the occurrence of disasters, emergency or contingency plans or continuity of operations (or equivalent) that allow for the continuity of the sector's mission in the event of a disaster.

This indicator is of particular interest to the education sector, as it values the fact that, at least in the last 5 years, it has produced and approved a National Emergency or Contingency plan, or a continuity of operations plan, in the event of disasters caused by natural phenomena.

An emergency plan generally defines the roles, responsibilities and general procedures for institutional reaction and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.

Contingency plans are alternative procedures, of immediate response, to the normal order of an institution, whose purpose is to allow the normal functioning of the institution, even if some of its functions were damaged by an internal or external accident.

On the other hand, the objective of the continuity of operations plan is to analyze the institution's vulnerabilities in order to create and validate logistics plans to prepare the organization to recover and restore its critical functions partially or totally interrupted after a disaster, so that its mission is not jeopardized and the resilience of the organization is improved.

Additionally, this indicator recognizes the importance that the coordinating or governing entity of the education sector has received resources for disaster response preparedness actions during the last fiscal year or period.

Steps to follow to obtain the required information

Regarding emergency, contingency or continuity of operations plans (or equivalent):

1. Consult the head of the education sector (or equivalent entity) as to whether a national emergency, contingency or continuity of operations plan (or equivalent) applicable to natural hazards has been prepared and formally approved within the last 5 years.
2. If necessary, interview the staff of the DRM lead agency about compliance with this indicator.
3. Check the legal validity, effectiveness and approval date of the identified plan.

Regarding the allocation of resources:

1. Verify whether there is a budget instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster response preparedness or DRM actions that may have been used to allocate resources in the sector budget.
2. Identify whether there are resources allocated, in the last fiscal year, to the governing entity of the education sector or any of its assigned entities for disaster response preparedness activities.
3. Review the national budget, budget reports, expenditure execution reports or related official documents of the education sector.
4. If necessary, consult with representatives of the budget area or the disaster risk management area of the education sector's governing body on resource allocation for the purpose of this indicator.

Link to other indicators

DP-1B-7	If the education sector's regulations define the responsibility for carrying out disaster response preparedness activities, they could also mandate the development of the type of plans that this indicator addresses.
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Description of the minimum situation required to consider the indicator met

To meet this indicator, the following conditions must be met:

1. That the education sector has a national emergency, contingency or continuity of operations plan (or equivalent) in place and has been formally approved by the respective institution within the last 5 years.
2. Evidence that proves the allocation of resources to the sector's governing body, or any of its affiliate entities, during the last term or fiscal year for the financing of activities to prepare for the response to natural hazards.

If the identified plan was approved more than 5 years ago, even though no period of validity was established at the time, the indicator will not be considered fulfilled. Nor will this indicator be met with the existence of national emergency plans (or equivalent) in which the education sector is cited (unless such a plan includes a chapter, annex or similar, that corresponds to a national emergency, contingency or continuity of operations plan for the education sector) or through education sector plans that are not related to dangerous natural phenomena.

Evidence supporting the second condition will be considered to be the implementation of disaster preparedness activities, such as the acquisition of response equipment, simulations, training, plan development, communication and awareness campaigns, provided that it can be shown that they have been carried out with resources from the budget of that entity.

The justification should detail the type of plan identified, the disaster preparedness activities planned or undertaken by the sector, and information on the total amount of resources allocated for these purposes. On the other hand, it should include, if available, details on the existence of the budgetary instrument, object of expenditure, catalog, budget tagger used.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Peru 2013. The sector has the 2010 Earthquake Prevention Education Plan, approved by Directorial Resolution No. 463-2010-ED, of June 2, 2010 (DP-2-8a), which establishes the obligation to formulate the Risk Management Plan for earthquake preparedness in each educational institution (outcome 1). Additionally, the condition is met since the Ministry as the governing entity has received resources for disaster preparedness in the last fiscal year. See Annex 5 of Law No. 29951 of the Public Sector Budget for Fiscal Year 2013, November 30, 2012 (DP-2-8b), which allocates on page 73, resources for decentralized educational management instances prepared for response and rehabilitation of the education service in the event of emergencies and disasters - strengthening of pedagogical support for response to disasters and emergencies.

Examples of non-compliance in countries of the region

Ecuador 2016. In relation to the existence of contingency plans, the web page of the Ministry of Education (<http://educacion.gob.ec/contingencia-fenomeno-el-nino/>) mentions that the "*Contingency Plan for the Phenomenon of El Niño Coastal Regime 2015 - 2016*", was established in Agreement No. MINEDUC-ME-2015-00156-A (DP-2-8a). However, it was not possible to access the Contingency Plan mentioned to verify its existence. With regard to the allocation of resources, the Institutional Strategic Plan, Annual Operational Plan - May 2016, Investment Plan of the Ministry of Education (DP-2- 8b) shows the allocation of resources to the "*Project for the reduction of risks in the face of natural disasters in the educational community in Ecuador (PAI)*", which includes as a goal "180 trainings in risk management for the educational community in vulnerable areas". Given that it has not been possible to corroborate that there is a national emergency plan as such, except for a list of actions on the Ministry's website in light of the imminent El Niño phenomenon, the team that applied the iGOPP in Ecuador considers that it does not fully comply with the condition set forth by this indicator.

Code DP-2-9

Closed-ended question	
9. Does the tourism sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years?	
Indicator Overview	
<p>Of the activities involved in the Disaster Preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved <i>ex-ante</i>. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the different sectors of the public administration (whether national, central or federal, depending on the country) assume the responsibility to develop, in advance of the occurrence of disasters, emergency or contingency plans or continuity of operations (or equivalent) that allow for the continuity of the sector's mission in the event of a disaster.</p> <p>This indicator is of particular interest to the tourism sector, as it assesses whether, at least in the last five years, it has produced and approved a national emergency or contingency plan, or a plan for the continuity of operations, in the event of disasters caused by natural phenomena.</p> <p>An emergency plan generally defines the roles, responsibilities and general procedures for institutional reaction and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.</p> <p>Contingency plans are alternative procedures, of immediate response, to the normal order of an institution, whose purpose is to allow the normal functioning of the institution, even if some of its functions were damaged by an internal or external accident.</p> <p>On the other hand, the objective of the continuity of operation plan is to analyze the institution's vulnerabilities in order to create and validate logistics plans to prepare the organization to recover and restore its critical functions partially or totally interrupted after a disaster, so that its mission is not jeopardized and the resilience of the organization is improved.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Consult the head of the tourism sector (or equivalent entity) as to whether a national emergency, contingency or business continuity plan (or equivalent) applicable to natural hazardous phenomena has been prepared and formally approved in the last 5 years. 2. If necessary, interview the staff of the DRM lead agency about compliance with this indicator. 3. Check the legal validity, effectiveness and approval date of the national emergency, contingency or continuity of operations plan (or equivalent) that has been identified. 	
Link to other indicators	
DP-1B-8	If the tourism sector's regulations define responsibility for disaster response preparedness activities, they may also mandate the development of the type of plans that this indicator addresses.

Description of the minimum situation required to consider the indicator met
<p>In order to fulfill this indicator, it should be verified that the tourism sector has a national emergency, contingency or continuity of operations plan (or equivalent) in place and that it has been formally approved by the respective institution within the last 5 years.</p> <p>If the identified plan was approved more than 5 years ago, even though no period of validity was established at the time, the indicator will not be considered fulfilled.</p> <p>This indicator will also not be achieved with the existence of national emergency plans (or equivalent) in which the tourism sector is cited (unless such a plan includes a chapter, annex or equivalent, that corresponds to a national emergency, contingency or continuity of operations plan for the tourism sector) or through tourism sector plans that are not related to natural hazardous phenomena.</p>
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>
Examples of compliance in countries of the region
<p>Peru 2013. The sector counts with a Sectorial Plan for Emergency Operations, approved by Ministerial Resolution No. 054-2008 MINCETUR-DM, of March 31, 2008 (DP 2-9a), which establishes the disaster preparedness activities to be implemented in the Foreign Trade and Tourism sector.</p>
Examples of non-compliance in countries of the region
<p>Uruguay 2015. The Tourism Sector Law, Law No. 14,335, dated December 18, 1974, does not stipulate that the sector must have a National Emergency or Contingency Plan. On the other hand, the Law of the National Emergency System, Law No. 18,621 dated October 12, 2009, does not stipulate responsibilities to the sectors regarding the elaboration of emergency or contingency plans.</p>

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

10. *Does the transportation sector (or equivalent) have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received resources for disaster preparedness in the last fiscal period?*

Indicator Overview

Of the activities involved in the Disaster Preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved *ex-ante*. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the different sectors of the public administration (whether national, central or federal, depending on the country) assume the responsibility to develop, in advance of the occurrence of disasters, emergency or contingency plans or continuity of operations (or equivalent) that allow for the continuity of the sector's mission in the event of a disaster.

This indicator is of particular interest in the transport sector (understood as road works), considering that at least in the last 5 years, it has produced and approved a national emergency or contingency plan, or a continuity of operations plan, in the event of disasters caused by natural phenomena.

An emergency plan generally defines the roles, responsibilities and general procedures for institutional reaction and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.

Contingency plans are alternative procedures, of immediate response, to the normal order of an institution, whose purpose is to allow the normal functioning of the institution, even if some of its functions were damaged by an internal or external accident.

On the other hand, the objective of the continuity of operations plan is to analyze the institution's vulnerabilities in order to create and validate logistical plans to prepare the organization to recover and restore its critical functions partially or totally interrupted after a disaster, so that its mission is not jeopardized and the resilience of the organization is improved.

Additionally, this indicator recognizes the importance that the coordinating or governing entity of the transport sector has received resources for disaster preparedness actions during the last fiscal year or period.

Steps to follow to obtain the required information

Regarding emergency or contingency plans or continuity of operations (or equivalent):

1. Consult the head of the transport sector (or equivalent entity) as to whether a national emergency, contingency or continuity of operations plan (or equivalent) applicable to natural phenomena has been prepared and formally approved in the last 5 years, either for the sector or for any of its subsectors. For the purposes of the indicator, the relevant sub-sector is the one responsible for road works.
2. If necessary, interview the staff of the DRM lead agency about compliance with this indicator.
3. Check the legal validity, effectiveness and approval date of the national emergency, contingency or continuity of operations plan (or equivalent) that has been identified.

Regarding the allocation of resources:

1. Verify whether there is a budgetary instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster response preparedness or DRM actions that may have been used to allocate resources in the sector's budget.
2. Identify whether there are resources allocated, in the last fiscal period, to the leading entity of the transport sector for disaster preparedness activities in the road work area or sub-sector.
3. Review the national budget, budget reports, expenditure execution reports or related official documents of the transport sector.
4. If necessary, consult with representatives of the budget area or disaster risk management within the transport sector's governing body on resource allocation for the purpose of this indicator.

Link to other indicators

DP-1B-9

If the transport sector's regulations define the responsibility for carrying out disaster response preparedness activities, they could also mandate the development of the type of plans that this indicator investigates.

Description of the minimum situation required to consider the indicator met

To meet this indicator, the following conditions must be met:

1. That the transport sector, or its road works sub-sector, has a national emergency, contingency or continuity of operations plan (or equivalent) in place and that has been formally approved by the respective institution within the last 5 years.
2. Evidence that proves the allocation of resources to the sector's governing body, or to any of its entities assigned within the road works subsector, during the last term or fiscal year, for the financing of activities to prepare for the response to dangerous natural phenomena.

If the identified plan was approved more than 5 years ago, even though no period of validity was established at the time, the indicator will not be considered fulfilled. Also, the existence of national emergency plans (or equivalent) in which the transport sector is cited (unless such a plan includes a chapter, annex or equivalent, corresponding to a national emergency plan or continuity of operations plan for the transport sector) or through transport sector plans that are not related to natural phenomena will not be met. Also, the indicator will not be met by plans prepared by companies that have specific highway concessions as it is inquired by a plan of national coverage for the road sector.

In the event that the transport sector is part of or dependent on a ministry with broader mandates (e.g. public works), the emergency plan that will allow the validation of the first condition must be specific to the road sub-sector and not the general plan of the ministry to which this sub-sector is attached.

Evidence supporting the second condition will be considered to be the carrying out of disaster preparedness activities, such as the acquisition of response equipment, simulations, training, plan development, communication and awareness campaigns, as long as it can be shown that these have been carried out with resources from the budget of that entity.

The justification should detail the type of plan identified, the disaster preparedness activities planned or undertaken by the sector, and information on the total amount of resources allocated for these purposes. On the other hand, it should include, if available, details on the existence of the budgetary instrument, object of expenditure, catalog, budget tagger used.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Colombia 2013. With regard to resource allocation, in 2012 resources were allocated for disaster preparedness through (i) 113 600 28 periodic and routine maintenance of the national road network by contract; (ii) 113 600 618 improvement and maintenance of roads for national regional connectivity. (iii) Improvement and maintenance and rehabilitation of the primary road network along national corridors. Regarding the Contingency or Emergency Plan, the Ministry of Transportation in 2006 prepared the "Sectoral Emergency Plan for Accessibility and Transportation". The condition is considered negative because no evidence was found of a final version of the contingency plan prepared in the last 5 years. In the case of the concessioned infrastructure, and in accordance with the procedures established in the Road's Operating Manual, the responsibility for handling emergencies falls on the concessionaire, who must additionally report to INVIAS, of the emergencies that occur in these routes, so that this entity records the events and their attention.

Code DP-2-11

Closed-ended question

11. *Does the water and sanitation sector have a National Emergency Plan or contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received resources for disaster preparedness in the last fiscal period?*

Indicator Overview

Of the activities involved in the Disaster Preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved ex-ante. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the different sectors of the public administration (whether national, central or federal, depending on the country) assume the responsibility to develop, in advance of the occurrence of disasters, emergency or contingency plans or continuity of operations (or equivalent) that allow for the continuity of the sector's mission in the event of a disaster.

This indicator is of particular interest in the water and sanitation sector, considering that at least in the last 5 years it has produced and approved a national emergency or contingency plan, or a continuity of operations plan, in the event of disasters caused by natural phenomena.

An emergency plan generally defines the roles, responsibilities and general procedures for institutional reaction and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.

Contingency plans are alternative procedures, of immediate response, to the normal order of an institution, whose purpose is to allow the normal functioning of the institution, even if some of its functions were damaged by an internal or external accident.

On the other hand, the objective of the business continuity plan is to analyze the institution's vulnerabilities in order to create and validate logistical plans to prepare the organization to recover and restore its critical functions partially or totally interrupted after a disaster, so that its mission is not jeopardized and the resilience of the organization is improved.

Additionally, this indicator recognizes the importance that the coordinating or governing entity of the water and sanitation sector has received resources for disaster preparedness actions during the last fiscal year or period.

Importance is given to the existence of a budgetary instrument, object of expenditure, catalog, budget label or its equivalent that allows for the identification of the allocation of public resources to disaster preparedness in the water and sanitation sector during the last fiscal year or period.

It should be noted that in some countries the water and sanitation sector involves several institutions responsible for governance, regulation (superintendence) and the provision of these types of services, where each of these institutions may have its own regulatory framework. For the purposes of this indicator, the relevant entities would be the governing body and the regulator, but not the provider, as this is explored in indicator DP-2-13.

Steps to follow to obtain the required information

Regarding emergency or contingency plans or continuity of operations (or equivalent):

1. Identify the relevant actors (governing and regulating) of the water and sanitation sector.
2. Consult the relevant actors (governing and regulatory) of the sector regarding whether they have developed and formally approved in the last 5 years a national emergency, contingency or continuity of operations plan (or equivalent) applicable to hazardous natural phenomena.
3. If necessary, interview the staff of the DRM lead agency about compliance with this indicator.
4. Check the legal validity, effectiveness and approval date of the national emergency plan or continuity of operations plan (or equivalent) that has been identified.

Regarding the allocation of resources:

1. Verify whether there is a budgetary instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster response preparedness or DRM actions that may have been used to allocate resources in the sector budget.
2. Identify if there are resources allocated, in the last fiscal period, to any of the relevant actors (governing or regulating) of the water and sanitation sector for disaster preparedness activities.
3. Review the national budget, budget reports, expenditure execution reports or related official documents of the relevant actors (governing and regulating) of the water and sanitation sector.
4. If necessary, consult with representatives of the budget area or disaster risk management area of the relevant actors (governing and regulatory) within the water and sanitation sector on resource allocation, for the purpose that this indicator addresses.

Link to other indicators

DP-1B-10

If the water and sanitation sector's regulations define responsibility for disaster preparedness activities, they may also mandate the development of the type of plans that this indicator addresses.

Description of the minimum situation required to consider the indicator met

To meet this indicator, the following conditions must be met:

1. That at least one of the relevant actors in the sector (governing or regulatory) has a national emergency, contingency or continuity of operations plan (or equivalent) in place and has been formally approved by the respective institution within the last 5 years.
 2. Evidence of resource allocation to at least one of the sector's relevant actors (governing or regulatory) during the last term or fiscal year, for the financing of disaster preparedness activities.
 3. Additionally, and to ensure consistency, the above conditions must be met for the same sectorial entity.
- If the identified plan was approved more than 5 years ago, even though no period of validity was established at the time, the indicator will not be considered fulfilled. Also, the existence of national emergency plans (or equivalent) in which the water and sanitation sector is cited (unless such plan includes a chapter, annex or equivalent, that corresponds to a national emergency, contingency or continuity of operations plan for the water and sanitation sector) or through water and sanitation sector plans that are not related to natural hazardous phenomena will not be met.

In the case that the water and sanitation sector is part of or depends on a ministry with broader mandates (public works, environment, health, etc.), the emergency plan that will allow for the validation of the first condition should be specific to water and sanitation and not the general plan of the ministry to which this sub-sector is assigned.

In the case that there are national regulations that contemplate it, the first condition may be verified through a national sectoral emergency plan, prepared in inter-institutional instances such as a Sector Group or the National Water and Sanitation and Emergency Boards, provided that such plan has been formally approved and appropriate by at least one of the relevant actors (governing or regulating) of the water and sanitation sector.

On the other hand, it will be considered valid evidence for the second condition, the carrying out of response preparation activities, such as the acquisition of response equipment, simulations, training, elaboration of plans, communication and awareness campaigns, as long as it can be proved that they have been carried out with resources from the budget of that entity.

The justification should detail the types of plans identified, the disaster preparedness activities planned or undertaken by the sector, and information on the total amount of resources allocated for these purposes. On the other hand, it should include, if available, details on the existence of the budgetary instrument, object of expenditure, catalog, budget tagger used.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Costa Rica 2014. The Costa Rican Institute of Aqueducts and Sewerage has the Manual of Protocols for Emergency or Disaster Situations in Drinking Water and Wastewater at the National Level, published in 2009. However, no evidence was found that would allow us to affirm the allocation of resources in the last fiscal period for the preparation of the response, which is why the condition was denied.

Code DP-2-12

Closed-ended question

12. *Does the energy sector have a National Emergency Plan or any contingency or continuity of operations or equivalent plan that has been formally approved at least in the last 5 years, and has its coordinating or governing entity received resources for disaster preparedness in the last fiscal period?*

Indicator Overview

Of the activities involved in the Disaster Preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved *ex-ante*. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the different sectors of the public administration (whether national, central or federal, depending on the country) assume the responsibility to develop, in advance of the occurrence of disasters, emergency or contingency plans or continuity of operations (or equivalent) that allow for the continuity of the sector's mission in the event of a disaster.

This indicator is of particular interest to the energy sector (understood as electrical energy), considering that at least in the last 5 years, it has produced and approved a national emergency or contingency plan, or a continuity of operations plan, in the event of disasters caused by natural phenomena.

An emergency plan generally defines the roles, responsibilities and general procedures for institutional reaction and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.

Contingency plans are alternative procedures, of immediate response, to the normal order of an institution, whose purpose is to allow the normal functioning of the institution, even if some of its functions were damaged by an internal or external accident.

On the other hand, the objective of the continuity of operations plan is to analyze the institution's vulnerabilities in order to create and validate logistical plans to prepare the organization to recover and restore its critical functions partially or totally interrupted after a disaster, so that its mission is not jeopardized and the resilience of the organization is improved.

Additionally, this indicator recognizes the importance that the energy sector's regulatory or governing body has received resources for disaster preparedness actions during the last fiscal year or term.

It should be considered that in some countries there may be institutions responsible for governance and regulation (superintendence), where each of these institutions may have its own regulatory framework. For the purposes of this indicator, the relevant entities would be the governing and regulatory body, but not the provider, as this is explored in indicator DP-2-14.

Steps to follow to obtain the required information

Regarding emergency or contingency plans or continuity of operations (or equivalent):

1. Identify the relevant actors (governing and regulating) of the electrical energy sector.
2. Consult the relevant actors (governing and regulatory) of the sector regarding whether a national emergency, contingency or continuity of operations plan (or equivalent) applicable to natural hazardous phenomena has been prepared and formally approved in the last 5 years. For the purposes of the indicator, the relevant sub-sector is the one responsible for the electrical energy.
3. If necessary, interview the staff of the DRM lead agency about compliance with this indicator.
4. Check the legal validity, effectiveness and approval date of the national emergency, contingency or continuity of operations plan (or equivalent) that has been identified.

Regarding the allocation of resources:

1. Verify whether there is a budgetary instrument, object of expenditure, catalog, budget tagger or its equivalent for disaster preparedness or DRM actions that may have been used to allocate resources in the sector budget.
2. Identify if there are resources allocated, in the last fiscal period, to any of the relevant actors (governing and regulatory) of the energy sector for disaster preparedness activities in the area or sub-sector of electrical energy.
3. Review the national budget, budget reports, expenditure execution reports or related official documents of the relevant actors (governing and regulatory) of the energy sector.
4. If necessary, consult with representatives of the budget area or the disaster risk management area within the relevant actors (governing and regulatory) of the energy sector on the allocation of resources, for the purpose that this indicator investigates.

Link to other indicators

DP-1B-12

If the energy sector regulations define responsibility for disaster preparedness activities, they may also mandate the development of the type of plans that this indicator addresses.

Description of the minimum situation required to consider the indicator met

To meet this indicator, the following conditions must be met:

1. That at least one of the relevant actors (governing and regulatory) has a national emergency, contingency or continuity of operations plan (or equivalent) in place and has been formally approved by the respective institution within the last 5 years.
2. Evidence of the allocation of resources to at least one of the relevant actors (the sector's governing and regulatory bodies) during the last fiscal year or period to finance activities to prepare for the response to natural hazards in the electrical energy area or sub-sector.
3. Additionally, and to ensure consistency, the above conditions must be met for the same sectoral entity.

If the identified plan was approved more than 5 years ago, even though no period of validity was established at the time, the indicator will not be considered fulfilled. Nor will this indicator be met with the existence of national emergency plans (or equivalent) in which the energy sector is cited (unless such plan contains a chapter, annex or equivalent that corresponds to a national emergency plan or continuity of operations plan for the energy sector) or through electricity sector emergency continuity plans that are not related to hazardous natural phenomena. Likewise, the indicator will not be met by plans prepared by companies that generate, transmit or provide electrical energy services, since these plans are covered by indicator DP-2-14.

<p>In the case that the energy sector is part of or depends on a ministry with broader mandates (Public Works, Environment, Mines, Petroleum, etc.), the emergency plan that will allow for the validation of the first condition must be specific to electrical energy and not necessarily the general plan of the ministry to which this sub-sector is assigned.</p> <p>Evidence supporting the second condition will be considered to be the carrying out of disaster preparedness activities, such as the acquisition of response equipment, simulations, training, plan development, communication and awareness campaigns, as long as it can be shown that these have been carried out with resources from the budget of that entity.</p> <p>The justification should detail the type of plan identified, as well as the disaster preparedness activities planned or undertaken by the sector, and information on the total amount of resources allocated for such purposes. On the other hand, it should include, if available, details on the existence of the budgetary instrument, object of expenditure, catalog, or budget label used.</p>
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>
<p>Examples of compliance in countries of the region</p>
<p>There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.</p>
<p>Examples of non-compliance in countries of the region</p>
<p>Panama 2014. The sector does not have a contingency or continuity of operations plan or equivalent that has been formally approved at least in the last 5 years. However, concession contracts for electricity generation projects establish emergency plans. Additionally, they are in the express safety regulations (public service resolution). The emergency plan applies to the entire hydroelectric plant and its entire infrastructure. Emergency plans are followed up in vulnerable projects (which have a downstream community). Where there is evidence of flooding and spillage, annual monitoring is done through drills, which entails the possibility of revising the emergency plan, which is dynamic. The emergency plan includes alerts to protect the population. Each alert has a communication flow, which includes SINAPROC and all emergency entities. However, no evidence was found that the sector has allocated resources to disaster preparedness, so the indicator is not met.</p>

Code DP-2-13**Closed-ended question**

13. Does the water and sanitation public service provider, with the largest portfolio of users in the country, have an Emergency or contingency or continuity of operations plan in case of disaster?

Indicator Overview

Public service providers must ensure the provision of their services continuously and with quality for all users, even in situations of natural disaster. In the event that a disaster partially or totally affects their operation, the prompt restoration of those services is considered essential.

Of the activities involved in the disaster preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved ex-ante. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the companies that provide public services take on this responsibility of planning in their field.

This indicator is of particular interest because the company that provides the public water and sanitation service with the largest portfolio of users in the country has generated an emergency or contingency plan, or a continuity of operations plan, in the event of disasters caused by dangerous natural phenomena.

An emergency plan generally defines the roles, responsibilities and general procedures for institutional reaction and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.

Contingency plans are alternative procedures, of immediate response, to the normal order of an institution, whose purpose is to allow the normal functioning of the institution, even if some of its functions were damaged by an internal or external accident.

On the other hand, the objective of the continuity of operations plan is to analyze the institution's vulnerabilities in order to create and validate logistical plans to prepare the organization to recover and restore its critical functions partially or totally interrupted after a disaster, so that its mission is not jeopardized and the resilience of the organization is improved.

Steps to follow to obtain the required information

1. Identify the company providing the public water and sanitation service with the largest portfolio of users in the country. This identification can be done by reviewing reports on the sector, the sector's regulatory body, or the national association of water and sanitation companies, among others. It is also possible to use expert criteria.
2. Analyze the reports of: management, audit, risk qualifiers or similar of the company on the existence of emergency plans, contingency or continuity of operations plan (or equivalent) applicable to dangerous natural phenomena.
3. Consult the relevant actors (governing and regulating body) of the sector regarding whether the water and sanitation utility has such plans.
4. If necessary, consult directly with company representatives about the existence of such plans.

Link to other indicators

RI-2-13 RR-2-11	The water and sanitation service provider considered for these indicators should be considered for the present indicator.
DP-1B-10 DP-1B-13	If the regulations identified to validate these indicators establish that service providers must formulate the plans for which the question is being asked, these may exist and be available.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the water and sanitation public service provider with the largest portfolio of users in the country must have at least one emergency, contingency or continuity of operations plan (or equivalent) applicable to hazardous natural phenomena.</p> <p>Because these types of plans for this type of public service can be considered confidential, it is permitted to verify the indicator by providing a copy of the plan cover and the index of its contents.</p> <p>The name of the company must be mentioned in the justification.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Argentina 2014. Agua y Saneamientos Argentinos S.A. (AySA) has a Prevention and Emergency Plan that allows it to act in an orderly and clear manner in the event of any operative event. Its main commitment is to guarantee the quality and continuity of the service, minimizing possible risks and inconveniences to users. The Prevention and Emergency Plan (DP-2-13a) includes an Integral Plan, which contains the Documentary Base of the Boarding Book and the related updated Procedures. With this Plan the company is prepared to react in case of events (disasters, operational events, etc.) in a local and orderly way, with all the contacts of the security forces, official organizations and civil societies that allow working together to get out of the emergency in the best possible way.</p>	
Examples of non-compliance in countries of the region	
<p>Belize 2017. According to http://www.bws.bz/about-us/bws/ "<i>Belize Water Services Limited is the water and sewerage utility for the country of Belize, serving the larger municipal areas of the country</i>". No evidence about any emergency, contingency or continuity operation plans in the event of disaster was found at: (i) web page of Belize Water Services Limited (http://www.bws.bz/); (ii) Belize Water Services (BWS) Limited Annual Report 2014- 2015; Important to mention that according to BWS Business Plan, Review Report 2015- 2020 "<i>Due to the nature and importance of the services offered, BWS must be adequately equipped to provide continuity of service, to properly respond to meet the needs of customers, to recover from emergency or disaster situations, and to provide technical assistance to rural system in restoration of these systems</i>". During the iGOPP application, BWS provided the PPT "<i>Disaster Preparedness at Belize Water Services</i>" that included information about the main aspects of its preparedness plan. The compliance of this indicator requires the existence of a plan formally approved. A PPT does not suffice. Therefore, the condition is negative.</p>	

Code DP-2-14

Closed-ended question
<p>14. Does the country's largest energy (generation, transmission and distribution) company have any emergency, contingency or continuity of operations plan in case of disaster? (NOTE: in case they are not the same company, they must all comply with it).</p>
Indicator Overview
<p>Public service providers must ensure the provision of their services continuously and with quality for all users, even in situations of natural disaster. In the event that a disaster partially or totally affects their operation, the prompt restoration of those services is considered essential.</p> <p>Of the activities involved in the Disaster preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved <i>ex-ante</i>. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the companies that provide public services take on this responsibility of planning in their field.</p> <p>This indicator is of particular interest when the country's largest electrical energy (generation, transmission and distribution) company has generated an emergency or contingency plan, or a continuity of operations plan, in the event of disasters caused by dangerous natural phenomena.</p> <p>An emergency plan generally defines the roles, responsibilities and general procedures for institutional reaction and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.</p> <p>Contingency plans are alternative procedures, of immediate response, to the normal order of an institution, whose purpose is to allow the normal functioning of the institution, even if some of its functions were damaged by an internal or external accident.</p> <p>On the other hand, the objective of the continuity of operations plan is to analyze the institution's vulnerabilities in order to create and validate logistical plans to prepare the organization to recover and restore its critical functions partially or totally interrupted after a disaster, so that its mission is not jeopardized and the resilience of the organization is improved.</p> <p>If the processes of generation, transmission and distribution of electrical energy are carried out by different companies, this indicator requires that each company has its respective plan.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. To identify the companies of generation, transmission and distribution of electrical energy with the highest turnover in the country. This identification can be done by reviewing reports on the sector or the energy sector's regulatory body, among others. It can also be done at the expert's discretion. 2. Analyze the reports of: management, audit, risk qualifiers or similar of the identified companies on the existence of emergency plans, contingency or continuity of operations plan (or equivalent) applicable to dangerous natural phenomena.

<p>3- Consult the relevant actors (rector and regulator) of the electricity sector if the companies of generation, transmission and distribution of energy have this type of plan.</p> <p>4- If necessary, consult directly with representatives of power generation, transmission and distribution companies on the existence of such plans.</p>	
Link to other indicators	
RI-2-14 RR-2-12	The energy generation, transmission and distribution company considered for these indicators should be analyzed for this indicator.
DP-1B-12 DP-1B-15	If the regulations identified to validate these indicators establish that the energy service providers must formulate the plans by which they investigate these indicators, these may exist and be available.
Description of the minimum situation required to consider the indicator met	
<p>In order to meet this indicator, the country's largest energy (generation, transmission and distribution) company must have at least one emergency, contingency or continuity of operations plan (or equivalent) applicable to hazardous natural phenomena.</p> <p>Because these types of plans for this type of public service can be considered confidential, it is permitted to verify the indicator by providing a copy of the plan cover and the index of its contents.</p> <p>If the processes of generation, transmission and distribution of electrical energy are carried out by different companies, this indicator requires that each company has its respective plan.</p> <p>The justification must mention the name of the company or companies.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Mexico 2014. The Federal Electricity Commission (CFE) has emergency plans for electrical energy generation, transmission and distribution infrastructure. There is a National Plan for Emergency Attention in Transmission Lines (FP-2-14a), which is part of the Early Response System to the Impact of Hurricanes (SIRETIH). The SIRETIH is supported by the Mutual Aid Groups (GAM), which seek to integrate the capacities of local governments and civil protection units, the private sector and the CFE. There is also an Emergency Response Plan for Electricity Distribution (FP-2-14b). Finally, there are emergency plans for its thermoelectric plants, evidenced through the example of the Emergency Procedure for Hurricanes in the Thermoelectric Complex "Presidente Adolfo López Mateos" (FP-2-14c). In addition, the CFE has created special plans based on scenarios; firstly, for crucial infrastructure (such as hospitals and airports), and secondly, for the Mexico City metropolitan area, due to its demographic concentration and the potentially destabilizing effect a blackout could have.</p>	
Examples of non-compliance in countries of the region	
<p>Dominican Republic 2014. Only the hydroelectric generation company (EGEHD) has Emergency Plans. Some of the distribution companies indicated that they had such plans, but no copies were obtained. As an example, according to the written media, the Empresa Distribuidora de Electricidad del Este (EDE Este) is implementing a contingency plan for the 2013 hurricane season, but no access to this plan was obtained.</p>	

Code DP-2-15

Closed-ended question
<p>15. Does the public telecommunications service provider with the largest portfolio of users in the country have an Emergency, Contingency or Continuity of Operations Plan in case of disaster?</p>
Indicator Overview
<p>Public service providers must ensure the provision of their services continuously and with quality for all users, even in situations of natural disaster. In the event that a disaster partially or totally affects their operation, the prompt restoration of those services is considered essential.</p> <p>Of the activities involved in the Disaster preparedness process, planning is one of the most important, because in addition to providing guidance regarding a probable future event, it is a reflective exercise that allows for a certain degree of anticipation and the discovery of weaknesses and deficiencies that can be resolved <i>ex-ante</i>. Planning makes use of valuable inputs such as information generated during the risk assessment, both vulnerability and hazard knowledge; historical information from past disasters; results of risk reduction actions, etc. For this reason, it is considered a quality factor of Disaster Risk Management (DRM) in the countries that the companies that provide public services take on this responsibility of planning in their field.</p> <p>This indicator is of particular interest when the company providing public telecommunications services (understood as those providing fixed and/or mobile telephone services) with the largest portfolio of users in the country has generated an emergency or contingency plan, or a continuity of operations plan, in the event of disasters caused by dangerous natural phenomena.</p> <p>An emergency plan generally defines the roles, responsibilities and general procedures for institutional reaction and alert, resource inventory, coordination of operational activities and training simulation, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a natural phenomenon occurs.</p> <p>Contingency plans are alternative procedures, of immediate response, to the normal order of an institution, whose purpose is to allow the normal functioning of the institution, even if some of its functions were damaged by an internal or external accident.</p> <p>On the other hand, the objective of the continuity of operations plan is to analyze the institution's vulnerabilities in order to create and validate logistical plans to prepare the organization to recover and restore its critical functions partially or totally interrupted after a disaster, so that its mission is not jeopardized and the resilience of the organization is improved.</p>
Steps to follow to obtain the required information
<ol style="list-style-type: none"> 1. Identify the company providing the public telecommunications service with the largest portfolio of users in the country. This identification can be done by reviewing reports on the sector, the sector's regulatory body or the national association of companies in the sector, among others. It is also possible to use expert criteria. 2. Analyze the reports of: management, audit, risk qualifiers or similar of the company on the existence of emergency plans, contingency or continuity of operations (or equivalent) applicable to dangerous natural phenomena. 3. Consult the relevant actors (rector and regulator) of the sector regarding whether the telecommunications public service provider has this type of plan. 4. If necessary, consult directly with representatives of the company about the existence of such plans.

Link to other indicators	
RI-2-15 RR-2-13	The telecommunications company considered for these indicators should be analyzed for this indicator.
DP-1B-11 DP-1B-14	If the regulations identified to validate these indicators establish that service providers must formulate plans for which the question is asked, these may exist and be available.
Description of the minimum situation required to consider the indicator met	
<p>In order to meet this indicator, the public telecommunications service provider with the largest portfolio of users in the country must have at least one emergency, contingency or continuity of operations plan (or equivalent) applicable to dangerous natural phenomena.</p> <p>Because these types of plans for this type of public service can be considered confidential, it is permitted to verify the indicator by providing a copy of the plan cover and the index of its contents.</p> <p>The name of the company must be mentioned in the justification.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Belize 2017. According to http://www.belizetelemedia.net/en/our-company/our-history "Telecommunications in Belize dates back to 1902, when a manual line linked Belize City with Consejo Village in the Corozal District in the Northern region of the country. Since then BTL has grown from a small company to Belize's largest nationalized telecommunications company, providing the latest in cutting edge technology by deploying and maintaining its high-quality networks". BTL mentioned in interviews that they are mandated to update annually the Emergency Plan by their own regulations, and they do so by taking into account recent events. Given it is a confidential document, BTL kindly shared with the iGOPP team the cover and index of the "2016 BTL's Disaster Management Plan - Revised Edition, June 2016" (DP-2-15a), which was accepted as evidence.</p>	
Examples of non-compliance in countries of the region	
<p>Mexico 2014. Teléfonos de México (TELMEX) is the largest telecommunications company in the country with 15.4 million fixed lines. According to the company's press releases, it is known that TELMEX has a Contingency Plan that "... starts from the moment that meteorological phenomena are detected, which are monitored to know their trajectory and evolution, and to determine if they represent a potential risk for any area, either because of their trajectory or because of their intensity. At that moment, the preventive phase of the company's Contingency Plan begins. Once the emergency has passed and in case there are network affectations, the Contingency Plan enters its Recovery phase, which includes the monitoring of damages, establishment of attention priorities and estimation of repair times". A press release from TELMEX for 2011 was located, making reference to the activation of the Contingency Plan. However, it has not been possible to access the contents of the Plan or to determine the dates of its approval, validity and/or updating, so it is considered that there is not enough evidence to consider the indicator fulfilled.</p>	

Code DP-2-16

Closed-ended question	
16. Do the regulations governing the disaster preparedness processes recognize and establish differential treatment for vulnerable populations?	
Indicator Overview	
<p>The indicator recognizes as a quality attribute of the applicable legal framework the disaster preparedness and response processes that are explicitly established to recognize differential treatment for vulnerable populations during emergency and disaster response activities.</p> <p>Considering the reality and context of each country, the regulations may identify different vulnerable populations, such as: persons with disabilities, pregnant and/or lactating women, children under 3 years of age, native peoples, migrant population, displaced population, etc., for which, due to their condition of vulnerability, it is expected that a differential treatment will be established in the response to the emergency.</p> <p>Vulnerability must be an intrinsic condition of the person or population referred to, and not because of their exposure to the risk of disaster or being affected by a particular emergency or disaster situation.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify whether the DRM or the disaster preparedness regulations establish or define vulnerable populations or groups. 2. Identify in actions already carried out for disaster preparedness whether differential treatment for vulnerable populations has been observed. If so, verify whether this practice has been legally mandated or simply due to good practice. 3. If necessary, check with the lead institution for DRM or the disaster preparedness processes on compliance with this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1	The standard reviewed or used to verify these indicators could contain information on considerations about vulnerable populations.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the following conditions must be met:</p> <ol style="list-style-type: none"> 1. That DRM or the disaster preparedness regulations explicitly recognize who the vulnerable populations are. 2. That the disaster preparedness processes establish a differential treatment for vulnerable populations. <p>The justification for the indicator must include both the vulnerable populations defined in the regulations identified, and the differential treatment considered for them.</p> <p>This indicator cannot be validated if the regulations identified define vulnerable populations as those living in risk areas or affected by a given emergency and disaster.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	

Examples of compliance in countries of the region

Bolivia 2020. The indicator is met. Law 602 of 2014, Law of Risk Management, approved by the National Assembly and published in the Official Gazette of the Plurinational State of Bolivia on November 13, 2014 (**DP 2-16a**), is the regulation that governs the disaster preparedness and response in Bolivia, establishing for this purpose in Article 17, (Powers of the Ministry of Defense), paragraph m) those of "Formulating *guidelines, directives and coordinating actions for the prevention and contingency preparation, disaster attention, emergencies, and early recovery for its implementation in the sectoral and territorial areas.*" "On the other hand, Article 5, which sets forth the principles that govern this law, includes in numeral 7, Priority Attention to Vulnerable Populations, that "*Attention in the face of disasters and/or emergencies, should be preferential for pregnant women, girls, boys, older adults, people with disabling diseases and people with different capacities*". Since it is desirable that the Regulations to this Law expand the instructions on the principle of Priority Attention to Vulnerable Populations, contrary to that, Supreme Decree 2342, which regulates Law 602, published in the Official Gazette of the Plurinational State of Bolivia on April 29, 2015, (**DP 2-16b**) only includes in Article 32, section V, on national emergency plans, that "*V. The basic content of the National Emergency Plan shall be: a. Determination of the objectives of the National Emergency Plan Definition of parameters for humanitarian assistance with emphasis on the most vulnerable groups*". The above is sufficient to satisfy the requirements established in the indicator, since there is a criterion that provides for the distinction of persons according to an intrinsic characteristic or condition of the person or population identified as vulnerable, and this legal framework also orders the prioritization and differentiation of the attention given to them during the disaster preparedness and response.

Examples of non-compliance in countries of the region

Peru 2020. The indicator is not met. The regulatory framework for disaster risk management in Peru was revised. Law 29664, which creates the National Disaster Risk Management (SINAGERD) published in the official newspaper El Peruano on February 19, 2011, does not establish any reference in this regard. In Supreme Decree 048-2011-PCM, which approves the Regulations of Law No. 29664, which creates the National System for Disaster Risk Management (SINAGERD), published in the official newspaper El Peruano on May 26, 2011, the "*sub-processes*" of the response phase are indicated in Article 32: "*The following are sub- processes of the response: 32.7 Humanitarian Assistance: To develop and coordinate actions related to the attention required by people affected by the occurrence of an emergency or disaster, especially those related to providing shelter, clothing, food, tools and equipment, as well as the protection of vulnerable groups*". Supreme Decree 034-2014-PCM, which provides for the approval of the National Plan for Disaster Risk Management - PLANAGERD 2014-2021, states in its sections, 3.3 Characterization of the population at risk of disasters 3.31 Estimation of the population vulnerable due to exposure to hazards caused by natural and human-induced phenomena, which "*It is important to highlight that PLANAGERD2013-2021, due to its integral, holistic and inclusive approach, considers that the target population is made up of the country's total population, which for the base year (2012) is 30,135,875 inhabitants, in which the vulnerable population described above, as well as the relatively non-vulnerable, will be treated differently according to the priorities established in this plan for the different time horizons and spatial levels (see Chart NO06)*". Nevertheless, the indicator is considered not to have been met, since it is necessary to specify which people are classified as "vulnerable", in the understanding that vulnerability must be an intrinsic condition of the person or population referred to, and not be referred to their degree or type of exposure to disaster risk or affectation by a given emergency or disaster situation. Consequently, on the other hand, there is no indication of the differentiated treatment that such vulnerable people will receive during the disaster preparedness and response phase.

Code DP-3-1

Closed-ended question	
<i>1. Do the regulations governing the disaster preparedness processes establish mechanisms for civil society participation in the territorial management units?</i>	
Indicator Overview	
<p>The participation of civil society in the disaster preparedness processes is important for the development of autonomous capacities by the territorial management units.</p> <p>For this reason, the indicator recognizes as a quality attribute of the regulations governing the processes of preparation and response that it considers a specific articulation on community participation, social or non-governmental organizations and the private sector in the processes of disaster preparedness in territorial management units. Therefore, such participation should take place within the scope of a formal instance defined in the regulations, which could correspond to a platform, commission, committee, or other similar one.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify whether the DRM or disaster preparedness regulations establish mechanisms for community participation, social and non-governmental organizations and the private sector in disaster preparedness and response processes at the level of territorial management units. 2. If necessary, inquire with the governing institution of the DRM or the disaster preparedness processes about compliance with this indicator. 	
Link to other indicators	
GF-1A-1 GF-3-5 DP-1A-1 RC-3-1	Check whether the regulations used for such indicators allow the verification of the present indicator.
Description of the minimum situation required to consider the indicator met	
<p>In order for this indicator to be met, the regulations identified must establish mechanisms (platform, commission, committee, or other similar) that explicitly consider community, social or non-governmental organization participation in both the disaster preparedness and response processes at the level of territorial management units.</p> <p>It should be borne in mind that the participation mechanisms identified should not only be of an informative nature for civil society or social and non-governmental organizations, so they should necessarily consider the involvement of the population or its organizations in consultation, decision making and even implementation of public policy on disaster preparedness and response.</p> <p>If the regulations establish a mechanism for civil society participation in all DRM processes, the justification should state that the aspects of disaster preparedness are an integral part of these processes.</p> <p>If the regulations identified do not establish mechanisms for civil society participation for the different TMU in the country (regions, states, provinces, departments, municipalities, cantons, etc.), this indicator can be validated if at least such mechanisms are established for the municipal (district) level.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Other application results are available at of the iGOPP at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Ecuador 2016. The Regulations of the Law on Public and State Security detail, in Title III - Decentralized Risk Management System, Chapter II - On the Agencies of the System, the composition and functions of the agencies of the National System, and establishes in Article 24: "The Emergency Operations Committees (COE for its acronym in Spanish) are inter-institutional bodies responsible in their territory for coordinating actions aimed at risk reduction, and response and recovery in emergency and disaster situations. The Manual of the Risk Management Committee approved by Resolution No. SGR-038-2014 and published by the Secretariat of Risk Management in September 2015 (DP-3-1a) establishes that *"regardless of whether they are at the cantonal, provincial or national level, the CGR/COE operate with two permanent mechanisms: a) The plenary, and b) The technical working tables (MTT for its acronym in Spanish). The Manual identifies the participation of NGO and civil society representatives in the formation of the plenary and the MTTs at the different territorial levels"* (Numeral 4.1. and Annex II.).

Examples of non-compliance in countries of the region

Bolivia 2015. Law No. 113/2013-2014, Risk Management Law, approved by the Assembly on November 13, 2014, establishes in Article 19 (RIGHTS AND OBLIGATIONS). I. The rights of individuals are: "(b) To participate in the activities involved in risk management...", and in section II. The following are the obligations of the persons: "(c) To collaborate in the actions of attention to disasters and/or emergencies". On the other hand, the formation of the Departmental and Municipal Emergency Operations Committees includes *"public and private institutions and social organizations at a departmental and municipal level respectively, linked to disaster and/or emergency response and recovery"* (Article 13). However, the participation of civil society in *"disaster preparedness"* actions is not made explicit.

Code DP-3-2

Closed-ended question	
<i>Has the national controlling entity conducted at least one disaster preparedness assessment in the last 5 years?</i>	
Indicator Overview	
<p>As with other similar indicators, it is important to determine whether any national control or oversight body, superior audit, comptroller, etc. (or whoever is acting as such in the country) has conducted any specific verification or assessment of disaster response preparedness at least once in the last 5 years.</p> <p>Do not confuse this assessment at the preparedness level with DP indicator 3-3, which focuses on assessing government performance during a disaster response.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the controlling entity or entities in the country (may be audit, comptroller or equivalent entity). 2. Identify the existence of evaluation reports or similar documentation, elaborated by the national controlling entity, on national disaster preparedness regulations in the last 5 years. 3. If necessary, consult directly with representatives of the national controlling entity as to whether such an assessment has been made 	
Link to other indicators	
GF 3-3 RI 3-5 RR 3-2	The assessments identified for these indicators could contain the information to verify the present indicator, as long as the assessment in question includes in its scope and content the specific topic of disaster preparedness (not on response to a specific disaster or set of disasters).
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met there must be at least one evaluation report on compliance with national disaster preparedness regulations in the last 5 years carried out by the national control entity.</p> <p>This indicator will not be validated by evaluations carried out by the national control body on disaster response actions.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Colombia 2013. In compliance with Decree 267 of February 22, 2000, by which norms are dictated on the organization and functioning of the General Comptroller of the Republic, Colombia has a decentralized National Control System, so that there are Delegations of the Comptroller in each Department. In an interview held with the General Comptroller of the Republic on September 6, 2013, it was reported that in various departments evaluations have been carried out on compliance with Law 1523 of April 24, 2012, and a case was presented in which the General Comptroller of the Department of Santander issued Warning Function 004 on March 13, 2013 (DP-3- 2a) to the Governor of the Department and to all the Municipal Mayors, and under the heading of the following matter: *"To encourage and have active Contingency Plans and Emergency Plans in order to prevent and attend to natural disasters caused by the winter wave such as landslides, floods among others and also to prevent and control forest fires"*, urging them to *"Create, shape and organize the disaster risk management fund - This fund should be constituted as a special account with technical and financial autonomy, with the purpose of: investing, allocating, and executing resources in the adoption of knowledge measures, disaster risk reduction, preparedness, response, rehabilitation and reconstruction"*. In other departments, these types of actions have been carried out during the first semester of 2013, which has generated 10 Warning Functions related to risk management.

Examples of non-compliance in countries of the region

Ecuador 2016. From the transparency information reviewed since 2011, on the website of the National Secretariat of Risk Management, regarding the literal on internal and government audits, it was found that no verification or evaluation of compliance with disaster preparedness actions has been carried out in the last 5 years.

Code DP-3-3

Closed-ended question	
3. Has the national controlling entity conducted at least one ex-post evaluation of the government's response performance in any of the disaster situations in the last 5 years that were declared by the national level or where international assistance was requested?	
Indicator Overview	
<p>This type of ex post evaluation allows for the improvement of national response processes and strategies, based on the results and lessons learned from such evaluations, in which the performance of one or more institutions at different levels of government can be considered.</p> <p>As government performance it refers to any public institution involved in disaster management, and not necessarily to the institution in charge of coordinating the emergency and disaster preparedness.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the controlling entity or entities in the country (may be audit, comptroller or equivalent entity). 2. Identify the existence of reports, evaluations or similar documentation, elaborated by the national controlling entity, on the quality of the response in any emergency or disaster occurred in the last 5 years declared by the national level or in which international assistance was requested. 3. If necessary, consult directly with representatives of the national controlling entity as to whether such an assessment has been conducted. 	
Link to other indicators	
DP-3-6 RC-3-3 RC-3-3 RC-3-4	Some of the declared disaster situations that were considered for these indicators could have been subject to evaluation by the national controlling entity.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met there must be at least one ex-post evaluation of the performance of the government or a public institution in responding to a nationally declared disaster situation over the past several years. It would also be acceptable if such an assessment existed for a disaster that had not been officially declared, but for which international assistance was requested.</p> <p>The justification must mention the declaration of disaster and/or the request for international aid, as well as the institution or institutions considered in the evaluation.</p> <p>It will not be possible to verify the condition if the evaluation is carried out by a sectoral or territorial control body.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Colombia 2013. The General Comptroller of the Republic, through the Delegated Comptroller for Citizen Participation, has been carrying out special monitoring of the resources assigned to the National Unit for Disaster Risk Management (NUDRM) in order to attend to the victims of the second rainy season 2011-2012, a period that began in November 2011, through special monitoring visits, pre-hearing and two special monitoring hearings held on September 11, 2012 and February 8, 2013. The most recent "Risk Management Report Number 3", dated September 23, 2013 (DP-3-3a), is presented, which includes an evaluation of the management of UNGRD in the humanitarian assistance, early recovery, and recovery for development phases. Additionally, there is the "Ombudsman's Report" of November 2011 (DP-3-3b) issued by the Ombudsman's Office, which evaluates the government's response in the context of the La Niña Phenomenon emergency in Colombia in 2010-2011; (see pages 25 and 46 where the government's response is evaluated in the context of that emergency).

Examples of non-compliance in countries of the region

Argentina 2014. The General Audit of the Nation (AGN for its acronym in Spanish) carried out an audit that examines the management of the Undersecretariat of Water Resources (Ministry of Federal Planning, Public Investment and Services) in the execution of the Flood Control Plan. This plan is essentially linked to the construction of works for the regulation of watercourses (dams, drains). Despite the fact that the plan arises from the problem of floods, the focus of the AGN is more related to verification in the compliance of the works and not in the management of the government during the floods of the Pampa region and the coast; therefore, the indicator is not met for the Preparedness for Response-DP component (although it is in the Risk Reduction-RR component).

Code DP-3-4

Closed-ended question	
4. Has the national entity in charge of coordinating disaster preparedness conducted at least one quality assessment of its processes in the last 3 years?	
Indicator Overview	
<p>The indicator recognizes as a quality attribute that the national entity in charge of coordinating disaster preparedness and response periodically carries out self-evaluations and analyses on the quality of its processes, since this type of evaluation is considered an element that approximates the concrete implementation of what is established in the regulations. This internal control exercise does not include those related to administrative processes in general, but to the substantial processes of disaster preparedness and response.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the structure of the National DRM System and identify the national entity in charge of coordinating disaster preparedness and response 2. Identify the existence of reports, evaluations or similar documentation, prepared in the last 3 years, on the quality of the disaster preparedness processes and the response prepared by the national coordinating entity. 3. If necessary, consult directly with representatives of the national coordinating body for disaster preparedness and response on whether such an assessment has been conducted. 	
Link to other indicators	
GF-3-4	If the assessment used to validate this indicator included aspects of disaster preparedness and/or response, it could be used to verify this indicator.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met there must be at least one internal quality control exercise in the disaster preparedness or response processes in the last 3 years by the national entity in charge of them.</p> <p>There are times when assessment of disaster preparedness or response processes is part of broader assessments that involve all DRM processes. If so, the rationale should make explicit the part of the DRM process assessment report content that is specific to disaster preparedness and/or response.</p> <p>Likewise, compliance with the indicator can be supported by inter-institutional evaluations on the indicated subject, provided that they have been led by the national entity in charge of coordinating disaster preparedness and response.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Uruguay 2015. The SINAIE has a "Diagnosis of the *State of Disaster Risk Reduction*" (DP-4a) prepared in December 2010 by the interagency mission of the United Nations System with the assistance of representatives from ECLAC, PAHO, UNDP, UNEP, UNESCO and UNISDR. The report includes a chapter on preparations and response.

Examples of non-compliance in countries of the region

Ecuador 2016. The Organic Statute of Organizational Management by Processes of the Secretariat of Risk Management, published in the Official Registry Supplement 163 of September 9, 2014 (DP-3-4) establishes in its Article 4 the "*Management Committee for Service Quality and Institutional Development*". In accordance with the provisions of Article 138 of the General Regulations to the Organic Law of the Public Sector (LOSEP for its acronym in Spanish), the Secretariat of Risk Management has a Committee for Management of Quality of Service and Institutional Development, which will be responsible for "... *proposing, monitoring and evaluating the application of policies, norms and priorities related to the improvement of institutional efficiency*". The Service Quality Management and Institutional Development Committee was consulted and confirmed that an evaluation such as the one proposed by the indicator has not been carried out.

Code DP-3-5

Closed-ended question	
5. Have national disaster preparedness entities adopted quality standards in humanitarian assistance at least in relation to water, sanitation, nutrition and temporary shelter?	
Indicator Overview	
In order to improve the quality of humanitarian response, this indicator values the formal adoption of the Minimum Standards in Humanitarian Response in cases of disaster (Sphere Project), or other equivalent minimum standards, in order to establish the basic requirements for post-disaster humanitarian aid at least in critical sectors such as: water, sanitation, nutrition and temporary shelter.	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify whether the country has adopted the Minimum Standards in Humanitarian Response in cases of disaster (Sphere Project) 2. Find out if the country has developed standards for humanitarian response in water, sanitation, nutrition and temporary shelter. 3. If necessary, analyze whether the country has a platform or sectoral coordination structure for disaster preparedness and response, identifying the institutions in charge of issues related to water, sanitation, nutrition and temporary shelter. 4. Find out if the institutions in charge of coordinating the humanitarian response in the areas of water, sanitation, nutrition and temporary shelter have developed these types of standards. 5. If necessary, consult directly with the national entity in charge of humanitarian assistance on the fulfilment of this indicator. 6. Investigate the existence of a normative document that makes official and legal the standards that have been identified. 	
Link to other indicators	
DP-1A-1	The regulations established by the inter-institutional organization for disaster preparedness and response could help identify the institutions responsible for coordination in the areas of water, sanitation, nutrition and temporary shelter.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, national preparedness and response entities must have officially adopted quality standards in humanitarian assistance at least in relation to the provision of water, sanitation, nutrition and temporary shelter.</p> <p>It will not be possible to validate the indicator with standards that do not have official support for their adoption. Nor will it be possible to validate the indicator if standards have been adopted for only some of the four issues mentioned or for others different from those mentioned. However, this should be recorded in the respective justification.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Ecuador 2016. According to the official report developed and published in 2012 by the Risk Management Secretariat "Ecuador: Basic References for Risk Management 2013-2014" (DP-3-5a), as of 2011 the Risk Management Secretariat recognizes Sphere as the normative basis for humanitarian response in Ecuador. The Sphere Standards are set out in four technical chapters of the Manual: water supply, sanitation and hygiene promotion; food security and nutrition; shelter, human settlements and non-food items; and health action. According to the above-mentioned report, Sphere began its consolidation in Ecuador in the second half of 2011, when the Mesa Sphere Ecuador was established. It is made up of NGOs with responsibility for humanitarian response, IGOs, public institutions, and SGR leadership. In addition, Ecuador has developed national instruments that complement international ones, allowing for compliance with minimum Sphere standards, such as the Standards for the Application of Humanitarian Aid in Emergencies for Food, Cooking, Household and Cleaning, published by the SGR in May 2011.

Examples of non-compliance in countries of the region

Costa Rica 2014. No evidence was found that national preparedness and response entities have adopted quality standards in humanitarian assistance at least in relation to water, sanitation, nutrition, and temporary shelter. Consultations and interviews were also held with personnel from the National Emergency Commission, who corroborated the lack of such standards.

Code DP-3-6

Closed-ended question	
6. In at least one of the last 5 disaster situations declared by the national level or where international assistance was requested, has any community participation mechanism been activated for the response?	
Indicator Overview	
<p>The indicator recognizes as a quality attribute that the disaster preparedness activities consider community participation, so that the community is informed and considered in the planning and accountability of response actions.</p> <p>Thus, some regulations, not necessarily in the specific area of DRM, civil protection or response preparations, establish the principle of community participation, and even define specific mechanisms for civil society participation; however, the implementation of these principles is not always evident. Therefore, demonstrating the functioning of these mechanisms is an approximation to the fulfillment of the principle of community participation because through them citizens can monitor the response of their authorities to disasters that affect them.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the last 5 disaster situations that have been declared by the national level or in which international assistance has been requested. 2. Investigate whether existing national regulations on both DRM and community participation consider mechanisms for community participation and consultation during disaster response. 3. Find out if there are processes in place in the country to promote community participation in disaster response, such as roundtables, national dialogues, consultation boards or others that may not be established in the regulations but are in practice coordinated by the DRM lead agency or other public authorities as consultation mechanisms.. 4. Find out if any of the last five declared disaster situations activated any of the identified participation mechanisms. 	
Link to other indicators	
DP-3-1	If there are regulations that establish mechanisms for civil society participation in the disaster preparedness and response processes, this could be the basis for their participation.
RC-3-4	If community participation in post-disaster recovery was verified in any of the last 5 declared disaster situations, such mechanisms could have been initiated in the response phase of the same events.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be evidence of the functioning of at least one mechanism for community participation, or of social, non-governmental and/or private sector organizations in the response in one of the last five disaster situations declared by the national level or in which international assistance was requested. It should be borne in mind that the participation mechanisms identified should not only be of an informative nature for civil society or social and non-governmental organizations, so they should necessarily consider the involvement of the population or its organizations in consultation, decision making and even implementation of public policy on disaster preparedness and response.</p> <p>The community participation mechanism does not necessarily have to be defined by national regulations, but it must have been coordinated by the DRM governing body or other public authority, which must be stated in the respective justification. Likewise, the justification must include the declaration of disaster and/or the request for international assistance to which the operation of the mechanism is linked.</p>	

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Examples of compliance in countries of the region

Panama 2014. According to the Report on the Community Preparedness and Response System activated in the 2010 floods in the Chucunaque River Basin (DP-3-6a) that affected a large part of the national territory and led to the declaration of a national emergency, the community preparedness and response system was activated in the Chucunque River Basin in the Province of Darien.

Example of non-compliance in countries of the region

El Salvador 2016. The mechanism foreseen in the Civil Protection Law for community participation in the response is the Communal Commissions, but no evidence could be found of the activation of some of these Communal Commissions. The last nationwide emergency was Tropical Depression Twelve E, which affected El Salvador in 2011.

E. POST-DISASTER RECOVERY PLANNING (RC)

Code RC-1A-1

Closed-ended question	
1. Are there regulations on post-disaster recovery that define the state's responsibility for this process?	
Indicator Overview	
<p>Post-disaster recovery (RC) refers to the process of restoring acceptable and sustainable living conditions through the <i>rehabilitation</i> and <i>reconstruction</i> of destroyed, interrupted or damaged infrastructure, goods and services in the affected area, including the economic and social <i>reactivation of the</i> community, under conditions of lower risk than those that existed before the disaster.</p> <p><i>Rehabilitation</i> is the stage of recovery that corresponds to the temporary restoration of essential vital services interrupted or deteriorated by the disaster. It is the one during which the attention of the population is continued, but in which the functioning of the vital lines, such as energy, water, roads and communications, and other basic services such as health and the supply of food and provisions are restored.</p> <p><i>Reconstruction</i> is the recovery stage that corresponds to the process of restoring and reinforcing the affected buildings and repairing the physical damage to buildings, infrastructure and production centers after a disaster.</p> <p><i>Reactivation</i> is the state-driven process of restoring livelihoods, productive dynamics, commercial activity and necessary infrastructure linked to the economic activity of a community that has been affected by the occurrence of a disaster.</p> <p>This indicator seeks to ensure that, within the country's legal framework, whether it is the DRM framework or a specific framework for post-disaster recovery, the responsibility of the state to address post-disaster recovery is established.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze current regulations on DRM or other related to post-disaster recovery, to verify if they define state responsibilities for post-disaster recovery. 2. If the identified regulation assigns general responsibilities for DRM, the definition and/or scope of DRM actions should be identified in the same or another DRM regulation to verify that it includes post-disaster recovery as one of the components of DRM. 3. If necessary, meet with representatives of the DRM governing body to inquire about compliance with this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1	The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, there must be national regulations in force that recognize the responsibility of the state, in the face of the effects or consequences left by disasters, both to rehabilitate and to reconstruct basic services and public and private infrastructure damaged or destroyed by the disaster.

This indicator will not be met if the existing regulations in the country only refer to the rehabilitation phase (i.e., the reestablishment of essential vital services interrupted or deteriorated by the disaster), without considering the other phase of the process, i.e., the reconstruction of the infrastructure, goods and services destroyed.

Likewise, it will not be possible to verify the indicator with *ad hoc* regulations that has been generated to carry out reconstruction after a particular disaster and that is not expected to continue after recovery has been implemented (for example, when special temporary reconstruction funds or programs are created).

If necessary, the justification should record the definitions that may be included in the regulations used for rehabilitation, reconstruction and/or recovery actions.

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Examples of compliance in countries of the region

Paraguay 2016. Law No. 2615/05 creating the Secretariat of National Emergency, approved on June 10, 2005 and published in Gazette No. 53 on June 15, 2005 (RC-1A-1a), allows for the validation of this condition since it makes the State responsible through the Secretariat of National Emergency for the rehabilitation and reconstruction processes. The above is made explicit within the objectives of the Secretariat of National Emergency, as indicated in Article 2: *"The SEN shall have the primary objective of preventing and counteracting the effects of emergencies and disasters caused by agents of nature or of any other origin, as well as promoting, coordinating and guiding the activities of public, departmental, municipal and private institutions aimed at the prevention, mitigation, response, rehabilitation and reconstruction of communities affected by emergency situations or disasters."* Later on, within the same law, this responsibility of the State in post-disaster recovery is reaffirmed, giving faculties to the S.E.N. and the Ministry of Finance to request international credits to cover reconstruction needs in case of disasters, where in Article 19 it is indicated that in disaster situations *"When a disaster situation is declared, the S.E.N, jointly with the Ministry of Finance, may request loans abroad for the rehabilitation and reconstruction of the affected areas, and must have the approval of the National Congress, pursuant to Article 202(10) of the National Constitution. The execution of the rehabilitation and reconstruction projects shall be done with criteria of prevention and at least of mitigation, in coordination with the ministries of the branch"*.

Examples of non-compliance in countries of the region

Panama 2014. Panama's DRM regulations (SINAPROC Law and its regulations) and the Decree approving the PNGIRD do not expressly address post-disaster recovery. No other regulations were found to address this issue.

Code RC-1A-2

Closed-ended question	
2. Are there regulations that establish the recovery of livelihoods as a purpose of post - disaster recovery?	
Indicator Overview	
<p>This indicator recognizes as a quality attribute on the DRM or post-disaster recovery norms, when one of them explicitly emphasizes the recovery of livelihoods (meaning forms of production and subsistence of affected communities).</p> <p>The spirit of this indicator lies in the recognition that post-disaster recovery must go beyond the simple restoration of affected housing or infrastructure, that is, that the normalization of the economic activity of the population affected by the disaster be considered an objective of the recovery process.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze whether current DRM regulations or other regulations related to post-disaster recovery establish that the recovery of livelihoods or the economic revival of the affected area is a purpose of post-disaster recovery. 2. If necessary, meet with representatives of the DRM governing body to inquire about compliance with this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1 RC-1A-1 RC-1A-7	The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be national regulations in place that consider livelihood (or economic) recovery as an explicit objective, purpose or goal of post-disaster recovery.</p> <p>This indicator will not be met with <i>ad hoc</i> regulations that have been generated for reconstruction after a particular disaster and that are not expected to continue after recovery has been implemented (for example, when special temporary reconstruction funds or programs are created).</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
<p>Honduras 2014. REGULATIONS OF THE NATIONAL RISK MANAGEMENT SYSTEM LAW (SINAGER for its acronym in Spanish) - EXECUTIVE AGREEMENT NUMBER 032-2010 - (RC-1A-2a) "Art 50. OF THE EARLY RECOVERY OBJECTIVES. Early recovery efforts have three broad objectives: 1. To increase permanent emergency assistance operations through development from humanitarian programs, with the goal of promoting self-reliance of affected populations and helping to rebuild livelihoods.</p>	

Examples of non-compliance in countries of the region
<p>Argentina 2014. There is no general standard for all types of disasters. Only in the area of agricultural emergencies, Law 26509 of 2009 establishes in Article 10 paragraph (c) that the Secretariat of Agriculture, Livestock and Fisheries must "<i>Assist agricultural producers to reduce losses during the agricultural emergency and/or disaster, recover the productive capacity of production systems and reduce vulnerability for future events.</i>"</p>

Code RC-1A-3

Closed-ended question	
3. Are there regulations that establish institutional schemes for the coordination of post-disaster reconstruction?	
Indicator Overview	
<p>The indicator recognizes as a quality attribute of the applicable DRM legal framework or post-disaster recovery regulations that establish permanent institutional schemes for the management and coordination of post-disaster recovery processes, especially at the reconstruction stage.</p> <p>On the other hand, it is not considered good practice to create <i>ad hoc</i> organizations that are commonly established after a disaster, but that in most cases carry out their management without leaving installed capacity to deal with the effects or consequences of new catastrophic events.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze current DRM regulations or other regulations related to post-disaster recovery and verify if they establish institutional schemes and/or procedures for the coordination of post-disaster reconstruction. 2. If necessary, meet with representatives of the DRM governing body to inquire about compliance with this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1 RC-1A-1 RC-1A-7	The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be national regulations in place that establish permanent institutional schemes for the coordination of post-disaster reconstruction, so that there is no need to create <i>ad hoc</i> institutions. The justification must clearly state the institutional schemes (plans, protocols, strategic frameworks, committees or similar) for the coordination of post-disaster reconstruction. Alternatively, it is also accepted as a support for the fulfillment of this indicator that the regulations indicate at least the institution that will be responsible for establishing the coordination mechanisms for post-disaster recovery.</p> <p>It will not be possible to verify this indicator with ad hoc regulations that have been generated to carry out reconstruction after a particular disaster, and which are not expected to continue after recovery has been implemented (for example, when special temporary reconstruction funds or programs are created).</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Dominican Republic 2014. Law No. 147-02, on Risk Management, of September 22, 2002 (RC-1A-1a), considers the coordination schemes for recovery as follows "*Article 24. Specific Action Plan for Post-Disaster Care and Recovery Once a disaster situation has been declared and the National Emergency Plan has been activated, the National Emergency Commission will proceed to prepare a specific action plan for the return to normalcy, recovery and reconstruction of the affected areas, which will be obligatory for all public or private entities that must contribute to its execution, in the terms indicated in the decree of declaration, and its modifications*". Also detailed in Paragraph I, the corresponding inter-institutional coordination instances and the procedures to be carried out when dealing with situations classified as regional, provincial or municipal.

Peru 2014. The indicator is met, since Law No. 29664, which creates the National Disaster Risk Management System (SINAGERD as its acronym in Spanish), approved on February 18, 2011 (RC-1A-3a), states in Article 10

- "Powers of the Presidency of the Council of Ministers (PCM)", paragraph j) stands out "*In situations of disasters of great magnitude, in coordination with the Ministry of Economy and Finance, propose to the National Council for Disaster Risk Management the institutional and financial reconstruction scheme, based on a study of vulnerabilities, damages and needs. This scheme takes into account the competencies of regional and local governments, the existence of organized civil society capacities and the principle of subsidiarity, as established in this law*". Thus, this law establishes that the PCM will be able to establish coordination mechanisms for post-disaster recovery.

On the other hand, Supreme Decree No. 048-2011-PCM, which approves the Regulations of Law No. 29664, which creates the National System of Disaster Risk Management (SINAGERD), of May 25, 2011 (RC- 1A-3b), establishes in Article 36, paragraph 1, as one of the sub-processes of reconstruction "*To define the institutional, management and coordination scheme required for reconstruction based on the guidelines defined in the National Policy on Disaster Risk Management*".

Examples of non-compliance in countries of the region

Brazil 2017. Law 12,608 of April 10, 2012 that institutes the National Policy for Protection and Civil Defense, establishes a financial management regime, linked to requirements to activate the declaration of disaster and access to resources for disaster recovery. All this as a standard process continuously repeated. Additionally, the National Policy for Civil Protection and Defense, published in 2007, establishes in Chapter VIII, "Programs" the following: "*The Reconstruction Program - PRRC - consists of the following subprograms and projects: 4.1. Subprogram for Socioeconomic Recovery of Areas Affected by Disasters; 4.1.1. Population Relocation and Housing Construction Projects for Low-income Populations; 4.1.2. Degraded Area Recovery Projects; 4.2. Subprogram for the Reconstruction of Public Services Infrastructure Affected by Disasters; 4.2.1. It should be noted that neither the Law nor the policy mentioned above establish the creation of specific institutional schemes for post-disaster reconstruction.*"

Code RC-1A-4

Closed-ended question	
4. Are there regulations that establish studies on the causes of disasters in order to guide a recovery that prevents the return of the pre-existing risk conditions?	
Indicator Overview	
<p>One of the recent advances in DRM is the methodology called "forensic investigation" of disasters (FORIN). This is research on the causes of disasters to guide recovery that avoids the restitution of pre-existing risk conditions.</p> <p>This indicator is derived from the recognition that risk is a factor that always has causal agents (dynamic pressures and root causes), which can be largely the reason for losses. The causal agents of disasters are usually political, social and economic, as natural events act as "triggers" for pre-existing conditions that determine disaster risk. In this sense, this indicator values that, from the DRM regulation or the one that applies to post-disaster recovery processes, it is established as mandatory to study the causes of disasters, so that during reconstruction the pre-existing risks are not reproduced.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze whether the current DRM regulations or other regulations related to post-disaster recovery mandate studies to determine the causes of the disaster in order to guide the reconstruction process so that it does not reproduce pre-existing risks. 2. If necessary, meet with representatives of the DRM governing body to inquire about compliance with this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1 RC-1A-1 RC-1A-2 RC-1A-3 RC-1A-7	The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must explicitly establish the conduct of studies on the causes of disasters, so that the information will enrich post-disaster recovery processes in order to avoid reproducing pre-existing risks.</p> <p>The indicator will not be met if the identified regulation indicates that recovery will be done by "rebuilding better" or reducing existing vulnerabilities. It is necessary that the regulations make explicit mention of studies on the causes of the impact of disasters.</p> <p>This should not be confused with disaster impact assessments (e.g., those using the ECLAC and WB-EU-UNDP DALA or PDNA methodologies, respectively). In this indicator we are referring to the analysis of the underlying risk factors prior to the occurrence of the disaster (for example: inadequate land occupation, environmental degradation, marginalization and social exclusion, accelerated urban growth, lack of application of prevention norms in construction, etc.).</p> <p>It will not be possible to verify this indicator, with ad hoc regulations that have been generated to carry out reconstruction after a particular disaster, and which are not expected to continue after recovery has been implemented (for example, when special temporary reconstruction funds or programs are created).</p>	

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Examples of compliance in countries of the region

Peru 2013. Supreme Decree No. 048-2011-PCM, which approves the regulations for Law No. 29664, which creates the National Disaster Risk Management System (SINAGERD), of May 25, 2011 (RC-1A-4a), establishes in Article 36 the sub-processes of the Reconstruction, among them, numeral 36.4, on impact evaluation, which consists of *"Carrying out the evaluation of the socioeconomic impact in the disaster scenario, identifying dynamic pressures and root causes"*. This is complemented by the participatory planning sub-process, which according to numeral 36.7 is aimed at *"Participatory formulation of the integral reconstruction plan that does not reproduce pre-existing risks, defining the scope, implementation strategies, activities and responsibilities, budgets and monitoring and evaluation indicators"*.

Examples of non-compliance in countries of the region

Costa Rica 2014. No evidence was found in the National Law on Emergencies and Risk Prevention (Law N. 8488 of October 27, 2005), the Regulations to the National Law on Emergencies and Risk Prevention, or in the National Risk Management Plan 2010-2015 that mandates the formulation of post-disaster recovery plans that explicitly seek to reduce pre-existing vulnerability, or that establishes the conduct of studies on the causes of disasters to guide recovery to avoid the restitution of pre-existing risk conditions. This was confirmed in an interview with the head of the Planning and Evaluation Unit of the National Commission for Risk Prevention and Emergency Care (CNE for its acronym in Spanish).

Code RC-1A-5

Closed-ended question	
5. Are there regulations mandating the formulation of post-disaster recovery plans that explicitly seek to reduce pre-existing vulnerability?	
Indicator Overview	
<p>Disasters highlight the risk factors that affect the level of damage and loss of communities, services, infrastructure and livelihoods affected by the adverse event. Therefore, post-disaster recovery actions represent a unique opportunity to take measures to reduce exposure and vulnerability that will reduce the risk of future similar events, thus contributing to lay the foundation for a development model that is resilient to natural hazards.</p> <p>Thus, in post-disaster recovery processes it may be decided to relocate affected populations and infrastructure to safe areas, to incorporate risk reduction actions in the reconstruction and rehabilitation of damaged infrastructure and livelihoods, and to update design, construction, development or land-use planning regulations based on learning about the causes of damage and losses.</p> <p>Therefore, it is considered a good practice that the regulations on Disaster Risk Management or those linked to post-disaster recovery; establish the formulation of post-disaster recovery plans that explicitly consider reducing the levels of pre-existing vulnerability.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze whether current DRM regulations or other regulations related to post-disaster recovery mandate the formulation of post-disaster recovery or reconstruction plans. 2. Verify whether the regulations explicitly establish the reduction of pre-existing vulnerability as an objective or quality criterion for these plans. 3. If necessary, meet with representatives of the DRM governing body to inquire about compliance with this indicator. 	
Link to other indicators	
GF-1A-1 DP-1A-1 RC-1A-1 RC-1A-2 RC-1A-3 RC-1A-4 RC-1A-7	<p>The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.</p>
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the following conditions must be satisfied:</p> <ol style="list-style-type: none"> 1. That the current national regulations mandate the formulation of disaster recovery plans. 2. That these regulations establish the reduction of pre-existing vulnerability as an explicit objective of these plans. <p>Compliance with this indicator will not be supported by <i>ad hoc</i> regulations that have been generated in the framework of reconstruction after a particular disaster, and which are not expected to continue after such reconstruction has been implemented (for example, when special temporary reconstruction funds or programs are created).</p>	

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Examples of compliance in countries of the region

Colombia 2013. Law 1523 of April 24, 2012 (RC-1A-5a), *"By which the national policy of disaster risk management is adopted and the National System of Disaster Risk Management is established and other provisions are issued"*, defines in Article 61, the obligation to formulate a *"specific action plan for recovery"*, and provides that it *"shall integrate the actions required to ensure that the pre-existing disaster risk is not reactivated in harmony with the concept of territorial security"*.

Examples of non-compliance in countries of the region

Uruguay 2015. Law No. 18,621 of the National Emergency System was reviewed and no references were found to the condition that this indicator tracks. It should be noted that Article 9 of this law establishes in Appendix C that the National Advisory Commission for Risk Reduction and Disaster Response is responsible for: *"Proposing measures or actions to reduce existing vulnerability"*. However, the reference is general and not linked to the process of formulating post-disaster recovery plans, to which the indicator refers.

Code RC-1A-6

Closed-ended question	
6. Are there regulations mandating the ex-ante formulation of post-disaster recovery plans?	
Indicator Overview	
<p>This indicator seeks to determine a quality criterion of the general normativity regarding post-disaster recovery (RC), specifically the moment when recovery plans should be formulated. Normally countries, even without legislation, only deal with recovery after a disaster. On the other hand, planning for humanitarian response is often common. Some countries even define scenarios of possible damage and plan the restoration of critical public services based on these scenarios. However, it is not as common to formulate recovery plans before the disaster has occurred as it is with humanitarian response.</p> <p>This indicator considers it good practice to plan for recovery in advance, that is, before the disaster has occurred. It is a quality attribute of national regulations that mandate the ex-ante elaboration of recovery plans based on damage, loss and need scenarios, containing, among others, the following elements: (i) a plan for the generation and processing of information, based on the deficits identified in the analysis of the scenarios, and including various actions such as investment in the generation, processing and analysis of data, (ii) the inter-institutional agreements for recovery that must be prepared, including agreements with the private sector, for each affected scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) as well as budget and program reorientation and new debt, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of the actors or entities responsible for the actions contained in the plan.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze current regulations on DRM or other related to post-disaster recovery, to verify that they establish the formulation of recovery or reconstruction plans. 2. Verify if this formulation should be done <i>ex-ante</i> (at least at a basic or general level of planning). 3. If necessary, interview representatives of the DRM governing body to inquire about compliance with this indicator. 	
Link to other indicators	
<p>GF-1A-1</p> <p>DP-1A-1</p> <p>RC-1A-1</p> <p>RC-1A-2</p> <p>RC-1A-3</p> <p>RC-1A-4</p> <p>RC-1A-5</p> <p>RC-1A-7</p>	<p>The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.</p>
Description of the minimum situation required to consider the indicator met	

For the indicator to be met, the regulations identified must mandate the ex-ante formulation of recovery plans, at least at a general or schematic level (planning of previous activities that could be carried out before the disaster condition is verified).

Compliance with the indicator cannot be supported by *ad hoc* regulations that have been generated to carry out reconstruction after a particular disaster, and which are not expected to continue after such reconstruction has been carried out (for example, when special temporary reconstruction funds or programs are created).

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. This concept is incorporated in the Continuity of Operations Plans that the General Law of Civil Protection, published on June 22, 2012 (RC-1A-6a) defines in Article 3, section XII, as "... *the process of planning, documentation and action that guarantees that the substantive activities of public, private and social institutions, affected by a disruptive agent, can be recovered and returned to normal in a minimum time. This planning should be contained in a document or series of documents whose content is directed towards prevention, immediate response, recovery and restoration, all of which are supported by continuous training sessions and the conduct of drills*

Examples of non-compliance in countries of the region

Argentina 2014. The regulations on the subject do not specify an ex ante plan scheme for post-disaster recovery. Decree 1250/1999 establishes that the Emergency Cabinet (GADE for its acronym in Spanish) must 6.3 "Formulate the *policies and norms related to mitigation, response and recovery of all types of emergencies*". 6.6 "A p p r o v e the *mitigation, response and recovery plans and any project or program that is developed within the scope of SIFEM*". Despite the fact that it speaks of recovery plans, the standard does not specify that these must be formulated "ex ante", therefore, the indicator is not met.

Code RC-1A-7

Closed-ended question	
7. Are there regulations that state that post-disaster recovery plans should define the duration of the phase that will support the restoration of livelihoods, during the transition between response and reconstruction?	
Indicator Overview	
<p>As with the preceding indicators, a quality criterion for DRM standards or those linked to post-disaster recovery is proposed here, specifically related to defining the duration of the livelihood recovery phase, which generally takes place during the transition between humanitarian response and infrastructure reconstruction.</p> <p>Its importance lies in the fact that, if the recovery phase of the affected or destroyed livelihoods is not addressed in a timely manner, the families affected by the disaster may suffer from decapitalization (thus impoverishment) and this may eventually lead to forced migration to areas of greater economic activity. This migration does not always meet the expectations of those who migrate, resulting also in an affectation of the social fabric of the area impacted by the disaster, in addition to overloading the provision of public services in the places receiving such migration.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze current DRM or other regulations related to post-disaster recovery and verify whether they establish or mention livelihood recovery as an integral part of the overall post-disaster recovery process. 2. Analyze if the regulations establish that reasonable time thresholds (maximums) should be defined for the execution of the recovery plans (these may vary depending on the complexity of the disaster scenario). 3. If necessary, meet with representatives of the DRM governing body to inquire about compliance with this indicator. 	
Link to other indicators	
<p>GF-1A-1</p> <p>DP-1A-1</p> <p>RC-1A-1</p> <p>RC-1A-2</p> <p>RC-1A-3</p> <p>RC-1A-4</p> <p>RC-1A-5</p> <p>RC-1A-6</p>	<p>The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.</p>
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to comply with the identified regulations:</p> <ol style="list-style-type: none"> 1. It should explicitly state that livelihood recovery is an integral part of the overall disaster recovery process. That is, for the purposes of this indicator, it will not be assumed that livelihood recovery is part of disaster recovery. An explicit mention in the regulations is required. 2. Additionally, you must satisfy one of the following conditions: <ol style="list-style-type: none"> a) It establishes the maximum duration of the stage that will support the restoration of livelihoods. b) It establishes that recovery plans should define this duration. 	

The indicator with *ad hoc* regulations that have been generated to carry out reconstruction after a particular disaster, and which are not expected to continue after recovery has been implemented (for example, when special temporary reconstruction funds or programs are created), will not be met.

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Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed

Examples of non-compliance in countries of the region

Colombia 2013. The sole paragraph of Article 64 (Return to normalcy), of Law 1523 (DRM law) of 2012, establishes that *"The term for the declaration of return to normalcy may not exceed six (6) months for the declaration of public calamity and twelve (12) months for the declaration of a disaster situation, in these cases, it may be extended for one time and up to the same term, subject to a favorable concept of the National or Territorial Council, for risk management, as the case may be. The terms will begin to be counted from the day following the issuance of the presidential decree or the administrative act that declared the situation of disaster or public calamity"*. However, the norm does not expressly establish that the specific action plan must define the duration of the stage in which the restoration of livelihoods will be supported, and therefore the indicator is not met.

Code RC-1A-8

Closed-ended question	
8. Are there regulations that state that post-disaster recovery plans must define the length of time in which affected homes must be repaired or rebuilt?	
Indicator Overview	
<p>As with the previous indicator, in this case it is important to establish whether the Disaster Risk Management (DRM) regulations, which govern the post-disaster recovery (RC) process or other related existing in the country, provide for recovery plans to define the duration of the period of repair or reconstruction of the affected homes that are the fiscal responsibility of the state. Usually in the Latin American and Caribbean region, the state is responsible for all or part of the cost of rebuilding affected housing in the poorest socioeconomic strata.</p> <p>The determination of goals associated with reasonable time frames within reconstruction plans is considered a good practice that reduces uncertainty in the affected population and improves the image and performance of the state in the face of this RCprocess.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Analyze the current regulations on DRM or other regulations related to post-disaster recovery and verify whether they establish that recovery plans must define a reasonable (maximum) time frame for the repair or reconstruction stage of housing. 2. If necessary, interview representatives of the DRM or housing sector governing body to inquire about compliance with this indicator. 	
Link to other indicators	
<p>GF-1A-1</p> <p>DP-1A-1</p> <p>RC-1A-1</p> <p>RC-1A-2</p> <p>RC-1A-3</p> <p>RC-1A-4</p> <p>RC-1A-5</p> <p>RC-1A-6</p> <p>RC-1A-7</p>	<p>The regulations identified to verify these indicators may contain considerations that guide or enable the consideration being investigated to be fulfilled.</p>
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, the identified regulations should stipulate that the recovery plans must define the period of time during which the affected homes that are the fiscal responsibility of the State must be repaired or rebuilt.</p> <p>This indicator will not be met with <i>ad hoc</i> regulations that have been generated for reconstruction after a particular disaster, and which are not expected to continue after recovery has taken place (for example, when special temporary reconstruction funds or programs are created).</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. The Operational Guidelines of the Natural Disaster Fund, (LOFONDEN for its acronym in Spanish) (RC-1A-8a) published in 2010, establish that there will be calendars of works and actions in reconstruction tasks (article 20), even before resources are authorized. In Annex IV "*Housing assistance*", numeral 1, "*Scope*", indicates that once the emergency phase is over, housing assistance actions will be carried out in two stages, either immediate attention or reconstruction. Numeral 2, "*Specific considerations of the modalities*", specifies that, according to the magnitude of the damage to the housing, it will be classified into four levels of damage, and in numeral 3.7 defines the modalities of termination of support for housing. Finally, in numeral 7 of Annex IV, point 7.5 specifies that the work schedules may only be modified on two occasions.

Examples of non-compliance in countries of the region

Nicaragua 2016. No evidence was found of regulations establishing that post-disaster recovery plans should define the period of time in which affected homes must be repaired or rebuilt. Law No. 863 of Reform to Law No. 337 "*Law Creating the National System for the Prevention, Mitigation and Attention to Disasters*", published in The Gazette on Monday, May 18, 2014; Law No. 337, Creation of the National System for the Prevention, Mitigation and Attention to Disasters (SINAPRED), approved on March 8, 2000, published in The Gazette No. 70 of April 7, 2000; Decree 98-2000, Regulations for the Assignment of SINAPRED functions to Institutions of the State. The National Framework for Post-Disaster Recovery, published by SINAPRED in June 2014, in its title 7.1 Conceptual aspects (page 14), establishes that: "*Post-disaster recovery can and must be planned... Recovery preparation implies: ...Preparing the institutional framework and the citizenry: Generating capacities through training, awareness, practices and policies for action;... inserting into the daily practice of the economic sector, the institutional framework and the community the necessary provisions to guarantee the continuity of activities, the rapid recovery of routines and the facilities for the restoration of normality in the shortest time possible...*" Title 8. Establishment of sectoral content, subtitle 8.3 Area of habitat and housing (page 32, defines that: "*...Housing rehabilitation / reconstruction is a key element in closing the gap between emergency relief and sustainable recovery... early recovery in this sector focuses on supporting the population's spontaneous reconstruction efforts, meeting transitional housing needs and laying the groundwork for the long-term recovery of the housing sector*" Three phases are presented (diagram on page 33): Humanitarian Phase, Early Recovery, and Long-term Recovery. The National Post-Disaster Recovery Framework is not regulated and the document itself, in its third paragraph, highlights that "*This proposed recovery framework is only indicative, providing political and institutional actors with a set of general guidelines to support the consolidation and development of the measures and instruments necessary for recovery planning in Nicaragua*".

Code RC-1B-1

Closed-ended question	
1. Are the responsibilities for carrying out post - disaster recovery preparation activities defined under the environmental sector regulations?	
Indicator Overview	
<p>This indicator values the fact that the environmental sector's regulations establish, within the scope of its competence, the responsibility to plan before the disaster occurs, or to make advance preparations for recovery. In other words, planning and/or preparedness actions carried out ex-ante to the occurrence of the disaster, and not only ex-post (which is the most common practice in the region).</p> <p>It is considered a quality attribute of the sectorial regulations that mandate the ex-ante elaboration of sectorial recovery plans based on damage, loss and need scenarios, containing, among others, the following elements (i) a plan for information generation and processing, based on the deficits identified in the analysis of the scenarios, and including various actions such as investment in data generation, processing and analysis, (ii) the inter-institutional agreements for recovery that must be prepared, including agreements with the private sector, for each affected scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) as well as budget and program reorientation, and new indebtedness, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of dependencies and/or entities assigned to the sector that are responsible for the actions contained in such plan.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 4. Identify current environmental regulations in the country, particularly those related to disaster risk management (DRM) components or similar. 5. Analyze whether the regulations define the responsibility to plan, or to make preparations for, recovery, before the occurrence of the disaster and within the scope of their competencies. 6. If necessary, consult with representatives of the environmental sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-8 RR 1B-6 RR-1B-7 DP-1B-3	Check whether the regulations used for these indicators allow for the verification of this indicator.
RC-2-1	In the case of verifying that the ministry of environment has an ex ante plan for post-disaster recovery, investigate the regulations that may have mandated it.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the regulations identified must explicitly establish responsibility for planning, or making preparations for the recovery before the occurrence of the disaster and within the scope of their competencies.</p> <p>The justification must clearly establish the type of responsibilities or actions included in the regulations, as well as evidence that they must be carried out <i>ex-ante</i>, that is, in advance of the occurrence of the disaster.</p>	

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Examples of compliance in countries of the region

Honduras 2014. In the AGREEMENT NUMBER 109-93 - GENERAL REGULATIONS OF THE ENVIRONMENTAL LAW, published in the Gazette on February 5, 1994 (RC-1B-1a), indicates in Article 78 that "It is the obligation of the Secretariat of the Environment to participate jointly with the Permanent Commission on Contingencies in the planning for the prevention, mitigation, attention and rehabilitation of natural disasters".

Examples of non-compliance in countries of the region

El Salvador 2016. The Environmental Law, created by Legislative Decree No. 233, dated 03/02/1998, published in the Official Gazette No. 79, Volume 339, dated 05/04/1998, establishes the duty of the State and its institutions to adopt measures to prevent, avoid and control environmental disasters - Art. 53-, and that the Ministry of the Environment, in coordination with the National Emergency Committee, will prepare the National Plan for Environmental Prevention and Contingency, being the latter the one that will execute it -Art. 55-; however, to date the referred Plan has not been prepared and therefore the real scope of the mandate established by said article has not been able to be corroborated. On the other hand, the other regulations contained in the law also do not specifically define the responsibility for carrying out post-disaster recovery preparation activities within the scope of their competencies. Therefore, the indicator is not met.

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?	
Indicator Overview	
<p>This indicator values the fact that the agricultural sector's regulations establish, within its sphere of competence, the responsibility for planning before the disaster occurs, or for making advance preparations for recovery. In other words, planning and/or preparedness actions carried out before a disaster occurs, and not only ex-post (which is the most common practice in the region).</p> <p>It is considered a quality attribute of the sectorial regulations that mandate the ex-ante elaboration of sectorial recovery plans based on damage, loss and need scenarios, containing, among others, the following elements (i) a plan for information generation and processing, based on the deficits identified in the scenario analysis, and including various actions such as investment in data generation, processing and analysis, (ii) the inter-institutional agreements for recovery to be prepared, including agreements with the private sector, for each affected scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) as well as budget and program reorientation, and new indebtedness, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of dependencies and/or entities assigned to the sector that are responsible for the actions contained in such plan.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify current agricultural sector regulations in the country, particularly those related to disaster risk management (DRM) components or similar. 2. Analyze whether the regulations define the responsibility to plan, or to make preparations for, recovery, before the occurrence of the disaster and within the scope of their competencies. 3. If necessary, consult with representatives of the agricultural sector about the existence of regulations that would allow for the validation of this indicator. 	
Link to other indicators	
RI-1B-9 DP-1B-4 DP-1B-8	Check whether the regulations used for these indicators allow for the verification of this indicator
RC-2-2	In the case of verifying that the ministry of agriculture has an ex ante post-disaster recovery plan, investigate the regulations that may have mandated it.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the regulations identified must explicitly establish responsibility for planning, or making preparations for the recovery before the occurrence of the disaster and within the scope of their competencies.</p> <p>The justification must clearly establish the type of responsibilities or actions included in the regulations, as well as evidence that they must be carried out <i>ex-ante</i>, that is, in advance of the occurrence of the disaster.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Dominican Republic 2014. Resolution No. 34-11 of the Ministry of Agriculture, of June 13, 2011 (DP-1B-4a) establishes in its Article 5 *"The mission of the department will be to guide the management and coordinate with the entity of the National System of Prevention, Mitigation and Response, to apply the prevention and reduction of risks and to facilitate the organization of preparations for emergency attention, rehabilitation and reconstruction in case of disaster, incorporating disaster risk management in the planning of the Dominican agricultural sector..."*.

Argentina 2014. Law No. 26,509, which creates the National System for the Prevention and Mitigation of Agricultural Emergencies and Disasters (Agricultural Emergency), enacted on August 27, 2009 (RC-1B-2a), specifies in Article 12 that *"The resources allocated in the general budget law for prevention actions, and the resources of the Fund created by this law to mitigate and/or repair the damage caused by agricultural emergencies and disasters shall include: 1. Investment and operating expenses of the public entities that will develop the systems of prevention, land management, mitigation measures and preparation of the agricultural producers to reduce vulnerability; 2. Investment and operating expenses of the direct beneficiaries derived from mitigation measures or to reduce the vulnerability of their productive units with greater risk of possible agricultural emergencies and/or disasters. 3. Specific permanent programs for the prevention and mitigation of agricultural emergencies and/or disasters developed by the Secretariat of Agriculture, Livestock, Fisheries and Food. Article 13 distinguishes those resources directed to public entities: "The resources assigned in the general budget law to prevention actions and the resources of the Fund created by the present law to mitigate and/or repair the damages caused by the situations of emergencies and agricultural disasters for public entities shall be: a) One-time subsidies for the preparation of projects, organization of the beneficiary community, monitoring systems and transfer of information, protection works, preparation of risk maps, among other actions to prepare for the possible occurrence of adverse events; b) Subsidies for operating costs of the warning systems set up during the first three (3) years". The Fund also provides for the use of financial and credit mechanisms to assist affected producers and to recover production in the event of a disaster. On the other hand, Article 22, number 1.b) establishes the "Granting, in emergency or agricultural disaster areas, of credits that allow for the continuity of farms, the recovery of the economies of the affected producers, and the maintenance of their personnel, with interest rates subsidized by twenty-five percent (25%) in the areas declared in agricultural emergency and fifty percent (50%) in the disaster areas over those in force in the market for these operations in accordance with the rules established by the banking institutions; 2. Technical and financial assistance by making non-reimbursable contributions for investment and operating expenses to restore productive capacity, with preference for family producers with small scales of production and subsistence".*

Examples of non-compliance in countries of the region

Colombia 2013. Law 69 of 1993, *"by which the Agricultural Insurance is established in Colombia, the National Fund for Agricultural Risks is created, and other provisions on agricultural credit are issued"*. Although this regulation contributes to post-disaster recovery, it is already considered in the FP component of the iGOPP (see FP-2-15). In the area of RC, the regulations have defined the responsibility for carrying out recovery preparation activities in the sector. At the time of application, no evidence of such regulations was found.

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?	
Indicator Overview	
<p>This indicator values the fact that the health sector's regulations establish, within its sphere of competence, the responsibility to plan before the disaster occurs, or to make advance preparations for recovery. In other words, planning and/or preparedness actions carried out before a disaster occurs, and not only ex-post (which is the most common practice in the region).</p> <p>It is considered a quality attribute of the sectorial regulations that mandate the ex-ante elaboration of sectorial recovery plans based on damage, loss and need scenarios, containing, among others, the following elements (i) a plan for information generation and processing, based on the deficits identified in the scenario analysis, and including various actions such as investment in data generation, processing and analysis, (ii) the inter-institutional agreements for recovery to be prepared, including agreements with the private sector, for each affected scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) as well as budget and program reorientation, and new indebtedness, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of dependencies and/or entities assigned to the sector that are responsible for the actions contained in such plan.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify current health sector regulations in the country, particularly those related to disaster risk management (DRM) components or similar. 2. Analyze whether the regulations define the responsibility to plan, or to make preparations for, recovery, before the occurrence of the disaster and within the scope of their competencies. 3. If necessary, consult with representatives of the health sector about the existence of regulations that allow the validation of this indicator 	
Link to other indicators	
RI-1B-10 DP-1B-5 RI-1B-9	Check whether the regulations used for these indicators allow for the verification of this indicator.
RC-2-3	In the case of verifying that the ministry of health has an ex ante plan of recovery, inquire about the regulations that eventually have mandated it.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the regulations identified must explicitly establish responsibility for planning, or making preparations for the recovery before the occurrence of the disaster and within the scope of their competencies.</p> <p>The justification must clearly establish the type of responsibilities or actions included in the regulations, as well as evidence that they must be carried out <i>ex-ante</i>, that is, in advance of the occurrence of the disaster.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

El Salvador 2016. The National Health Policy, approved by Executive Agreement No.126 dated February 10, 2010, Published in D.O. No.33, Volume No.386 dated February 17, 2010 (RC-1B-4), in Strategy 13: Reduction of the Impact of Emergencies and Disasters, instructs in the Line of Action 13.1 that it is due: *"Formulate policies, plans and programs for prevention, mitigation, preparedness, response and early rehabilitation to reduce the impact of disasters on public health, with a comprehensive approach to the damage and etiology of each and every possible emergency or disaster in the country.* Based on the above, in 2011 the Ministry of Health issues the Technical Guidelines for the Preparation, Response and Rehabilitation of Basic Health Services in Emergencies and Disasters, being the general objective of the document: *"To define the mechanisms and procedures of preparation and rapid and effective response to guarantee medical, health and rehabilitation assistance to the population, when an event of natural and/or anthropic origin occurs with the integration, coordination and management of the institutions that make up CISALUD and CTSS, which together with the community make up the National System of Civil Protection, Prevention and Mitigation of Disasters."*

Examples of non-compliance in countries of the region

Nicaragua 2016. No evidence was found that the health sector has specific regulations defining responsibility for carrying out disaster recovery preparedness activities within the scope of its competencies. Law No. 423, General Health Law, approved on March 14, 2002, in its Article 12 establishes that for the purposes of the Law, health actions are understood as interventions aimed at interrupting the epidemiological chain of diseases for the benefit of individuals and society in general, to promote, protect, recover and rehabilitate the health of individuals and the community. Article 397 establishes that *"In the case of disasters, MINSA, through the Departmental Health Councils, Autonomous Regional Councils of the Atlantic Coast, Municipal Health Councils and the Emergency and Disaster Program, will coordinate the fulfillment of the functions foreseen in the Regulations for the Assignment of Functions of the National System for the Prevention, Mitigation and Attention to Disasters to State Institutions"*. The functions assigned in this regulation to the Ministry of Health do not define the responsibility to carry out (ex-ante) preparedness activities for post-disaster recovery within the scope of its competencies.

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?	
Indicator Overview	
<p>This indicator values the fact that the housing sector's regulations establish, within its sphere of competence, the responsibility to plan before the disaster occurs, or to make advance preparations for recovery. In other words, planning and/or preparation actions carried out ex-ante to the occurrence of the disaster, and not only ex-post (which is the most common practice in the region).</p> <p>It is considered a quality attribute of the sectorial regulations that mandate the ex-ante elaboration of sectorial recovery plans based on damage, loss and need scenarios, containing, among others, the following elements (i) a plan for information generation and processing, based on the deficits identified in the analysis of the scenarios, and including various actions such as investment in data generation, processing and analysis, (ii) the inter-institutional agreements for recovery that must be prepared, including agreements with the private sector, for each scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) and budget and program reorientation, and new indebtedness, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of dependencies and/or entities assigned to the sector that are responsible for the actions contained in such plan.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify current health sector regulations in the country, particularly those related to disaster risk management (DRM) components or similar. 2. Analyze whether the regulations define the responsibility to plan, or to make preparations for, recovery, before the occurrence of the disaster and within the scope of their competencies. 3. If necessary, consult with representatives of the health sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RC-1B-4 DP-1B-6 RR-1B-10	Check whether the regulations used for these indicators allow for the verification of this indicator.
RC-2-4	In the case of verifying that the ministry of health has an ex ante post-disaster recovery plan, inquire about the regulations that may have mandated it.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the regulations identified must explicitly establish responsibility for planning, or making preparations for the recovery before the occurrence of the disaster and within the scope of their competencies.</p> <p>The justification must clearly establish the type of responsibilities or actions included in the regulations, as well as evidence that they must be carried out <i>ex-ante</i>, that is, in advance of the occurrence of the disaster.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. The Housing Law, published in the Official Gazette of the Federation on June 27, 2006 (RC-1B-4a) states in Article 82: *"The Commission shall promote the execution of agreements and arrangements with producers of basic materials for the construction of housing at preferential prices for:*
I. The attention to programs of emergent housing for attention to victims, derived from Disasters...".

Examples of non-compliance in countries of the region

Colombia 2013. The sector has defined regulations for disaster preparedness processes, but they are only explicitly referred to in the area of drinking water and basic sanitation (APSB for its acronym in Spanish), which are part of the competencies of the Ministry of Housing, City and Territory. For recovery issues, no normative evidence has been found to support compliance with this indicator.

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?	
Indicator Overview	
<p>This indicator values the fact that the education sector's regulations establish, within its sphere of competence, the responsibility for planning before the disaster occurs, or for making advance preparations for recovery. In other words, planning and/or preparedness actions carried out before a disaster occurs, and not only ex-post (which is the most common practice in the region).</p> <p>It is considered a quality attribute of the sectorial regulations that mandate the ex-ante elaboration of sectorial recovery plans based on damage, loss and need scenarios, containing, among others, the following elements (i) a plan for information generation and processing, based on the deficits identified in the analysis of the scenarios, and including various actions such as investment in data generation, processing and analysis, (ii) the inter-institutional agreements for recovery that must be prepared, including agreements with the private sector, for each scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) and budget and program reorientation, and new indebtedness, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of dependencies and/or entities assigned to the sector that are responsible for the actions contained in such plan.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify current education sector regulations in the country, particularly those related to disaster risk management (DRM) components or similar. 2. Analyze whether the regulations define the responsibility to plan, or to make preparations for, recovery before the occurrence of the disaster and within the scope of their competencies. 3. If necessary, consult with representatives of the education sector about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RI-1B-12 DP-1B-7 RR-1B-11	Check whether the regulations used for these indicators allow for the verification of this indicator
RC-2-5	In the case of verifying that the ministry of health has an ex ante post-disaster recovery plan, inquire about the regulations that may have mandated it.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the regulations identified must explicitly establish responsibility for planning, or making preparations for the recovery before the occurrence of the disaster and within the scope of their competencies.</p> <p>The justification must clearly establish the type of responsibilities or actions included in the regulations, as well as evidence that they must be carried out <i>ex-ante</i>, that is, in advance of the occurrence of the disaster.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Ecuador 2016. The General Regulations to the Organic Law on Intercultural Education approved in 2012 (RC-1B-5a), in Art. 92. on the requirements that must be presented to grant authorization for the creation and operation of educational institutions, determines: " 3. With Ministerial Agreement (Ministry of Education) No ME-2016-00096-A of October 14, 2016 (RC-1B-5b), the Comprehensive Policy on School Safety in the National Education System was issued, the texts of which have not yet been published. The objectives of the aforementioned policy are: *"prevention and reduction of integral risks in the educational institution; preparation to face emergencies; progressive development of students' self-protection capacities; and, continuous improvement of school safety processes"*. The Organic Statute of Organizational Management by Processes of the Ministry of Education, approved in 2012 (RC-1B-5c), specifies the following within the mission of the National Directorate of Risk Management, which is part of the Undersecretariat of School Administration *"Prepare for emergencies and disasters and for post-disaster recovery, ensuring the continuity of educational processes"*.

Examples of non-compliance in countries of the region

Guatemala 2013. No evidence was found that there are any education sector regulations (laws, policies, regulations, resolutions) that define the responsibility for carrying out disaster recovery preparedness activities within the scope of their competencies. The website of the Ministry of Education was consulted and the National Education Law (Legislative Decree 12 - 91) and several decrees that make up the sector's regulatory framework were reviewed.

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?	
Indicator Overview	
<p>This indicator values the fact that the tourism sector's regulations establish, within the scope of its competence, the responsibility to plan before the disaster occurs, or to make advance preparations for recovery. In other words, planning and/or preparation actions carried out ex-ante to the occurrence of the disaster, and not only ex-post (which is the most common practice in the region).</p> <p>It is considered a quality attribute of the sectorial regulations that mandate the ex-ante elaboration of sectorial recovery plans based on damage, loss and need scenarios, containing, among others, the following elements (i) a plan for information generation and processing, based on the deficits identified in the scenario analysis, and including various actions such as investment in data generation, processing and analysis, (ii) the inter-institutional agreements for recovery to be prepared, including agreements with the private sector, for each affected scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) as well as budget and program reorientation, and new indebtedness, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of dependencies and/or entities assigned to the sector that are responsible for the actions contained in such plan.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify current tourism sector regulations in the country, particularly those related to disaster risk management (DRM) components or similar. 2. Analyze whether the regulations define the responsibility to plan, or to make preparations for, recovery before the occurrence of the disaster and within the scope of their competencies. 3. If necessary, consult with representatives of the tourism sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-13 DP-1B-8 RR-1B-12	Check whether the regulations used for these indicators allow for the verification of this indicator
RC-2-6	In the case of verifying that the Ministry of Tourism (or equivalent entity) has an ex ante recovery plan, inquire about the regulations that may have mandated it.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the regulations identified must explicitly establish responsibility for planning, or making preparations for the recovery before the occurrence of the disaster and within the scope of their competencies.</p> <p>The justification must clearly establish the type of responsibilities or actions included in the regulations, as well as evidence that they must be carried out <i>ex-ante</i>, that is, in advance of the occurrence of the disaster..</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Mexico 2014. No explicit evidence was found on the fulfillment of this condition. At the level of the General Law of Tourism, brief fractions of articles 4, 9 and 10 are dedicated to establish the general responsibilities, which could be interpreted to include recovery planning activities, but as they are not explicit they are not sufficient for a positive evaluation of the indicator.

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)?	
Indicator Overview	
<p>This indicator values that the regulations of the transport sector, understood as road works, establish in the scope of its competence, the responsibility of planning before the disaster occurs, or of carrying out in advance preparations for the recovery. That is, those planning and/or preparation actions carried out <i>ex-ante</i> to the occurrence of the disaster, and not only those <i>ex-post</i>s (which is the most common practice in the region).</p> <p>It is considered a quality attribute of the sectorial regulations that mandate the <i>ex-ante</i> elaboration of sectorial recovery plans based on damage, loss and need scenarios, containing, among others, the following elements (i) a plan for information generation and processing, based on the deficits identified in the analysis of the scenarios, and including various actions such as investment in data generation, processing and analysis, (ii) the inter-institutional agreements for recovery that must be prepared, including agreements with the private sector, for each affected scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) as well as budget and program reorientation, and new indebtedness, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of dependencies and/or entities assigned to the sector that are responsible for the actions contained in such plan.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify transport sector regulations (understood as road works) in force in the country, particularly those related to disaster risk management (DRM) components or similar. 2. Analyze whether the regulations define the responsibility to plan, or to make preparations for recovery before the occurrence of the disaster and within the scope of their competencies. 3. If necessary, consult with representatives of the transport sector about the existence of regulations that allow the validation of this indicator. 	
Link to other indicators	
RI-1B-14 DP-1B-9 RR-1B-13	Check whether the regulations used for these indicators allow for the verification of this indicator
RC-2-7	In the case of verifying that the ministry of transport (or equivalent entity) has an <i>ex ante</i> recovery plan, inquire about the regulations that may have mandated it.
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the regulations identified must explicitly establish responsibility for planning, or making preparations for the recovery before the occurrence of the disaster and within the scope of their competencies.</p> <p>The justification must clearly establish the type of responsibilities or actions included in the regulations, as well as evidence that they must be carried out <i>ex-ante</i>, that is, in advance of the occurrence of the disaster.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Colombia 2013. Decree 2056 of July 24, 2003, which modifies the structure of the National Roads Institute (Invías) and other provisions (RC-1B-7a), establishes in Article 2, Functions of the National Roads Institute, numeral 2.2, that of *"elaborating jointly with the Ministry of Transport the plans, programs and projects tending to the construction, reconstruction, improvement, rehabilitation, conservation, attention to emergencies, and other works that require the infrastructure of its competence"*, and in numeral 2.5 that of *"advising and providing technical support to the territorial entities or their decentralized agencies in charge of the construction, maintenance and emergency attention in the infrastructures under their responsibility, when they request it"*. Finally, Article 11, Office of Prevention and Attention to Emergencies, lists a series of responsibilities derived from the SNPAD (now SNGRD), among them that of *"integrally managing the processes of attention and prevention of emergencies"*. In compliance with Decree 2056 of 2003, INVIAS has procedures and protocols established "ex ante" for the recovery (rehabilitation and reconstruction) of disasters in the rainy season (the main risk affecting the sector is landslides and floods).

Examples of non-compliance in countries of the region

Honduras 2014. Although agreement 0569 of the Secretariat of Public Works, Transportation and Housing establishes the creation of the Integrated Risk Management and Climate Change Unit (UGIR-CC), published on November 7, 2013 in the Gazette, among the functions described therein is not explicitly considered the responsibility for ex ante recovery planning activities.

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)?	
Indicator Overview	
<p>This indicator values the fact that the regulations of the water and sanitation sector establish, within its sphere of competence, the responsibility to plan before the disaster occurs, or to make advance preparations for recovery. In other words, planning and/or preparation actions carried out ex-ante to the occurrence of the disaster, and not only ex-post (which is the most common practice in the region).</p> <p>It is considered a quality attribute of the sectorial regulations that mandate the ex-ante elaboration of sectorial recovery plans based on damage, loss and need scenarios, containing, among others, the following elements (i) a plan for information generation and processing, based on the deficits identified in the analysis of the scenarios, and including various actions such as investment in data generation, processing and analysis, (ii) the inter-institutional agreements for recovery that must be prepared, including agreements with the private sector, for each affected scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) as well as budget and program reorientation, and new indebtedness, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of dependencies and/or entities assigned to the sector that are responsible for the actions contained in such plan.</p> <p>It should be noted that in some countries the water and sanitation sector involves several institutions responsible for governance, regulation (superintendence) and the provision of these types of services, where each of these institutions may have its own regulatory framework. Even in some countries the provision of water and sanitation services can be done under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility for ex-ante recovery planning activities must be defined, regardless of who the actor (public or private) is that must comply.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing and regulating) of the water and sanitation sector. 2. Identify current water and sanitation sector regulations in the country, particularly those related to disaster risk management (DRM) components or similar. 3. Analyze whether the regulations define the responsibility to plan, or to make preparations for, recovery before the occurrence of the disaster and within the scope of their competencies. 4. If necessary, consult with representatives of the water and sanitation sector about the existence of regulations that allow for the validation of this indicator. 	
Link to other indicators	
RI-1B-14 DP-1B-9 RR-1B-14	Check whether the regulations used for these indicators allow for the verification of this indicator
RC-2-8	In the case of verifying that the governing or coordinating body of the water and sanitation sector has an ex ante recovery plan, inquire about the regulations that may have mandated it.
Description of the minimum situation required to consider the indicator met	

For this indicator to be met, the regulations identified must explicitly establish responsibility for planning, or making preparations for the recovery before the occurrence of the disaster and within the scope of their competencies.

The justification must clearly establish the type of responsibilities or actions included in the regulations, as well as evidence that they must be carried out *ex-ante*, that is, in advance of the occurrence of the disaster.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Paraguay 2016. Law No. 1614/2000 - General of the Regulatory and Tariff Framework for the Public Service of Drinking Water Supply and Sewerage for the Republic of Paraguay, approved on November 2, 2000 and published in Gazette No. 214 of November 7, 2000, which assigns the Regulatory Agency of Sanitary Services (ERSSAN) the task of drafting the regulations necessary for drinking water and sanitation providers to provide their services with the necessary quality and quantity, and that their price is fair and sustainable. In 2003, the Regulatory Agency for Sanitation Services (ERSSAN) established the Regulations on Quality of Service Provision - Concessionaires (RC-1B-8a), which stipulates that companies providing drinking water and sanitation services must prepare an Integrated Contingency Program. Although there is no explicit mention of the term recovery within the content of the plan to be developed, the described actions that the plan must contain consider purely recovery activities as indicated in its Art. 117, which states that "The Provider must carry out a vulnerability analysis of the systems, in anticipation of emergency situations caused by droughts, landslides, floods, accidental contamination of physical, chemical or biological origin, unforeseen interruptions, collapse of structures, or installations of the systems or other contingencies that could interrupt the provision of services, or alter the quality standards of the same. Based on the result of the analysis, the Lender must prepare an Integral Contingency Program that contemplates actions such as (i) use of alternative sources for the supply of drinking water; (ii) alternative mechanisms to facilitate transportation and distribution to Users; (iii) emergency production and treatment; (iv) information and community outreach systems; (v) schemes for urgent repairs and replacements; (vi) measures to quickly control the situation and mitigate its effects in general. The Contingency Program should clearly define responsibilities, procedures to be followed, means to be used, institutional coordination, human and technical resources and organizational scheme necessary to face the emergency".

Examples of non-compliance in countries of the region

El Salvador 2016. The Law of the National Administration of Aqueducts and Sewerage Systems, approved by Legislative Decree No. 341 dated 10/17/1961, published in the Official Gazette No. 191, Volume 193, dated 10/19/1961, which creates the National Administration of Aqueducts and Sewerage Systems (ANDA for its acronym in Spanish), does not define the responsibility for carrying out post-disaster recovery preparation activities within the scope of its competencies. According to the Law of Civil Protection, Prevention and Mitigation of Disasters, in force since 08/09/2005, such responsibility falls to the General Director of the Directorate of Civil Protection, Prevention and Mitigation of Disasters, who is obliged to prepare the National Plan of Civil Protection, Prevention and Mitigation of Disasters (Art. 21 literal f), with the support of the Advisory Council composed of ANDA and other institutions.

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)?

Indicator Overview

This indicator values the fact that the regulations of the telecommunications sector (understood to include at least telephony services) establish, within the scope of their competence, the responsibility to plan before the disaster occurs, or to make advance preparations for recovery. That is, those planning and/or preparation actions done ex-ante to the occurrence of the disaster, and not only those done ex-post (which is the most common practice in the region).

It should be noted that in some countries the telecommunications sector involves several institutions responsible for governance, regulation (superintendence) and the provision of this type of service where each of these institutions may have its own regulatory framework. Even in some countries the provision of telecommunications services can be done under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility for ex ante planning activities for recovery must be defined, regardless of who the actor (public or private) is that must comply with it.

It is considered a quality attribute of the sectorial regulations that mandate the ex-ante elaboration of sectorial recovery plans based on damage, loss and need scenarios, containing, among others, the following elements (i) a plan for information generation and processing, based on the deficits identified in the analysis of the scenarios, and including various actions such as investment in data generation, processing and analysis, (ii) the inter-institutional agreements for recovery that must be prepared, including agreements with the private sector, for each affected scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) as well as budget and program reorientation, and new indebtedness, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of dependencies and/or entities assigned to the sector that are responsible for the actions contained in such plan.

Steps to follow to obtain the required information

4. Identify the relevant actors (governing body, regulator and suppliers) of the telecommunications sector.
5. Identify current telecommunications sector regulations in the country, particularly those related to disaster risk management (DRM) components or similar.
6. Analyze whether the regulations define the responsibility to plan, or to make preparations for, recovery before the occurrence of the disaster and within the scope of their competencies.
7. If necessary, consult with representatives of the telecommunications sector about the existence of regulations that allow the validation of this indicator.

Link to other indicators

RI-1B-16 DP-1B-11 RR-1B-15	Check whether the regulations used for these indicators allow for the verification of this indicator
RR-2-9	In the case of verifying that the governing body or coordinator of the telecommunications sector has an ex ante recovery plan, investigate the regulations that may have mandated it.

Description of the minimum situation required to consider the indicator met

To comply with this indicator, the telecommunications sector regulations (understood to include at least telephony services) identified should explicitly establish the responsibility for planning, or making preparations for, recovery before the occurrence of the disaster and within the scope of their competencies.

The justification must clearly establish the type of responsibilities or actions included in the regulations, as well as evidence that they must be carried out *ex-ante*, that is, in advance of the occurrence of the disaster.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Brazil 2017. Resolution No. 656 of August 17, 2015, approving the "Regulations on risk management of telecommunications networks and use of telecommunications services in disasters, emergency situations and states of public calamity" (RC-1B-9a), in TITLE I of the GENERAL PROVISIONS, CHAPTER I, OBJECTIVE AND SCOPE, article three defines that "... *Suppliers are fully responsible for the burden of adopting and executing the risk management process and the preparedness for and response to disasters, emergencies or states of public calamity*", which means in the text, through the expression risk management, the responsibility to carry out preparedness activities for post-disaster recovery. Also in the same decree, in paragraph VI of the "Risk Management Process", the "*systematic application of policies, procedures and management practices for communication activities, consultation, establishment of context, and the identification, analysis, evaluation, treatment, monitoring and critical risk analysis*" is defined; as well as in paragraph IX establishes the "*Service Restoration Plan: documented procedures of the actions to be taken in situations of interruption of elements that make up the Critical Infrastructure, specifying the telecommunications resources needed to respond to these situations, as well as the strategies to be implemented to ensure service continuity conditions and limit serious losses*". In turn, Article 6 on "PGRiscos of telecommunication networks and services" states that it must contain at least: "II - the *identification of vulnerabilities of the Critical Telecommunication Infrastructures and the risks associated with the continuity of telecommunication services*. ; III - the *measures taken to mitigate the mapped vulnerabilities, including the description of the physical and logical redundancy of the transmission and signaling network, of the main elements of the network, as well as a description of the alternative energy systems*; IV - the *hierarchy of the critical telecommunications infrastructures*; V - the *structure of the team responsible for PGRiscos, which contains the identification of the responsible parties or the competent management*".

Examples of non-compliance in countries of the region
<p>Mexico 2014. No evidence was found to support a positive assessment of the indicator in the general legal framework regulating the telecommunications sector, which includes the following: Federal Law on Telecommunications, Federal Law on Radio and Television, Regulations to the Federal Law on Radio and Television on Concessions, Permits and Content of Radio and Television Broadcasting, Internal Regulations of the Ministry of Communications and Transportation and the Sectorial Program for Communications and Transportation 2007-2012. In the interview with COFETEL this assessment was also corroborated.</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)?

Indicator Overview

This indicator values the fact that the regulations of the energy sector (understood as electrical energy) establish, within the scope of their competence, the responsibility to plan before the disaster occurs, or to make advance preparations for recovery. In other words, planning and/or preparation actions carried out ex-ante to the occurrence of the disaster, and not only ex-post (which is the most common practice in the region).

It is considered a quality attribute of the sectorial regulations that mandate the ex-ante elaboration of sectorial recovery plans based on damage, loss and need scenarios, containing, among others, the following elements (i) a plan for information generation and processing, based on the deficits identified in the analysis of the scenarios, and including various actions such as investment in data generation, processing and analysis, (ii) the inter-institutional agreements for recovery that must be prepared, including agreements with the private sector, for each affected scenario considered, (iii) the financial instruments that will finance the recovery, including both financial protection options (such as emergency funds, insurance, catastrophe bonds, contingent credits, etc.) as well as budget and program reorientation, and new indebtedness, (iv) general and specific action protocols for the different scenarios considered, and (v) a definition of dependencies and/or entities assigned to the sector that are responsible for the actions contained in such plan.

It should be noted that in some countries the energy sector involves several institutions responsible for the generation, transmission and distribution of electrical energy. Likewise, there could be institutions responsible for the steering, regulation (superintendence) and provision of this type of service, where each of these institutions may have its own regulatory framework. In some countries, the provision of energy services can even be carried out under the scheme of concessions, public-private partnerships or by private providers. In any case, the responsibility for ex ante planning activities for recovery must be defined, regardless of who the actor (public or private) is that must comply with it.

Steps to follow to obtain the required information

1. Identify the relevant actors (governing and regulating) of the energy sector.
2. Identify the institutions in charge of the generation, transmission and distribution of electrical energy.
3. Investigate the regulations of the electrical energy sector, including the guidelines, technical regulations and concession contracts that may exist, if they establish responsibilities for ex ante planning activities for recovery.
4. If necessary, consult with representatives of the energy sector on the existence of regulations that allow for the validation of this indicator.

Link to other indicators

RI-1B-17 DP-1B-12 RR-1B-16	Check whether the regulations used for these indicators allow for the verification of this indicator
RC-2-10	In the case of verifying that the person responsible for the energy sector has an ex ante recovery plan, investigate the regulations that may have mandated it.

Description of the minimum situation required to consider the indicator met

<p>At least one of the following conditions must be met for the indicator to be met:</p> <ul style="list-style-type: none"> ▪ The normative framework applicable to at least one of the relevant actors in the energy sector (governing or regulatory body), must establish responsibilities and functions to carry out ex-ante planning activities for recovery in its area of competence. ▪ That there are regulations that establish responsibilities and functions for ex ante recovery planning activities for each of the entities responsible for the generation, transmission and distribution of electricity. <p>The justification must clearly establish the type of responsibilities or actions included in the regulations, as well as evidence that they must be carried out <i>ex-ante</i>, that is, in advance of the occurrence of the disaster.</p>
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>
<p>Examples of compliance in countries of the region</p>
<p>There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.</p>
<p>Examples of non-compliance in countries of the region</p>
<p>Mexico 2014. The Federal Electrification Commission (CFE) stated in the interview held that the responsibility to carry out post-disaster recovery preparation activities is contained in the Manual of Technical Procedures for Disaster Response, formalized on Oct. 15, 2010, in the case of the CFE's Sub- directorate of Distribution, and in the Institutional Manual of Administrative Procedures for Disaster Response, and/or Cases of Fortuitous Events and/or Force Majeure, formalized on Oct. 11, 2009, in the case of the Sub-directorate of Generation. However, given that the contents of the aforementioned manuals could not be accessed, the condition of this indicator could not be assessed in its entirety.</p>

Code RC-1C-1

Closed-ended question	
1. Are there regulations governing the evaluation, revision or updating of development plans after a disaster has occurred in the affected territorial management units?	
Indicator Overview	
<p>The occurrence of disasters is a window of opportunity to correct development processes that evidence problems or mismatches. In this sense, it is considered a good practice that development plans (at any level of government) can be updated after a disaster occurs in order to reduce pre-existing risk and ensure resilient and sustainable development. The revision of these development plans becomes an opportunity to integrate the different sectors in a planning process that contributes to reduce the vulnerability evidenced by the disaster.</p> <p>This should be explicitly regulated to ensure proper integration of Disaster Risk Management (DRM) into development planning.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the regulations that govern the procedures for formulating, reviewing and updating development plans in the country (may be national, regional or local) or equivalent instrument. 2. Identify whether such regulations establish procedures and circumstances for updating or revising development plans. 3. To determine if the occurrence of disasters is established as a cause for revision, updating or evaluation of development plans. 	
Link to other indicators	
GF-1A-5 GF-1C-1	Check whether the regulations used for these indicators allow for the verification of this indicator
Description of the minimum situation required to consider the indicator met	
<p>To comply with this indicator, the regulations identified must explicitly indicate that the occurrence of disasters may be one of the reasons for initiating adjustment processes or ordinary or extraordinary reviews of development plans (at any level of government).</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.	
Examples of non-compliance in countries of the region	

Ecuador 2016. The Organic Code of Territorial Organization, Autonomy and Decentralization establishes in article 467 that "*development and management plans shall be issued by ordinance and shall come into effect once published; they may be updated periodically, and it is mandatory to update them at the beginning of each administration. The development and land-use plans will be obligatory references for the elaboration of annual operative plans, programs, projects, budgetary instruments and other management tools of each decentralized autonomous government*". Therefore, there is no evidence of a norm that explicitly regulates the evaluation, revision or updating of development plans after a disaster has occurred in the affected territorial management units.

Code RC-1C-2

Closed-ended question

2. Are there regulations governing the evaluation, revision or updating of land use plans after a disaster has occurred in the affected land management units?

Indicator Overview

The occurrence of disasters is a window of opportunity to correct processes of occupation and land use that evidence problems or mismatches. After a disaster, it is advisable to: (i) review zoning regulations; (ii) verify whether the existing land use plan appropriately identified the risk evidenced by the disaster; (iii) adjust zoning linked to building codes; and (iv) include in the new zoning the new conditions generated by the disaster, such as new settlements or declaration of zones as unmitigated risk.

In this sense, it is considered a good practice that land use plans (or their equivalent in each country) can be updated after a disaster occurs in order to reduce pre-existing risk. This should be explicitly regulated to ensure that disaster risk management (DRM) is properly integrated into development planning.

Steps to follow to obtain the required information

1. Identify the regulations that govern the procedures for the formulation, review and updating of land use plans in the country (may be national, regional or local) or equivalent instrument.
2. Identify whether such regulations establish procedures and circumstances for updating or revising land use plans.
3. To determine if the occurrence of disasters is established as a cause for revision, updating or evaluation of land use plans.

Link to other indicators

RR-1C-3
RR-3-3

Check whether the regulations used for these indicators allow for the verification of this indicator

Description of the minimum situation required to consider the indicator met

To comply with this indicator, the regulations that establish the procedures for reviewing and updating land use plans should consider the occurrence of disasters in the area in question as a cause for possible adjustment to such plans.

For the indicator to be met, the regulations identified must be complied with at least for the lowest ranking territorial management unit (municipality or equivalent) in the country.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Nicaragua 2016. The Executive Decree Norms, Guidelines and Criteria for Land Use, provides a whole scheme for its updating, modification and evaluation: " *Article 74.- The Municipal Land Use Plans can only be modified and/or updated in an ordinary way once they are submitted to a revision and evaluation every five years, based on the results obtained in the annual monitoring and evaluation reports and the requests for modification submitted to the Municipal Council. However, these modifications cannot be made in the period between six months before and six months after the holding of municipal and/or regional elections on the Atlantic Coast. Article 75.- The Municipal Land Use Plans may be modified and/or updated in an extraordinary manner when the changes are due to cases of force majeure, arising from natural or social causes. Article 76.- The modifications and/or updates of the Municipal Land Use Planning may only be carried out with the purpose of guaranteeing the stability of its content, being these: 1) Due to technical adjustments resulting from the evaluations foreseen in the different periods indicated in the design of the plan. 2) Due to changes in the municipal reality due to the incorporation of new factors or the expansion of scientific knowledge that could reorient the objectives in the short, medium and long term. 3) In order to make technical adjustments or to update national sector policies. 4) Due to force majeure, when during the implementation period of the plan some social or natural phenomenon occurs that puts at risk its objectives. 5) For the creation of another municipality, that dismembers territories. 6) For the construction of infrastructure works and inter-municipal projects that have a strong impact on the territory and that were not foreseen because they were identified in other sectorial perspective plans: hydroelectric dams, dry canal, dredging of ports, and management of basins, among others. Article 77.- The proposals for ordinary modifications to the Municipal Land Use Plan, in accordance with article 74, may be presented by any citizen, local guild, association or other agent, whether resident or not in the municipality, duly founded and documented in writing before the Secretariat of the Municipal Council for its analysis, dissemination to the population in the poster or notice board of the Municipal Mayor's Office. Subsequently, the Municipal Council will issue an opinion, for which it will be supported by the Municipal Technical Team or other specialists*".

Examples of non-compliance in countries of the region

Ecuador 2016. The Organic Code of Territorial Organization, Autonomy and Decentralization establishes in article 467 that "*development and management plans shall be issued by ordinance and shall enter into force once published; they may be updated periodically, and it is mandatory to update them at the beginning of each administration. The development and land use plans will be obligatory references for the elaboration of annual operative plans, programs, projects, budgetary instruments and other management tools of each decentralized autonomous government*". Therefore, there is no evidence of a norm that explicitly regulates the evaluation, revision or updating of land use plans after a disaster has occurred in the affected territorial management units.

Code RC-2-1

Closed-ended question

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

Indicator Overview

This indicator seeks to establish whether the governing or coordinating entity of the environmental sector has formulated and formally approved, at least in the last 5 years, an *ex-ante* recovery plan, within the scope of its competencies. This indicator recognizes as a quality attribute that the different Ministries, Secretariats and sectors prepare post-disaster recovery plans prior to their occurrence, since having these plans in advance contributes to the timely start of the sector's recovery.

The recovery plan may include, among other things (i) a schedule and methodology for the anticipated and permanent analysis of damage scenarios, losses and potential recovery needs for the sector, (ii) a scheme for the generation of capacities for recovery, (iii) the programming of activities for the identification of existing inter-institutional agreements and those to be developed for recovery (including agreements with the private sector), (iv) a recovery financing scheme (which will include financial protection tools but also budget and program reorientation options) and (v) operational guidelines for recovery that establish general action protocols and specific protocols for the scenarios under consideration. These protocols will include a basic outline that will facilitate at the time of the emergency a rapid identification and orderly implementation of the planned recovery actions to be undertaken.

Steps to follow to obtain the required information

1. Identify whether the Ministry of Environment has a formally approved *ex-ante* plan to guide the post-disaster recovery process.
2. If the plan exists, check if it has been formally approved.
3. Determine if such approval has taken place within the last 5 years.
4. If necessary, consult with representatives of the environmental sector, preferably with the unit responsible for Disaster Risk Management if such a unit exists, about the existence of the plan to which this indicator refers.

Link to other indicators

RI-1B-8 RR 1B-6 RR-1B-7 DP-1B-3	Check whether the regulations used for these indicators allow for the verification of this indicator.
RC-1B-1	In the case of verifying that the environmental sector's regulations define the responsibility for carrying out recovery planning activities, these could include carrying out the type of plans investigated by this indicator.

Description of the minimum situation required to consider the indicator met

To comply with this indicator, the governing or coordinating entity of the environmental sector must have formulated and formally approved in the last 5 years an *ex-ante* Plan that determines the basic and strategic actions to be taken in case of a post-disaster recovery process.

This plan should not be confused with an emergency or contingency plan. However, if there was a Continuity of Operations Plan formally approved in the last 5 years that, in addition to including elements of emergency response and the restoration or rehabilitation of basic services, included its own actions to assist in a rapid and timely recovery, such as those mentioned in the section "General Description of the Indicator" of this sheet, it could be accepted as verifiable for this indicator.

The justification should detail, by way of illustration, some of the main actions considered in the recovery plan that has been identified.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Belize 2017. The National Emergency Management Organization Environment & Solid Waste Committee, headed by the Department of the Environment, revised in 2017 the Environment & Solid Waste Committee Hurricane Emergency Preparedness Plan. As stated in section "1.1 Environment & Solid Waste Committee" of the Plan, the Terms of Reference for the Committee include making "[...] *recommendations for the recovery of ecologies and habitats to their original state.*". However, no evidence has been found that the said Committee is formally established and during an interview with representatives from the Department of the Environment, it was stated that the said Plan had not yet been approved. Therefore, the condition is not met.

Code RC-2-2

Closed-ended question	
2. Does the Ministry of Agriculture (or equivalent entity) have an ex-ante disaster recovery plan for the sector that has been formally approved at least within the last 5 years?	
Indicator Overview	
<p>This indicator seeks to establish whether the governing or coordinating entity of the agricultural sector has formulated and formally approved, at least in the last 5 years, an ex-ante recovery plan, within the scope of its competencies. This indicator recognizes as a quality attribute that the different ministries, secretariats and sectors prepare post-disaster recovery plans prior to the occurrence of a disaster, since having these plans in advance contributes to the timely start of the sector's recovery.</p> <p>The recovery plan may include, among other things (i) a schedule and methodology for the anticipated and permanent analysis of damage scenarios, losses and potential recovery needs for the sector, (ii) a scheme for the generation of capacities for recovery, (iii) the programming of activities for the identification of existing inter-institutional agreements and those to be developed for recovery (including agreements with the private sector), (iv) a recovery financing scheme (which will include financial protection tools but also budget and program reorientation options) and (v) operational guidelines for recovery that establish general action protocols and specific protocols for the scenarios under consideration. These protocols will include a basic outline that will facilitate at the time of the emergency a rapid identification and orderly implementation of the planned recovery actions to be undertaken.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify whether the Ministry of Agriculture has a formally approved <i>ex-ante</i> plan to guide the post-disaster recovery process. 2. If the plan exists, check if it has been formally approved. 3. Determine if such approval has taken place within the last 5 years. 4. If necessary, consult with representatives of the agricultural sector, preferably with the unit responsible for Disaster Risk Management if such a unit exists, about the existence of the plan to which this indicator refers. 	
Link to other indicators	
RI-1B-9 DP-1B-4 RR-1B-8	Check whether the regulations used for these indicators allow for the verification of this indicator as well.
RC-1B-2	In the case of verifying that the agricultural sector's regulations define the responsibility for carrying out recovery planning activities, these could include carrying out the type of plans that this indicator addresses.
Description of the minimum situation required to consider the indicator met	

To comply with this indicator, the governing or coordinating entity of the agricultural sector must have formulated and formally approved in the last 5 years an *ex-ante* Plan that determines the basic and strategic actions to be taken in case of a post-disaster recovery process.

This plan should not be confused with an emergency or contingency plan. However, if there was a Continuity of Operations Plan formally approved in the last 5 years that, in addition to including elements of emergency response and the restoration or rehabilitation of basic services, included its own actions to assist in a rapid and timely recovery, such as those mentioned in the section "General Description of the Indicator" of this sheet, it could be accepted as verifiable for this indicator.

The justification should detail, by way of illustration, some of the main actions considered in the recovery plan that has been identified.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Mexico 2014. Although the General Law for Sustainable Rural Development includes a couple of articles related to risk transfer for the sector (126 and 127), these do not constitute an *ex ante* "Plan" for the recovery of the sector that has been formally approved by the Ministry of Agriculture.

Code RC-2-3

Closed-ended question	
3. Does the Ministry of Health (or equivalent entity) have an ex-ante post-disaster recovery plan for the sector that has been formally approved at least within the last 5 years?	
Indicator Overview	
<p>This indicator seeks to establish whether the governing or coordinating entity of the health sector has formulated and formally approved, at least in the last 5 years, an ex-ante recovery plan, within the scope of its competencies. This indicator recognizes as a quality attribute that the different ministries, secretariats and sectors prepare post-disaster recovery plans prior to the occurrence of a disaster, since having these plans in advance contributes to the timely start of the sector's recovery.</p> <p>The recovery plan may include, among other things (i) a schedule and methodology for the anticipated and permanent analysis of damage scenarios, losses and potential recovery needs for the sector, (ii) a scheme for the generation of capacities for recovery, (iii) the programming of activities for the identification of existing inter-institutional agreements and those to be developed for recovery (including agreements with the private sector), (iv) a recovery financing scheme (which will include financial protection tools but also budget and program reorientation options) and (v) operational guidelines for recovery that establish general action protocols and specific protocols for the scenarios under consideration. These protocols will include a basic outline that will facilitate at the time of the emergency a rapid identification and orderly implementation of the planned recovery actions to be undertaken.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify whether the Ministry of Health has a formally approved <i>ex-ante</i> plan to guide the post-disaster recovery process. 2. If the plan exists, check if it has been formally approved. 3. Determine if such approval has taken place within the last 5 years. 4. If necessary, consult with representatives of the health sector, preferably with the unit responsible for Disaster Risk Management if such a unit exists, about the existence of the plan to which this indicator refers. 	
Link to other indicators	
RI-1B-9 RI-1B-10 DP-1B-5	Check whether the regulations used for these indicators allow for the verification of this indicator.
RC-1B-3	In the case of verifying that health sector regulations define the responsibility for carrying out recovery planning activities, these could include carrying out the type of plans that this indicator investigates.
Description of the minimum situation required to consider the indicator met	

To fulfill this indicator, the governing or coordinating entity of the health sector must have formulated and formally approved in the last 5 years an *ex-ante* plan that determines the basic and strategic actions to be taken in case of a post-disaster recovery process.

This plan should not be confused with an emergency or contingency plan. However, if there was a Continuity of Operations Plan formally approved in the last 5 years that, in addition to including elements of emergency response and the restoration or rehabilitation of basic services, included its own actions to assist in a rapid and timely recovery, such as those mentioned in the section "General Description of the Indicator" of this sheet, it could be accepted as verifiable for this indicator.

The justification should detail, by way of illustration, some of the main actions considered in the recovery plan that has been identified.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. The Mexican Social Security Institute (IMSS for its acronym in Spanish), which is the largest health and social security institution in Mexico, in coordination with SEGOB, evaluated all hospitals in the health sector, an effort that resulted in the Integral Civil Protection Information System¹ (SIIPC). This effort, and additionally the development of a computer tool, called the Virtual Center for Emergency and Disaster Operations (CVOED for its acronym in Spanish), resulted in the Institutional Plan for Emergencies and Disasters, published in 2011 (RC-2-3a). In this planning, the three phases of planning were considered: before, during and after a crisis situation; in addition to three different levels: national (considered strategic), state (tactical) and municipal (operational). The "after" is related to Recovery or return to normal, which is a *"recovery process should be planned from the very recognition of the threats that may affect the organization to the way in which reconstruction will begin and return to activity"*

Examples of non-compliance in countries of the region

Chile 2013. The Ministry of Health has this type of plan at the territorial level, for example, EMERGENCIAS AND DISASTERS PLAN OF THE MINISTERIAL SECRETARIAT OF HEALTH, METROPOLITAN REGION OF SANTIAGO, which includes recovery aspects. However, the country does not have a plan of this type of sectoral/national nature, which was corroborated by the Emergency Department of the Undersecretariat of Assistance Networks and the Ministry of Health.

Code RC-2-4

Closed-ended question	
4. Does the Ministry of Housing (or equivalent entity) have an <i>ex-ante</i> post-disaster recovery plan for the sector that has been formally approved at least within the last 5 years?	
Indicator Overview	
<p>This indicator seeks to establish whether the governing or coordinating entity of the housing sector has formulated and formally approved, at least in the last 5 years, an <i>ex-ante</i> recovery plan, within the scope of its competencies. This indicator recognizes as a quality attribute that the different ministries, secretaries and sectors prepare post-disaster recovery plans prior to their occurrence, since having these plans in advance contributes to the timely start of the sector's recovery.</p> <p>The recovery plan may include, among other things (i) a schedule and methodology for the anticipated and permanent analysis of damage scenarios, losses and potential recovery needs for the sector, (ii) a scheme for the generation of capacities for recovery, (iii) the programming of activities for the identification of existing inter-institutional agreements and those to be developed for recovery (including agreements with the private sector), (iv) a recovery financing scheme (which will include financial protection tools but also budget and program reorientation options) and (v) operational guidelines for recovery that establish general action protocols and specific protocols for the scenarios under consideration. These protocols will include a basic outline that will facilitate at the time of the emergency a rapid identification and orderly implementation of the planned recovery actions to be undertaken.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify whether the Ministry of Housing has a formally approved <i>ex-ante</i> plan to guide the post-disaster recovery process. 2. If the plan exists, check if it has been formally approved. 3. Determine if such approval has taken place within the last 5 years. 4. If necessary, consult with representatives of the housing sector, preferably with the unit responsible for Disaster Risk Management if such a unit exists, about the existence of the plan to which this indicator refers. 	
Link to other indicators	
RR-1B-10 DP-1B-6 RC-1B-4	Check whether the regulations used for these indicators allow for the verification of this indicator.
RC-1B-4	In the case of verifying that housing sector regulations define the responsibility for carrying out recovery planning activities, these could include carrying out the type of plans that this indicator investigates.
Description of the minimum situation required to consider the indicator met	

To comply with this indicator, the governing or coordinating entity of the housing sector must have formulated and formally approved in the last 5 years an *ex-ante* Plan that determines the basic and strategic actions to be taken in case of a post-disaster recovery process.

This plan should not be confused with an emergency or contingency plan. However, if there was a Continuity of Operations Plan formally approved in the last 5 years that, in addition to including elements of emergency response and the restoration or rehabilitation of basic services, included its own actions to assist in a rapid and timely recovery, such as those mentioned in the section "General Description of the Indicator" of this sheet, it could be accepted as verifiable for this indicator.

The justification should detail, by way of illustration, some of the main actions considered in the recovery plan that has been identified.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Nicaragua 2016. No evidence was found that the Urban and Rural Housing Institute has an institutionally regulated plan for disaster recovery. However, it is based on the "*National Framework for Post-Disaster Recovery*", developed by the National System for Disaster Prevention, Mitigation and Attention (SINAPRED) in 2014, with the support of the Coordination Center for the Prevention of Natural Disasters in Central America (CEPRENAC) and the United Nations Office for Disaster Risk Reduction UNISDR Regional Office - The Americas. Chapter 8 of this "*National Framework for Post-Disaster Recovery*" integrates the sectoral content for the Habitat and Housing area, which includes recovery tasks and their corresponding responsible actors. For the Habitat and Housing area, an objective is set: To ensure the adequacy of appropriate spaces to meet the shelter needs of the populations affected by the disaster, considering humanitarian standards and their transition to permanent housing, incorporating risk reduction in new housing sites.

Code RC-2-5

Closed-ended question	
5. Does the Ministry of Education (or equivalent entity) have an <i>ex-ante</i> disaster recovery plan for the sector that has been formally approved at least within the last 5 years?	
Indicator Overview	
<p>This indicator seeks to establish whether the governing or coordinating entity of the education sector has formulated and formally approved, at least in the last 5 years, an <i>ex-ante</i> recovery plan, within the scope of its competencies. This indicator recognizes as a quality attribute that the different ministries, secretaries and sectors prepare post-disaster recovery plans prior to their occurrence, since having these plans in advance contributes to the timely start of the sector's recovery.</p> <p>The recovery plan may include, among other things (i) a schedule and methodology for the early and permanent analysis of damage scenarios, losses and potential recovery needs for the sector, (ii) a scheme for the generation of capacities for recovery, (iii) the programming of activities for the identification of existing and to be developed inter-institutional agreements for recovery (including agreements with the private sector), (iv) a recovery financing scheme (which will include financial protection tools but also budget and program reorientation options) and (v) operational guidelines for recovery that establish general action protocols and specific protocols for the scenarios under consideration. These protocols will include a basic outline that will facilitate at the time of the emergency a rapid identification and orderly implementation of the planned recovery actions to be undertaken.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify whether the Ministry of Education has a formally approved <i>ex-ante</i> plan to guide the post-disaster recovery process. 2. If the plan exists, check if it has been formally approved. 3. Determine if such approval has taken place within the last 5 years. 4. If necessary, consult with representatives of the education sector, preferably with the unit with responsibility for Disaster Risk Management if such a unit exists, about the existence of the plan to which this indicator refers. 	
Link to other indicators	
RI-1B-12 RR-1B-11 DP-1B-7	Check whether the regulations used for these indicators allow for the verification of the present indicator.
RC-1B-5	In the case of verifying that education sector regulations define responsibility for carrying out recovery planning activities, these could include carrying out the type of plans that this indicator addresses.
Description of the minimum situation required to consider the indicator met	

To comply with this indicator, the governing or coordinating entity of the education sector must have formulated and formally approved in the last 5 years an *ex-ante* Plan that determines the basic and strategic actions to be taken in case of a post-disaster recovery process.

This plan should not be confused with an emergency or contingency plan. However, if there was a Continuity of Operations Plan formally approved in the last 5 years that, in addition to including elements of emergency response and the restoration or rehabilitation of basic services, included its own actions to assist in a rapid and timely recovery, such as those mentioned in the section "General Description of the Indicator" of this sheet, it could be accepted as verifiable for this indicator.

The justification should detail, by way of illustration, some of the main actions considered in the recovery plan that has been identified.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Costa Rica 2014. The sector has the guide: "*Planning and Organizing the Educational Center for Risk Reduction and Emergency Care that can Turn into Disasters*" prepared by the National Emergency Commission in 2009, but no ex ante prepared plan for post-disaster recovery was located in the sector; this was corroborated in interviews with personnel of the National Emergency Commission (CNE for its acronym in Spanish).

Code RC-2-6

Closed-ended question

6. Does the Ministry of Tourism (or equivalent entity) have an *ex-ante* disaster recovery plan for the sector that has been formally approved at least within the last 5 years?

Indicator Overview

This indicator seeks to establish whether the governing or coordinating entity of the tourism sector has formulated and formally approved, at least in the last 5 years, an *ex-ante* recovery plan, within the scope of its competencies. This indicator recognizes as a quality attribute that the different ministries, secretaries and sectors prepare post-disaster recovery plans prior to their occurrence, since having these plans in advance contributes to the timely start of the sector's recovery.

The recovery plan may include, among other things (i) a schedule and methodology for the early and permanent analysis of damage scenarios, losses and potential recovery needs for the sector, (ii) a scheme for the generation of capacities for recovery, (iii) the programming of activities for the identification of existing and to be developed inter-institutional agreements for recovery (including agreements with the private sector), (iv) a recovery financing scheme (which will include financial protection tools but also budget and program reorientation options) and (v) operational guidelines for recovery that establish general action protocols and specific protocols for the scenarios under consideration. These protocols will include a basic outline that will facilitate at the time of the emergency a rapid identification and orderly implementation of the planned recovery actions to be undertaken.

Steps to follow to obtain the required information

1. Identify whether the Ministry of Tourism (or equivalent entity) has a formally approved *ex-ante* plan to guide the post-disaster recovery process.
2. If the plan exists, check if it has been formally approved.
3. Determine if such approval has taken place within the last 5 years.
4. If necessary, consult with representatives of the tourism sector, preferably with the unit responsible for Disaster Risk Management if such a unit exists, about the existence of the plan to which this indicator refers.

Link to other indicators

RI-1B-13 RR-1B-12 DP-1B-8	Check whether the regulations used for these indicators allow for the verification of the present indicator.
RC-1B-6	In the case of verifying that tourism sector regulations define the responsibility for carrying out recovery planning activities, these could include carrying out the type of plans that this indicator addresses.

Description of the minimum situation required to consider the indicator met

In order to comply with this indicator, the governing or coordinating entity of the tourism sector must have formulated and formally approved in the last 5 years an *ex-ante* Plan that determines the basic and strategic actions to be taken in case of a post-disaster recovery process.

This plan should not be confused with an emergency or contingency plan. However, if there was a Continuity of Operations Plan formally approved in the last 5 years that, in addition to including elements of emergency response and the restoration or rehabilitation of basic services, included its own actions to assist in a rapid and timely recovery, such as those mentioned in the section "General Description of the Indicator" of this sheet, it could be accepted as verifiable for this indicator.

The justification should detail, by way of illustration, some of the main actions considered in the recovery plan that has been identified.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Belize 2017. The Ministry of Tourism & Civil Aviation produced the National Sustainable Tourism Masterplan for Belize 2030. Within section "5.1 Governance and Institutional Strengthening" it is stated that the Ministry should lead the formation of the National Disaster & Crisis Management Committee, with the goal of reducing losses related to natural disasters and other shocks to the industry by allocating resources to increase disaster resilience, cooperation in evacuation procedures and business continuity planning. This statement, however, excludes disaster recovery specifically; moreover, no evidence has been found of the Committee being established to date and neither has evidence been found of disaster recovery plan for the tourism sector, developed ex ante within the last 5 years. Therefore, in absence of such a plan, the condition is not met.

Code RC-2-7

Closed-ended question	
7. Does the Ministry of Transport (or equivalent entity) have an <i>ex-ante</i> disaster recovery plan for the sector that has been formally approved at least within the last 5 years?	
Indicator Overview	
<p>This indicator seeks to establish whether the governing or coordinating entity of the transport sector, understood as road works, has formulated and formally approved, at least in the last 5 years, an <i>ex-ante</i> recovery plan, within the scope of its competencies. This indicator recognizes as a quality attribute that the different ministries, secretaries and sectors prepare post-disaster recovery plans prior to their occurrence, since having these plans in advance contributes to the timely start of the sector's recovery.</p> <p>The recovery plan may include, among other things (i) a schedule and methodology for the anticipated and permanent analysis of damage scenarios, losses and potential recovery needs for the sector, (ii) a scheme for the generation of capacities for recovery, (iii) the programming of activities for the identification of existing inter-institutional agreements and those to be developed for recovery (including agreements with the private sector), (iv) a recovery financing scheme (which will include financial protection tools but also budget and program reorientation options) and (v) operational guidelines for recovery that establish general action protocols and specific protocols for the scenarios under consideration. These protocols will include a basic outline that will facilitate at the time of the emergency a rapid identification and orderly implementation of the planned recovery actions to be undertaken.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify if the Ministry of Transportation (or equivalent entity) has an <i>ex-ante</i> plan formally approved to guide the process of post-disaster recovery of road works. 2. If the plan exists, check if it has been formally approved. 3. Determine if such approval has taken place within the last 5 years. 4. If necessary, consult with representatives of the transport sector, preferably with the unit with responsibility for Disaster Risk Management if such a unit exists, about the existence of the plan to which this indicator refers. 	
Link to other indicators	
RI-1B-14 RR-1B-13 DP-1B-9	Check whether the regulations used for these indicators allow for the verification of this indicator.
RC-1B-7	In the case of verifying that transport sector regulations define the responsibility for carrying out recovery planning activities, these could include carrying out the type of plans that this indicator addresses.
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, the leading or coordinating entity of the transportation sector, understood as road works, must have formulated and formally approved in the last 5 years an *ex-ante* Plan that determines the basic and strategic actions to be taken in case of facing a post-disaster recovery process regarding road works.

This plan should not be confused with an emergency or contingency plan. However, if there was a Continuity of Operations Plan formally approved in the last 5 years that, in addition to including elements of emergency response and the restoration or rehabilitation of basic services, included its own actions to assist in a rapid and timely recovery, such as those mentioned in the section "General Description of the Indicator" of this sheet, it could be accepted as verifiable for this indicator.

The justification should detail, by way of illustration, some of the main actions considered in the recovery plan that has been identified.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Colombia 2013. No evidence was found (through online consultation) of the existence of an ex-ante post-disaster recovery plan, which has been formally approved by the sector in the last 5 years (NOTE: In the context of the emergency of the so-called "Winter Wave" in late 2010 and early 2011, the National Roads Institute (INVIAS), developed a series of actions for the recovery of affected areas within the scope of its powers, but this was done "ex post", so the condition would not be met).

Code RC-2-8

Closed-ended question	
8. Does the water and sanitation sector have an <i>ex-ante</i> post-disaster recovery plan that has been formally approved at least within the last 5 years?	
Indicator Overview	
<p>This indicator seeks to establish whether the water and sanitation sector has formulated and formally approved, at least in the last 5 years, an <i>ex-ante</i> recovery plan, within the scope of its competencies. This indicator recognizes as a quality attribute that the different ministries, secretaries and sectors prepare post-disaster recovery plans prior to the occurrence of a disaster, since having these plans in advance contributes to the timely start of the sector's recovery.</p> <p>The recovery plan may include, among other things (i) a schedule and methodology for the anticipated and permanent analysis of damage scenarios, losses and potential recovery needs for the sector, (ii) a scheme for the generation of capacities for recovery, (iii) the programming of activities for the identification of existing inter-institutional agreements and those to be developed for recovery (including agreements with the private sector), (iv) a recovery financing scheme (which will include financial protection tools but also budget and program reorientation options) and (v) operational guidelines for recovery that establish general action protocols and specific protocols for the scenarios under consideration. These protocols will include a basic outline that will facilitate at the time of the emergency a rapid identification and orderly implementation of the planned recovery actions to be undertaken.</p> <p>It should be noted that in some countries the water and sanitation sector involves several institutions responsible for governance, regulation (superintendence) and the provision of these types of services, where each of these institutions may have its own regulatory framework.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (regulators and providers) in the water and sanitation sector. 2. Identify whether the governing body, regulator, or provider with the largest portfolio of users in the water and sanitation sector has a formally approved <i>ex-ante</i> plan to guide the post-disaster recovery process. 3. Determine if such approval has taken place within the last 5 years. 4. If necessary, consult with representatives of the water and sanitation sector, preferably with the unit responsible for Disaster Risk Management if such a unit exists, about the existence of the plan to which this indicator refers. 	
Link to other indicators	
RI-1B-14 RR-1B-14 DP-1B-9	Check whether the regulations used for these indicators allow for the verification of this indicator.
RC-1B-8	In the case of verifying that water and sanitation sector regulations define responsibility for carrying out recovery planning activities, these could include carrying out the type of plans that this indicator addresses.
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, the governing body, regulator and/or the provider with the largest portfolio of users in the water and sanitation sector must have formulated and formally approved an *ex-ante* plan in the last 5 years that determines the basic and strategic actions to be taken in the event of a post-disaster recovery process.

This plan should not be confused with an emergency or contingency plan. However, if there was a Continuity of Operations Plan formally approved in the last 5 years that, in addition to including elements of emergency response and the restoration or rehabilitation of basic services, included its own actions to assist in a rapid and timely recovery, such as those mentioned in the section "General Description of the Indicator" of this sheet, it could be accepted as verifiable for this indicator.

The justification should detail, by way of illustration, some of the main actions considered in the recovery plan that has been identified.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Nicaragua 2016. No evidence was found that the water and sanitation sector has developed the Post-Disaster Recovery Plan. The "National Post-Disaster Recovery Framework", prepared by the National System for Disaster Prevention, Mitigation and Response (SINAPRED) in 2014, in chapter 8, includes only two recommendations for the rehabilitation and reconstruction of water and sanitation infrastructure. This national framework does not have regulations defining its approval and implementation.

Code RC-2-9

Closed-ended question	
9. <i>Does the telecommunications sector have an ex-ante disaster recovery plan that has been formally approved at least within the last 5 years?</i>	
Indicator Overview	
<p>This indicator seeks to establish whether the telecommunications sector (understood to include at least telephony services) has formulated and formally approved, at least in the last 5 years, an ex-ante recovery plan, within the scope of its competencies. This indicator recognizes as a quality attribute that the different ministries, secretaries and sectors prepare post-disaster recovery plans prior to the occurrence of a disaster, since having these plans in advance contributes to the timely start of the sector's recovery.</p> <p>It should be noted that in some countries the telecommunications sector involves several institutions responsible for governance, regulation (superintendence) and the provision of this type of service where each of these institutions may have its own regulatory framework.</p> <p>The recovery plan may include, among other things (i) a schedule and methodology for the anticipated and permanent analysis of damage scenarios, losses and potential recovery needs for the sector, (ii) a scheme for the generation of capacities for recovery), (iii) the programming of activities for the identification of existing and to be developed inter-institutional agreements for recovery (including agreements with the private sector), (iv) a recovery financing scheme (which will include financial protection tools but also budget and program reorientation options) and (v) operational guidelines for recovery that establish general action protocols and specific protocols for the scenarios under consideration. These protocols will include a basic outline that will facilitate at the time of the emergency a rapid identification and orderly implementation of the planned recovery actions to be undertaken.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify whether the governing body, regulator and service providers of the telecommunications sector have a formally approved <i>ex-ante</i> plan to guide the post-disaster recovery process. 2. Identify whether the governing body, regulator or provider with the largest portfolio of users in the telecommunications sector has a formally approved <i>ex-ante</i> plan to guide the post-disaster recovery process 3. Determine if the approval period has been within the last 5 years. 4. If necessary, consult with representatives of the telecommunications sector, preferably with the unit responsible for Disaster Risk Management, about the existence of the plan that refers to this indicator. 	
Link to other indicators	
RI-1B-16 RR-1B-15 DP-1B-11	Check if the regulations used for these indicators allow for the verification of the present condition,
RC-1B-9	In the case of verifying that the telecommunications sector's regulations define the responsibility for carrying out post-disaster recovery activities, these could include carrying out the type of plans that this condition addresses.
Description of the minimum situation required to consider the indicator met	

In order to comply with this indicator, the governing body, regulator and/or provider with the largest portfolio of users in the telecommunications sector must have formulated, in the last 5 years, a formally approved *ex-ante* plan that determines the basic and strategic actions to be taken in the event of a post-disaster recovery process.

This plan should not be confused with an emergency or contingency plan. However, if there was a Continuity of Operations Plan formally approved in the last 5 years that, in addition to including elements of emergency response and the restoration or rehabilitation of basic services, included its own actions to assist in a rapid and timely recovery, such as those mentioned in the section "General Description of the Indicator" of this sheet, it could be accepted as verifiable for this indicator.

The justification should detail, by way of illustration, some of the main actions considered in the recovery plan that has been identified.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Trinidad y Tobago 2018. The Telecommunications Service of T&T TSTT presented an approved Disaster Management Plan at the Association of Professional Engineers of Trinidad and Tobago (APETT) conference 2014. The *ex-ante* recovery plan rests on the "robust infrastructure that minimizes the chance of major disruption while at the same time implementing processes and procedures to ensure quick detection, assessment and recovery from these inevitable occurrences". (Abstract APETT conference). "As part of its comprehensive disaster recovery plans, TSTT has acquired a new fleet of Iridium Extreme satellite phones from local telecommunications equipment provider, Caribel" (T&T Newsday, July 17, 2004). Now, as Trinidad and Tobago's only full service telecommunications provider, TSTT has the responsibility of managing multiple independent yet interdependent networks. To satisfy numerous customer demands in such a converged environment, network changes primarily in coverage, capacity and technological advancements have accelerated in recent times. As it relates to the robustness of TSTT's network, Coordinator for the Disaster Management Programme, James Richardson, stated, "The first level of robustness must be in the network design at macro and micro levels and while no design is perfect, attempts have been made to ensure built in resilience to international carrier standards." With respect to the transport network, Richardson explained, "We have a highly resilient MPLS (Multiprotocol Label Switching) core that connects major transport nodes on our primarily fiber based network. This combined with overhead and underground cabling, route diversity with automatic switching and high capacity microwave radios in certain areas contribute to our ability to adequately serve our consumers and prepare for virtually any event." To mitigate the effects of a disaster, TSTT has established District Emergency Operation Centres (DEOC) in North, South and Tobago with dedicated office facilities and a range of voice and data delivery systems to adequately manage specific geographical areas. On a national level, the company is an active participant in the national disaster response and recovery effort led by the ODPM. Also, as part of its comprehensive disaster recovery plans, TSTT has acquired a new fleet of Iridium Extreme satellite phones from local telecommunications equipment provider, Caribel. "Once charged, these phones are extremely reliable offering approximately four (4) hours of straight talk time and 30 hours on standby," stated Caribel Sales Manager, Nicholas De Montbrun. Under the assumption that telecoms services may not always be available to first responders in the event of an emergency, these military grade phones are furnished with built in GPS, location tracking, SOS and voice communication; the first handset to bring all these critical connections together in one single device. According to Richardson, TSTT is also currently in the process of developing a caravan-type mobile disaster management unit. "The unit will contain features typically associated with an Emergency Operation Centre (EOC) including different types of communications, access to all TSTT networks and services and critical data for recovery." The caravan is intended to be deployed onsite alongside incident commanders so that situations can be better managed and communication more efficient.

Examples of non-compliance in countries of the region

El Salvador 2016. The consultation was made to the General Superintendence of Energy and Telecommunications of El Salvador (SIGET), which only referred to the approval and ratification of *the Tampere Convention*, which deals with the "*provision of telecommunication resources for disaster mitigation and relief operations*" where it is stated that the States Parties shall cooperate among themselves and with non-State entities and intergovernmental organizations in accordance with the provisions of that Convention, to facilitate the use of telecommunication resources for disaster mitigation and relief operations. However, the Convention does not constitute evidence of an ex ante plan as stated in the indicator.

Code RC-2-10

Closed-ended question	
10. Does the energy sector have an <i>ex-ante</i> post disaster recovery plan that has been formally approved at least within the last 5 years?	
Indicator Overview	
<p>This indicator seeks to establish whether the energy sector, understood as electrical energy, has formulated and formally approved, at least in the last 5 years, an <i>ex-ante</i> recovery plan, within the scope of its competencies. This indicator recognizes as a quality attribute that the different ministries, secretaries and sectors prepare post-disaster recovery plans prior to the occurrence of the disaster, since having these plans in advance contributes to the timely start of the sector's recovery.</p> <p>It should be noted that in some countries the energy sector involves several institutions responsible for the generation, transmission and distribution of electricity. Likewise, there could be institutions responsible for the steering, regulation (superintendence) and provision of this type of service, where each of these institutions may have its own regulatory framework. In some countries, the provision of energy services can even be carried out under the scheme of concessions, public-private partnerships or by private providers.</p> <p>The recovery plan may include, among other things (i) a schedule and methodology for the anticipated and permanent analysis of damage scenarios, losses and potential recovery needs for the sector, (ii) a scheme for the generation of capacities for recovery), (iii) the programming of activities for the identification of existing and to be developed inter-institutional agreements for recovery (including agreements with the private sector), (iv) a recovery financing scheme (which will include financial protection tools but also budget and program reorientation options) and (v) operational guidelines for recovery that establish general action protocols and specific protocols for the scenarios under consideration. These protocols will include a basic outline that will facilitate at the time of the emergency a rapid identification and orderly implementation of the planned recovery actions to be undertaken.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the relevant actors (governing and regulatory) of the energy sector, as well as the energy generation, transmission and distribution companies with the highest turnover in the country. 2. Identify whether the energy sector's governing or regulatory body has a formally approved <i>ex-ante</i> plan to guide the post-disaster recovery process. 3. Identify whether the energy generation, transmission and distribution companies with the highest turnover in the country have a formally approved <i>ex-ante</i> plan to guide the post-disaster recovery process. 4. Determine if the approval period for the identified plans has been within the last 5 years. 5. If necessary, consult with representatives of the energy sector, preferably with the unit with responsibility for disaster risk management, on the existence of the plan that refers to this indicator. 	
Link to other indicators	
RI-1B-17 DP-1B-16 DP-1B-12	Check if the regulations used for these indicators allow for the verification of the present condition
RC-1B-10	In the case of verifying that the energy sector regulations define the responsibility to carry out recovery planning activities, these could include carrying out the type of plans that address the present condition.

Description of the minimum situation required to consider the indicator met
<p>To comply with this indicator, the governing or regulatory entity of the energy sector must have formulated, in the last 5 years, a formally approved <i>ex-ante</i> Plan, which determines the basic and strategic actions to be taken in case of facing a post-disaster recovery process.</p> <p>In the absence of the above, it will be possible to comply with this indicator if the energy generation, transmission and distribution companies with the highest turnover in the country have, independently or jointly, a plan to guide the post-disaster recovery process.</p> <p>This plan should not be confused with an emergency or contingency plan. However, if there was a Continuity of Operations Plan formally approved in the last 5 years that, in addition to including elements of emergency response and the restoration or rehabilitation of basic services, included its own actions to assist in a rapid and timely recovery, such as those mentioned in the section "General Description of the Indicator" of this sheet, it could be accepted as verifiable for this indicator.</p> <p>The justification should detail some of the main actions considered in the recovery plan that have been identified</p>
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>
Examples of compliance in countries of the region
<p>There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.</p>
Examples of non-compliance in countries of the region
<p>Costa Rica 2014. No evidence was found that the Ministry of Environment and Energy (MINAE) or the Costa Rican Electricity Institute has an <i>ex-ante</i> post-disaster recovery plan for its sector that has been formally approved at least in the last 5 years. This was confirmed by an interview with the head of the Planning and Evaluation Unit of the National Commission for Risk Prevention and Emergency Response (CNE).</p>

Code RC-3-1

Closed-ended question	
1. <i>Are there regulations that establish mechanisms for the participation of civil society or social and non-governmental organizations in post-disaster recovery?</i>	
Indicator Overview	
<p>Post-disaster recovery involves one of the most complex and politically costly components of Disaster Risk Management (DRM), as affected communities generally demand prompt restoration of development conditions.</p> <p>Communication and the participation of civil society or social and non-governmental organizations in post-disaster recovery is considered a good practice because it allows for more effective targeting of state action towards the most pressing needs of the affected population. In addition, it allows for public awareness of the efforts that the state has been developing and mitigates, at least partially, the possible discontent that may arise from recovery in case of disasters.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Verify whether the DRM or post-disaster recovery regulations establish mechanisms for the participation of civil society, social organizations, NGOs and the private sector in the post-disaster recovery processes. 2. If necessary, inquire with the DRM or post-disaster recovery lead institution about compliance with this condition. 3. Verify if in any recent disaster situation a mechanism for citizen participation has been implemented. If so, investigate its legal basis. 	
Link to other indicators	
GF-3-5 DP-3-1	Check if the regulations used for these indicators allow verifying the present condition.
RC-3-4	If in any disaster situation a community participation mechanism for recovery was activated, investigate whether there were regulations to support it.
Description of the minimum situation required to consider the indicator met	
<p>To comply with this indicator, the regulations identified must explicitly establish the mechanisms for participation by civil society or social and non-governmental organizations in post-disaster recovery. Such participation mechanisms can be committees, platforms, communication and participation forums, etc.</p> <p>It should be borne in mind that the participation mechanisms identified should not be only of an informative nature for civil society or social and non-governmental organizations, and should therefore necessarily consider the involvement of the population or its organizations in the consultation, decision making and even implementation of public policy for post-disaster recovery.</p> <p>In the event that the regulations used to verify this condition mention DRM in a general way, the justification must explicitly state the scope of the DRM to show that post-disaster recovery is part of it, otherwise this condition cannot be validated.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Peru 2013. Law No. 29664, which creates the National System of Disaster Risk Management (SINAGERD), of February 8, 2011 (RC-3-1a) dedicates within Chapter VII, Public Entities, Armed Forces, National Police of Peru, private entities and civil society, the entire Subchapter III to this topic: *"Participation of private entities and civil society"*, and to that end refers to the participation mechanisms that are framed in the integral management of disaster risk, which includes post-disaster recovery: 18.1, *"The participation of private entities and civil society constitutes a duty and a right for the implementation of effective Disaster Risk Management, based on the principle of participation"*; 18.4 *"... citizen participation occurs through social and voluntary organizations, which constitute the social base of organizations such as the Peruvian Red Cross, neighborhood boards, parish committees, educational and business institutions"* Supreme Decree No. 048-2011-PCM, which approves the regulations for Law No. 29664, which creates the National System of Disaster Risk Management (SINAGERD) , of 25 May 2011 (RC-3-1b), establishes in Article 36, numeral 7, *"participatory planning"*, which consists of *"formulating the comprehensive reconstruction plan that does not reproduce pre-existing risks, defining the scope, implementation strategies, activities and responsibilities, budgets and monitoring and evaluation indicators"*.

Examples of non-compliance in countries of the region

Paraguay 2016. Although Law No. 2615/05 creating the National Emergency Secretariat, approved on 10 June 2005 and published in Gazette No. 53 of 15 June 2005, considers the participation of civil society representatives in departmental and local emergency organizations, as established in Article 15, which states *Departmental and local emergency organizations shall be composed of local public and municipal authorities and voluntary representatives of the Organized Entities of Society (EOS) of the respective communities...*", this normative document does not explicitly mention their participation in the recovery processes, nor did it find evidence that the *"Departmental and local emergency organizations"* have under their functions and responsibilities some linked to post-disaster recovery. Likewise, Decree No. 11,632 regulating Law No. 2615/05 creating the National Emergency Secretariat (SEN), approved on 12 August 2013, was analyzed, but no complementary information was found that establishes mechanisms for civil society participation in post-disaster recovery, so the indicator is not met.

Code RC-3-2

Closed-ended question	
2. 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?	
Indicator Overview	
<p>This indicator seeks to detect the participation of the national controlling entity, or whoever is acting as such, in relation to post-disaster recovery processes in any of the last 5 major nationally declared disasters or those in which international assistance was requested.</p> <p>The present is a performance indicator since it does not ask about a regulation as such, but about a specific performance of the national controlling entity.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the controlling entity or entities in the country (may be audit, comptroller, or equivalent entity). 2. Ask for at least one evaluation of the post-disaster recovery process by this entity in one of the last 5 nationally declared disaster or those in which international aid was requested. 3. If necessary, consult directly with representatives of the national control body as to whether such an assessment has been made. Inquiries could also be made with the government entities that coordinated the recovery processes in the identified disasters, if they are still functioning. 	
Link to other indicators	
DP-3-3	Check if the document used for this indicator allows to verify the present condition
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, the report identified must have been prepared by the national controlling entity and must contain an assessment of the government's management of post-disaster recovery in one of the last 5 major disaster situations.</p> <p>The justification should support that the disaster referred to in the report has an official declaration by the government or that the country has requested international assistance.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Colombia 2013. In relation to the National Emergency declared by the so-called "Winter Wave" (affected by the La Niña Phenomenon); in Colombia a special *account of* the National Calamity Fund called "Colombia Humanitaria" was established as a mechanism for the attention of the emergency that integrates the "rehabilitation"; and *for the* definitive reconstruction the figure is called "Adaptation Fund". The CGR has created a "*program for the special surveillance of resources for the prevention and attention of disasters*", which is specific to the Winter Emergency (La Niña Phenomenon). The site <http://186.116.129.19/web/guest/emergencia-invernal>, presents the figures of the winter emergency and the information on the verification by the National Control Entity of the government's management in the context of this emergency. Additionally, the CGR presents management reports that analyze the work of Colombia Humanitaria and the Adaptation Fund; the last published report is presented as verifiable of RC-3-2a.

Examples of non-compliance in countries of the region

Ecuador 2016. No evidence was found for this indicator. The transparency information on the website of the National Secretariat of Risk Management regarding internal and government audits was investigated from 2011 to date, and no evidence was found that any verification or evaluation of compliance with disaster risk management actions had been carried out in that period. MGS officials were also consulted and corroborated that no such assessment has been made. It is worth mentioning that in the regulations creating the Committee for Reconstruction and Productive Development, formed for the post-disaster reconstruction process in Manabí, it must present a quarterly report of its actions to the Assembly.

Code RC-3-3

Closed-ended question	
3. In at least one of the last 5 nationally declared disaster situations or those in which international assistance was requested, has any mechanism been activated to inform the affected population about the recovery?	
Indicator Overview	
<p>This indicator seeks to detect whether the authority has implemented information mechanisms for the affected population in relation to post-disaster recovery processes in any of the last 5 nationally declared disasters or those in which international assistance was requested.</p> <p>This indicator follows the same logic as the previous one, and is also a performance indicator since it does not inquire into the regulations but rather into a specific implementation condition that can be verified in the country. In other words, in this case the communication mechanisms may or may not be defined by a specific regulation.</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 at least in some of these disasters some mechanism has been activated to inform the affected population about the recovery. 3. If necessary, inquire with the DRM or post-disaster recovery lead institution about compliance with this condition. You could also check with one of the entities that coordinated the recovery processes for the disasters analyzed, if they are still functioning. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>To comply with this indicator, it must be objectively verified (verifiable) whether if in at least one of the last 5 nationally declared disasters or those in which international aid was requested, some mechanism for informing the affected population about recovery has been activated.</p> <p>If the reporting mechanism is web-based, in addition to recording the URL, the justification should detail the type of information shared.</p> <p>In addition, the justification must support that the disaster in question has been officially declared by the government or that the country has requested international assistance</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Guatemala 2013. Evidence was found that CONRED reports through the issuance of bulletins on its website on the progress of the recovery process. An example is Information Bulletin No. 3406 (RC-3-3a) issued by CONRED on November 7, 2013, reporting on reconstruction actions in the areas affected by the San Marcos Earthquake, which affected that area of the country on November 7, 2012.

Examples of non-compliance in countries of the region

Dominican Republic 2014. Reporting mechanisms have not been implemented for recovery processes. There was a support initiative with UNDP in the border provinces of Bahoruco and Independencia after the passage of Hurricane Noel and Olga, but no solid evidence could be found that could be used as verifiable.

Code RC-3-4

Closed-ended question	
4. <i>In at least one of the last 5 nationally declared disasters or those in which international assistance was requested, has any community participation mechanism been activated for recovery?</i>	
Indicator Overview	
<p>In some regulations, not necessarily in DRM, the principle of community participation is established, even defining the specific mechanisms of civil society participation; however, the concrete application of these principles is not always evident. Therefore, identifying the actual existence of these mechanisms in practice is an approach to compliance with the norm and contributes to monitoring post-disaster recovery by the community who is the beneficiary of these actions.</p> <p>This indicator follows the same logic as the previous one, and is also a performance indicator since it does not inquire into the regulations but rather into a specific implementation condition that can be verified in the country. In other words, participation mechanisms may or may not be defined by a specific regulation.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the last 5 nationally declared disasters or those in which international assistance was requested. 2. Determine if at least once any mechanism for participation of the affected population in recovery has been activated. 3. If necessary, inquire with the DRM or post-disaster recovery lead institution about compliance with this condition. You could also check with the entities that coordinated the recovery processes in the identified disasters, if such entities are still functioning. 	
Link to other indicators	
DP-3-1	If there are regulations that establish mechanisms for civil society participation in preparedness and response processes, these could be extended to post-disaster recovery.
DP-3-6	If community participation in the response to the last 5 declared disasters was verified, such mechanisms could have been extended to the recovery phase of the same events.
Description of the minimum situation required to consider the indicator met	

For the indicator to be met there must be evidence of the functioning of at least one mechanism for community participation, social organizations, NGOs and/or the private sector in post-disaster recovery in one of the last 5 nationally declared disasters or those in which international assistance was requested.

It should be borne in mind that the participation mechanisms identified should not only be of an informative nature for civil society or social and non-governmental organizations, so they should necessarily consider the involvement of the population or its organizations in consultation, decision-making and even implementation of public policy for post-disaster recovery.

The community participation mechanism does not necessarily have to be defined by national regulations, but it must have been validated by the DRM governing body or other public authority, which must be stated in the respective justification. Likewise, the justification must record the declaration of disaster or the request for international assistance.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Ecuador 2016. Press Release No. 289 of August 16, 2016 issued by the Council for Citizen Participation and Social Control -CPCCS (RC-3-4a) refers to the formation of citizen oversight of the Committee for the Reconstruction of Manabí after the earthquake:... "... CITY VEEDURES WILL BE ACCREDITED TO THE COMMITTEE FOR RECONSTRUCTION AND PRODUCTIVE REACTIVATION IN THE EARTHQUAKE: The Council of Citizen Participation and Social Control (CPCCS) will carry out the training and accreditation process for the candidates to integrate the Citizen Watch that will monitor the process of allocating funds to the executing entities for the reconstruction of the areas affected by the earthquake by the Technical Secretariat of the Committee for Reconstruction and Productive Reactivation". In the opinion of the consulting team, the formation of the Citizen's Watch to monitor the destination of funds for reconstruction in the Province of Manabí constitutes evidence of compliance with the indicator.

Examples of non-compliance in countries of the region

Argentina 2013. It has not been possible to verify, in an objective (verifiable) way, that in the most recent disaster situations formal community participation mechanisms have been activated for recovery (there is no evidence on websites). Consulted: La Plata Floods in 2013, Santa Fe Floods in 2003 and Puyehue Volcano Eruption in 2011

F. FINANCIAL PROTECTION (FP)

Code FP-1A-1

Closed-ended question

1. *Does the national Disaster Management regulation establish funds at the national level to finance emerging expenses in disaster situations?*

Indicator Overview

It is considered a desirable condition for the implementation of an effective public policy from the point of view of the financial protection component, to have a fund or equivalent financial instrument (for example, a trust or a bank account with a specific purpose) for the financing of the needs arising from a disaster, whether for humanitarian assistance, to restore basic services, rehabilitation, recovery or reconstruction, etc. For the purposes of this indicator, it is not required that the identified fund or financial instrument be operational or have resources allocated to it; it is sufficient that its creation, establishment or constitution be established within the regulations.

The funds can be national or multi-country/regional (in this case the country's regulations must reflect that the country is part of the fund, which could be through regulations that indicate that the country has joined a regional fund through a formal mechanism).

It is worth mentioning that for the purposes of this indicator, the lines within the budget denominated as such are not considered funds, unless the fund to which it refers corresponds to a structure dedicated to the management of resources assigned to finance emerging expenses in case of disasters, that is, the different expenses that are originated due to the occurrence of the disaster, such as humanitarian assistance or those destined to re-establish basic services or to carry out rehabilitation, recovery or reconstruction tasks, etc.

Steps to follow to obtain the required information

1. Review the national regulations governing DRM in the country.
2. Verify if there is an explicit reference to the creation of funds or equivalent financial instruments, of the national order, to finance the expenses arising from disaster situations, that is, the different expenses that arise due to the occurrence of the disaster, such as those for humanitarian assistance or those destined to re-establish basic services or to carry out rehabilitation, recovery or reconstruction tasks, etc. These funds can be funds for reserves, calamities, emergencies or disaster funds, among other denominations.
3. Review, if applicable, whether the country is part/is assigned to any multi-country/regional institution that has funds or equivalent financial instruments, to finance the expenses arising from disaster situations.
4. If there are regional funds, the national regulations should reflect that the country is part of the fund, which could be through regulations that indicate that it has formally adhered to the regional agreement.
5. If necessary, contact the national institution in charge of DRM and/or disaster response about compliance with this condition.

Link to other indicators

GF-1A-1	The revised regulations or standards used to verify this indicator could refer to the fund or financial mechanism that the present indicator addresses.
FP-2-8	If the fund or equivalent mechanism used to support compliance with this indicator is considered in the DRM regulations, it would also allow verification of compliance of the present indicator.

Description of the minimum situation required to consider the indicator met

For this condition to be met, the national legislation on DRM must create or establish a fund or financial instrument to cover expenses arising from disaster situations, i.e., the various expenses incurred due to the occurrence of the disaster, such as humanitarian assistance or those aimed at restoring basic services or carrying out rehabilitation, recovery or reconstruction tasks, etc.

In the event that the country participates in multi-country/regional agreements for DRM that have funds or equivalent financial instruments to finance expenses arising from disaster situations, it would also be required to demonstrate the regulations that reflect that the country is part of such a fund, which may be through regulations that indicate that the country has formally adhered to such agreements.

It will not be possible to verify this indicator using regulations other than those specific to DRM; nor is the existence of reconstruction funds set up after a disaster admitted as a means of compliance.

Nor is the indicator considered fulfilled if there are regulations empowering the legislative branch or any other government institution to establish a fund or equivalent financial instrument in the event of a disaster, since in that case the eventual existence of the fund would be subject to the fulfillment of certain conditions.

Finally, for the purposes of this indicator, the lines within the budget that are so named are also not considered funds, unless the fund to which it refers corresponds to a structure dedicated to the management of resources allocated to finance emerging expenses in the event of disasters.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Guatemala 2013. Article 15 of Law No. 109, National Fund for Disaster Reduction, of December 9, 1996, creates the National Permanent Fund for Disaster Reduction (FP-1A-1a), through a specific account opened for the effect in the Bank of Guatemala, which will be capitalized due to the financial possibility of the State, plus national and international donations, which will be placed proportionally and monthly as it receives the income from the Ministry of Public Finance. Additionally, for the purpose of strengthening the theme in the strategic axis of *"Preparation of capacities and conditions for disaster risk management of the National Policy for Disaster Risk Reduction in Guatemala"* issued by N° 06-2011, of July 15, 2011 (FP-1A-1b), a *"National Fund for Integral Management of Disaster Risk Reduction"* is established as a line of action and in the strategic axis of *"Post-Disaster Recovery"*, the following line of action is established: *"... Establishment of contingent financial reserves at national, departmental and municipal level in order to respond in a timely and relevant manner to disasters"*

Belize 2016. Belize is part of the agreement for establishing the Caribbean Disaster Emergency Response Agency Agreement. According to Part VIII (subsection 28) of the *"Disaster Preparedness and Response Act"*, Chapter 145 of the Substantive Laws of Belize, revised edition 2011 (PF-1A-1), which is consistent with the revised edition of year 2000 of the same Act (F-1A-1b): *"The provisions of the Caribbean Disaster Emergency Response Agency Agreement in the Fourth Schedule shall have the force of law in Belize"*. According to Numeral 1 of Article 25 of the Fourth Schedule of the mentioned Act, *"The Agency shall establish an Emergency Assistance Fund (hereinafter in this Article referred to as "the Fund") which shall be used solely to defray expenses incurred in connection with the rendering of assistance in the event of a disaster occurring in a Participating State"*. The condition is considered positive given that the country has access to a fund for financing emergent expenses in disaster situations.

Examples of non-compliance in countries of the region

Ecuador 2016. Ecuador lacks regulations that comprehensively address the issue of disaster risk management. However, there is a legal framework made up of several regulations that govern disaster risk management in the country, including (i) Constitution of the Republic of Ecuador 2008, published in Official Gazette 449 of October 20, 2008; (ii) Law of Public and State Security, published in Official Gazette No. 35 of September 28, 2009; (iii) Regulations to the Law of Public and State Security, Executive Decree 486, published in Official Gazette Supplement 290 of September 30, 2010; and (iv) Good Living, National Plan 2013 -2017, Everybody Better, Official Gazette Supplement 78 of September 11, 2013. None of these norms establish funds at the national level to finance emerging expenses in disaster situations, which was ratified by the Ministry of Economy and Finance. It is worth mentioning that the Organic Law of Solidarity and Citizen Co-responsibility for the Reconstruction and Reactivation of the areas affected by the earthquake of April 16, 2016 is currently in force, which establishes within the third general provision that *"The net resources obtained from the contributions created in this law shall be recorded in the specific account of the General State Budget for the construction, reconstruction and productive reactivation of the areas affected by the earthquake of April 16, 2016."* However, this is a transitional law that applies only to the specific case of the Manabí earthquake reconstruction process and cannot be considered part of the country's DRM regulatory framework.

Code FP-1A-2

Closed-ended question	
2. Do national regulations establish the annual percentage of resources to be allocated to funds at the national level for expenditures arising from disaster situations?	
Indicator Overview	
<p>The establishment of funds or equivalent financial instruments to provide resources to meet the expenses arising from the occurrence of disasters (the different expenses that arise due to the occurrence of the disaster, such as humanitarian assistance or those aimed at restoring basic services or carrying out rehabilitation, recovery or reconstruction tasks, etc.) is certainly an important step, but it is not enough. For this reason, it is considered desirable that the national regulations governing the DRM or other, for example, those related to the national budget and public finances, establish in their precepts a percentage, amount or parameter on the resources to be allocated to the fund established to cover such expenses. This provides these funds with strength and certainty, and thus makes it easier for them to ensure their permanence and the fulfillment of their objectives.</p> <p>It is worth mentioning that this indicator does not evaluate whether the amount or percentage of resources to be allocated to the fund are sufficient or not.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the regulations governing the DRM in the country and verify whether they explicitly refer to the creation of funds or equivalent financial instruments, at the national level, that can finance the expenses arising from the occurrence of disasters (the different expenses arising from the occurrence of the disaster, such as humanitarian assistance or those aimed at restoring basic services or carrying out rehabilitation, recovery or reconstruction tasks, etc.). 2. If there are national funds or equivalent financial instruments established in the DRM regulations, review their regulations, operational documents or other related regulations to see if a percentage, amount or other parameter is established for the annual allocation of resources. 3. Inquire into the national regulations related to the national budget or public finances that are linked to the allocation or operation of the fund or equivalent financial instrument identified in indicator FP-1A-1, or of a fund for emerging expenses in disaster situations that is not derived from the national regulations on DRM, if a percentage, amount or parameter of resources to be allocated to such fund or equivalent mechanism is explicitly established. 	
Link to other indicators	
FP-1A-1	This indicator could inquire about the percentage or parameter of resource allocation to the fund identified in indicator FP-1A-1.
FP-2-8	If the fund or equivalent financial instrument used to support this indicator is considered in the DRM regulations, it should also be reviewed if there are regulations that establish a percentage or other parameter for the annual allocation of resources.
Description of the minimum situation required to consider the indicator met	

<p>The following conditions must be met for the indicator to be met:</p> <ol style="list-style-type: none"> 1. The existence of at least one national fund to cover emerging expenses (the different expenses that arise due to the occurrence of the disaster, such as those for humanitarian assistance or for those to restore basic services or for the tasks of rehabilitation, recovery or reconstruction, etc.) due to the occurrence of disasters, which has been established in the regulations. 2. Existence of national regulations establishing the percentage or parameter of the resources to be allocated to the fund or equivalent financial instrument mentioned in the previous condition. In order to comply with this indicator, it is not necessary that the fund be available (that is, that it has resources assigned, either a balance from previous periods or from the current fiscal year) at the time of the application of the iGOPP.
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>
<p>Examples of compliance in countries of the region</p>
<p>Costa Rica 2014. Law No. 8488 National Law on Emergencies and Risk Prevention, of October 27, 2005 (Pf-1A-2a) establishes in its Article 46: <i>"All institutions of the central administration, the decentralized public administration and the public enterprises, shall transfer to the Commission three percent (3%) of the profits and of the accumulated free and total budget surplus that each one of them reports, which will be deposited in the National Emergencies Fund, for the financing of the National System of Risk Management"</i></p>
<p>Examples of non-compliance in countries of the region</p>
<p>Argentina 2014. Argentina does not have a national law, policy or strategy that specifically addresses risk management. However, there are regulations that establish funds to finance emerging expenses in disaster situations: Law No. 26,509, which creates the National System for the Prevention and Mitigation of Agricultural Emergencies and Disasters (Agricultural Emergency), enacted on August 27, 2009, in Article 16 provides for the creation of the <i>"... National Fund for the Mitigation of Agricultural Emergencies and Disasters (FONEDA), whose objective is to finance the implementation of the National System for the Prevention and Mitigation of Agricultural Emergencies and Disasters..."</i>. It is worth mentioning that this law does not establish the annual percentage of resources to be allocated to the Fund.</p>

Code FP-1A-3

Closed-ended question	
3. Are there regulations establishing the formulation of a disaster risk retention and transfer structure in the country?	
Indicator Overview	
<p>For the development and implementation of a financial protection structure for disaster risk to be sustainable, it is considered good practice to have regulations that mandate its formulation.</p> <p>The structure of financial protection against disaster risk is understood to be an optimal combination of financial instruments for retention and transfer of risk, according to the events to be covered (recurrent and non-recurrent events) and the associated costs. However, the regulations in question do not have to explicitly mention all these elements; they only need to include references to concepts that cover them or are similar, such as the generation of a <u>financial protection</u> strategy, or the development of a strategy <u>to reduce fiscal vulnerability to the</u> occurrence of disasters.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the regulatory framework on the management of contingent liabilities. 2. Review the function manuals of the areas of the tax authority, economy or finance (or equivalent entity). 3. Review national regulations governing DRM. 4. Review national regulations governing development planning in the country. 5. Consult with the tax, economic or financial authority (or equivalent entity). 6. Consult with the DRM governing body on this matter. <p>Note: it is not necessary that the identified normativity reaches the level of detail of mentioning retention and transfer or <i>ex-ante</i> and <i>ex-post</i> instruments. It would be enough to mention the formulation of a structure for disaster risk protection or functions related to the reduction of fiscal vulnerability to the occurrence of disasters.</p>	
Link to other indicators	
GF-2-1	The existence of a financial protection strategy can mention the regulations that support it.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be national regulations that mention as a goal, objective, activity or result the formulation of a structure for the retention and transfer of disaster risk in the country or, in its absence, a financial protection strategy or activities to reduce fiscal vulnerability to the occurrence of disasters.</p> <p>To validate this condition, it is not necessary that such financial protection structures, or some of its elements, are operational.</p> <p>It will not be possible to verify this indicator simply by showing that the country has some financial protection instruments (withholding and transfer), since the indicator seeks to show that the selection of financial protection instruments is part of the fulfillment of functions established in the regulations.</p> <p>This indicator does not refer to the regulations regarding the obligation to cover public assets through insurance policies, since these regulations only refer to a risk transfer instrument. There is also no reference to the budget regulations that allow for budget transfers or the acquisition of credits to manage resources and attend to the occurrence of disasters, since these regulations are related to the possibility of managing ex-post instruments to attend to the occurrence of disasters, which is present in most countries.</p>	

Nor does it refer to regulations associated with agreements that allow for the acquisition of risk transfer instruments, such as CCRIF, because such regulations only refer to the possibility of acquiring a risk transfer instrument.

Finally, the indicator will not be considered fulfilled if the regulations only establish the formulation of a financial protection strategy for only a part of the natural threats that may affect the country. It is essential that the regulations make general reference to the different disasters, without limiting the mandate to particular climatic or geophysical events.

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Examples of compliance in countries of the region

Panama 2013. The condition is partially fulfilled by Executive Decree No.110, of August 4, 2009, which created the Directorate of Investments, Concessions and State Risks attached to the Ministry of Economy and Finance, and adopted measures of administrative efficiency (FP 1A-3a). Article 2, paragraphs 7 and 8, relating to the functions of this Directorate, provides for the review and recommendation to its superior of the policy on risks, insurance and bonds, in addition to verifying that national assets are covered by a "... *modern risk management system*. The condition is fully complied with through Executive Decree No. 479, of November 22, 2011, which adds numerals 10, 11, 12 and 13 to Article 2 of Executive Decree No. 110 of August 4, 2009 (FP 1A-3b), which brings additional responsibilities in the area of financial management of disaster risk to the State's Directorate of Investments, Concessions and Risks (DICRE for its acronym in Spanish), since it introduces in Articles 10 and 11 the specificity regarding the transfer of risks, in addition to, although vaguely, the condition of risk retention.

Examples of non-compliance in countries of the region

El Salvador 2016. The National Strategy for Climate Change 2013, of the Ministry of Environment and Natural Resources, establishes in the Axis 1, referring to "Mechanisms to *face recurrent losses and damages*" as a priority line "Options and *mechanisms of retention and transference of risks*". However, given that the mandate of the Strategy only addresses the country's climate risks, geological risks that are also very important for the country are left out. Therefore, it is not considered that the climate change regulations mandate the formulation of disaster risk retention and transfer structure in the country, which covers all risk sources. The above was ratified by the Ministry of Finance in the visits carried out in July 2016. In the opinion of the Ministry of Finance, a structure of retention and transfer of disaster risk should cover additional risks to those contemplated by the National Strategy for Climate Change 2013.

Code PF-1A-4

Closed-ended question

4. Do the regulations governing the insurance sector establish that the estimation of catastrophic risk reserves for assets with non-homogeneous/special characteristics is supported by probabilistic risk assessment models accepted by the sector's regulatory body?

Indicator Overview

In order for insurance companies to have the necessary resources to respond in the event of a disaster, it is recommended that provisions or technical reserves or obligations under insurance contracts for catastrophic risk be estimated taking into account probabilistic risk assessment models or maximum probable loss estimates, which must be certified or accepted by the insurance sector's regulating entity.

Likewise, it is considered advisable that such models consider the differences in the types of goods subject to coverage. Goods with non-homogeneous/special characteristics correspond to those with particular characteristics, such as water and sewage systems, electric power systems and oil infrastructure. They differ from goods with homogeneous or uniform characteristics in that they have similar physical characteristics, for example, office buildings, concrete buildings and those that are 10 years old.

Steps to follow to obtain the required information

1. Review insurance regulations, particularly those governing technical provisions or reserves or obligations under insurance contracts.
2. To review that in this regulation it is stipulated that the technical provisions or reserves or the obligations for insurance contracts subscribed in the insurance sector must be established taking into account models of probabilistic evaluation or estimation of maximum probable losses, which must be defined, certified or approved by the regulating entity of the insurance sector.
3. Confirm that the regulations revised in the previous steps make specific reference to the estimation of provisions or technical reserves or the obligations for insurance contracts subscribed for assets with non-homogeneous/special characteristics (or equivalent). In other words, it is not enough that the regulations make specific reference to the fact that the estimate of provisions or technical reserves or the obligations under insurance contracts are supported by probabilistic evaluation models or models for estimating maximum probable losses, which must be defined, certified or approved by the insurance sector regulatory body: the regulations must also explicitly state that these models must consider the differences in the types of assets subject to coverage (of non-homogeneous/special characteristics).
4. Review the website of the insurance market supervisory entity.
5. If necessary, consult the governing or supervisory entity of the insurance market and insurance associations in the country.

Link to other indicators

FP-1A-5

The standards and documentation reviewed or used as verifiable in this indicator could serve to support the present indicator or to guide in the search of the information required to verify its compliance.

Description of the minimum situation required to consider the indicator met

For this indicator to be met, the following conditions must be satisfied:

1. That the regulations governing the provisions or technical reserves or obligations for insurance contracts taken out for catastrophic risk in the insurance sector explicitly state that provisions or technical reserves or obligations for insurance contracts taken out for assets with non-homogeneous/special characteristics must be established.
2. That these regulations establish that the estimation of provisions or technical reserves or the obligations for catastrophic risk insurance contracts underwritten must be made using probabilistic evaluation models or maximum probable loss estimates.
3. That the models of probabilistic evaluation or estimation of maximum probable losses are certified or approved by the regulatory entity of the insurance sector of the country.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. The National Insurance and Bonding Commission (CNSF as its acronym in Spanish) stated that in Mexico, regardless of whether the property is homogeneous or not, the same model is applied. Chapter 7.2. of the Circular Única de Seguros (FP-1A-4a), "On the *technical bases for the valuation of the current risk reserve and the Maximum Probable Loss for earthquake insurance*" states that "For purposes of calculating the Maximum Probable Loss to be used to determine the solvency requirement and the limit of the catastrophic risk reserve for earthquake insurance, the following must be observed: The Maximum Probable Loss shall be determined monthly applying the technical bases indicated in Annex 7.2.1. (FP-1A-4b) and by means of the "System R" calculation system to be provided by the Commission, as indicated in Annex 7.2.2. (FP-1A-4c). With regard to Annex 7.2.1., regarding the "Technical Bases for the Determination of the Risk Premium and the Maximum Probable Loss for Earthquake Insurance", the CNSF stated that the description of such model corresponds to a probabilistic model. This model is applied to assets with characteristics that are not homogeneous.

Examples of non-compliance in countries of the region

Colombia 2013. In 2003 there was (in addition to Law 45 of 1990 and Decree 839 of March 27, 1991, which were still in force), Law 510 of August 3, 1999, "by which *provisions are issued in relation to the financial and insurance system, the public securities market, the Banking and Securities Superintendence and powers are granted*". This Law established in Article 2, that literal (d) of Article 53 of the Organic Statute of the Financial System, should be adjusted as follows: "*Study that satisfactorily demonstrates the feasibility of the company, which should be extended in the case of insurance companies to the business branches they intend to develop; such study should indicate the technological and administrative infrastructure that will be used for the development of the entity's purpose, the internal control mechanisms, a management plan for the risks inherent to the activity, as well as the complementary information requested by the Banking Superintendence*". In reviewing these regulations (and in interviews with experts), it is concluded that they do not establish that the estimation of reserves for non-homogeneous assets must be supported by probabilistic risk assessment models defined or certified by the sector's regulating entity (Banking Superintendence).

Code FP-1A-5

Closed-ended question	
5. Do the regulations governing the insurance sector establish that the estimation of catastrophic risk reserves for goods with homogeneous/uniform characteristics is supported by probabilistic risk assessment models accepted by the sector's regulatory body?	
Indicator Overview	
<p>In order for insurance companies to have the necessary resources to respond in case of a disaster, it is recommended that technical provisions or technical reserves or obligations under insurance contracts for catastrophic risk be estimated taking into account probabilistic risk assessment models or maximum probable loss estimates, which must be certified or accepted by the insurance sector's regulatory body.</p> <p>Likewise, it is considered advisable that such models consider the differences in the types of goods subject to coverage. Assets with homogeneous or uniform characteristics correspond to those that have similar physical characteristics, for example, office buildings, concrete buildings and those that are 10 years old. They differ from goods with non-homogeneous/special characteristics in that they have particular features, such as water and sewage systems, electric power systems and oil infrastructure.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review insurance regulations, particularly those governing technical provisions or reserves or obligations under insurance contracts. 2. To review that in this regulation it is stipulated that the provisions or technical reserves, or the obligations for insurance contracts subscribed in the insurance sector, must be established taking into account models of probabilistic evaluation or estimation of maximum probable losses, which must be defined, certified or approved by the regulating entity of the insurance sector. 3. Confirm that the regulations revised in the previous steps make specific reference to the estimation of provisions or technical reserves or the obligations for insurance contracts subscribed for assets with homogeneous/uniform characteristics. In other words, it is not enough that the regulations make specific reference to the fact that the estimate of provisions or technical reserves or the obligations under insurance contracts is supported by probabilistic evaluation models or models for estimating maximum probable losses, which must be defined, certified or approved by the insurance sector regulatory body: the regulations must also explicitly state that these models must consider the differences in the types of assets subject to coverage (<u>homogeneous/uniform characteristics</u>). 4. Review the website of the insurance market supervisory body. 5. Consult the regulatory or supervisory body of the insurance market and/or associations of insurance companies. 	
Link to other indicators	
FP-1A-4	The standards and documentation reviewed or used as verifiable for this indicator could serve to support the present indicator or to guide the search for the information required to verify its compliance.
Description of the minimum situation required to consider the indicator met	

The following conditions must be met in order for the indicator to be fulfilled:

1. That the regulations governing the provisions or technical reserves, or the obligations for insurance contracts subscribed for catastrophic risk in the insurance sector, explicitly state that provisions or technical reserves or obligations for insurance contracts subscribed for goods with homogeneous/uniform characteristics must be established.
2. That these regulations establish that the estimation of provisions or technical reserves or obligations for insurance contracts underwritten must be made using probabilistic evaluation models or, at least, estimating maximum probable losses.
3. That the models of probabilistic evaluation or estimation of maximum probable losses are certified or approved by the regulatory entity of the insurance sector of the country.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Peru 2013. By means of Resolution No. 1305-2005 of the Superintendence of Banking, Insurance and Private Pension Fund Administrators (S.B.S.), which approves the Regulations for the Constitution of the Reserve for Catastrophic Risks and Uncertainty, dated August 19, 2005 (FP-1A-4b), the SBS established that insurance companies must carry out a study to calculate the Maximum Probable Loss (MPL) on which the minimum catastrophic coverage required for the national market will be determined. The above is stipulated in Article 3: *"The companies shall constitute the monthly catastrophic reserve as the sum of the following components: a) The amount equivalent to the MPL product determined in accordance with the Technical Note for the Total Exposed Amount of the buildings and industrial warehouses. b) The amount of the maximum expected loss of special structures other than buildings and industrial warehouses. "*

Examples of non-compliance in countries of the region

Brazil 2017. *The regulation does not suggest, nor require the use of any probabilistic risk assessment model to estimate reserves or provisions for assets with homogeneous/uniform characteristics, as it is possible to follow in (i) Decree Law No. 73 of November 1996, the Federal Norm, which "provides for the National System of Private Insurance, regulates insurance and reinsurance operations and other measures", stipulated in Article 8 of the Superintendence of Private Insurance - SUSEP which is one of the entities that make up the National System of Private Insurance. According to Article 36 of the above mentioned norm, "It corresponds to the SUSEP, as executor of the policy described by the CNSP, as the supervisory body for the constitution, organization, operation and transactions of the Insurance Companies: ... (b) issue instructions and issue circulars on the regulation of insurance operations in accordance with the guidelines of the CNSP "(National Council of Private Insurance); (ii) SUSEP CIRCULAR No. 517 OF JULY 30, 2015, which "provides for technical provisions; proof of adequacy of liability; reduction of assets; underwriting, credit, operational and market risk capital; constitution of the operational loss database; solvency settlement plan; registration, custody and movement of assets, securities and valuables that guarantee technical provisions Article 3 states: "For each technical provision, the supervised party must maintain a technical actuarial note, signed by the responsible technical actuary, available to Susep, detailing the calculation methodology used. I - the actuarial technical note with the methodology will be delivered to Susep within 5 (five) working days from the date of receipt of the request, II - Susep may, at any time, as necessary in each specific case, determine to supervise the use of specific method to calculate the technical provision, and III - in the case provided in point II, the supervised persons may submit to Susep a request for the use of their own method, whose application depends on the prior authorization of Susep". The condition is negative since the technical provisions must be supported by actuarial notes, for which no model is established.*

Code FP-1A-6

Closed-ended question	
6. Are there regulations that establish national development funds for financing disaster management activities?	
Indicator Overview	
<p>It is considered desirable that different sources of resources exist to finance disaster management activities, within which it is considered a good practice that national development funds can allocate resources to disaster management activities.</p> <p>Development funds can be a very important source of resources to finance disaster management activities, i.e., expenses arising from disaster situations (such as humanitarian assistance or those destined to restore basic services or for rehabilitation, economic reactivation, recovery or reconstruction tasks, etc.).</p> <p>National development funds, also known as social investment accounts (or equivalent financial instrument), focus mainly on providing resources for investment at different scales and different approaches (territorial, sectoral management units, etc.), and in an integrated manner contribute towards the countries' development vision. These funds can be royalty, investment, action or social cohesion funds, etc.</p> <p>This indicator assesses whether these development funds include or consider their possible use for financing disaster management activities, even if they are not exclusively for DRM-related activities.</p> <p>The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose).</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Identify the main national development funds (or equivalent financial instrument). 2. Investigate the regulation of such funds (or equivalent financial instruments) if they are authorized to finance disaster management activities. 3. Inquire with the budget area (if any) of the tax, economic or financial authority (or equivalent entity) and/or with the DRM governing institution regarding the existence of development funds (or equivalent financial instrument) that are authorized to finance disaster management activities. 	
Link to other indicators	
GF-2-8	Some of the funds identified in this indicator may also be available for the disaster management funding addressed by this indicator.
Description of the minimum situation required to consider the indicator met	
<p>The following conditions must be met to comply with the indicator:</p> <ol style="list-style-type: none"> 1. Existence of national development funds or equivalent financial instruments. 2. Evidence that at least one of them is authorized to finance disaster management activities (response, rehabilitation, reconstruction) <p>To validate this indicator, it is not necessary that resources from the fund in question have necessarily been used or allocated for disaster management initiatives; it is sufficient that the fund can formally cover this type of expenditure.</p>	

It is worth mentioning that for the purposes of this indicator, budget lines with the name of Fund or similar are not considered as funds. The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose).

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Examples of compliance in countries of the region

Mexico 2014. In Mexico there are several cases, for example: (i) National Solidarity Business Support Fund, FONAES (as its acronym in Spanish), which is governed by the AGREEMENT by which the Rules of Operation of the National Support Fund for Companies in Solidarity for fiscal year 2012, published in the DOF on December 21, 2011 (FP-1A-6a) are made known, is entitled to "7. Coverage. The resources and actions aimed at solving the effects caused by natural disasters must adhere to the guidelines and mechanisms determined by the Ministry of the Interior and the Ministry of Finance and Public Credit, in their areas of competence and other applicable provisions." (ii) Fund of the "Esta Es Tu Casa" (This is your home) Program, which according to the Agreement that modifies the Operating Rules of the Program of Financing Schemes and Federal Housing Subsidy "Esta Es Tu Casa", for the 2013 Fiscal Year, published in the DOF on February 28, 2013 (FP-1A-6b) includes in the numeral "4.3. In emergency situations caused by natural phenomena... the Regulatory Body will have the attribution, after analyzing the budgetary sufficiency and response capacity, to grant federal subsidies to people with homes affected by natural phenomena or with homes built in risk zones, through complementarity schemes with state and/or municipal subsidies, without the need for previous financing or savings by the victims..."

Examples of non-compliance in countries of the region

Argentina 2014. No evidence was found of development funds authorized to finance disaster management activities, the following funds were considered: (i) By Decree of the National Executive Power N° 286/95 the FIDUCIARY FUND FOR THE PROVINCIAL DEVELOPMENT (FFDP) was constituted, with the to support the reforms of the Argentine provincial public sector and to promote the economic development of the provinces. Through Decree No. 1289 of November 4, 1998, the objectives of the FFDP were expanded, and it may also finance programs of fiscal, financial or administrative reform of the provincial states, as well as assist and finance programs that provide for the cleaning up of the public debt and others aimed at promoting the development of the real economy sectors of the Argentine provinces; (ii) The "Federal Housing System" established in National Law No. 24, promulgated on March 27, 1995, was created with the purpose of facilitating the necessary conditions to enable the population with insufficient resources, in a quick and efficient manner, to have access to decent housing, as provided for in Article 14 of the National Constitution. This system is integrated by the FO.NA.VI. - National Housing Fund -, the Provincial and Autonomous City of Buenos Aires Executing Agencies, which are responsible for the application of the Law in their respective jurisdictions, and the National Housing Council. No evidence was found in the regulations of these funds regarding the possibility of financing disaster management activities.

Code FP-1B-1

Closed-ended question	
1. Are there regulations that establish the fiscal responsibility of the state in the face of disaster risk?	
Indicator Overview	
<p>It is considered desirable that the responsibility of the state in the event of disasters be established in national regulations. State responsibility for disaster risk defines the contingent liabilities that the state must manage and therefore the aspects to be considered in the design and implementation of its financial protection strategy against disaster risk.</p> <p>This indicator explores the state's responsibility for assets that are not public property, particularly those of the most vulnerable population, such as their housing and agricultural production, among others.</p> <p>This indicator does not refer to a constitutional or other regulatory mandate related to the general responsibilities of the state in the event of disasters, or the responsibilities of state institutions to provide relief, protection and emergency care. It seeks to make explicit the state's fiscal responsibility for the assets of the affected population, particularly the most vulnerable.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the country's Constitution, regulations related to Disaster Risk Management (DRM), DRM funds, regulations related to contingent management and financial regulations related to the support of government institutions to the population affected by disasters. 2. Review national regulations related to post-disaster reconstruction processes or programs. 3. Review regulations in the housing and agriculture sectors linked to funds or programs to support the population affected by disasters in these areas. 4. Determine whether the regulations explicitly refer to the responsibilities of the State in the event of disasters with respect to the assets of the affected population, particularly the most vulnerable. 	
Link to other indicators	
GF-1A-1	DRM regulations may guide or contain considerations for verifying this indicator.
DP-1A-1 DP-1A-6	The regulations of the fund identified in these indicators may guide or contain the considerations for verifying the present indicator.
RC-1A-2	Regulations considering livelihood recovery may guide or contain the necessary considerations to verify this indicator.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, the regulations identified must indicate the state's fiscal responsibility in the event of disasters, explicitly stipulating responsibilities for assets that are not public property, particularly those of the most vulnerable population, such as their housing and agricultural production, among others.</p> <p>In this sense, this indicator does not inquire into the moral responsibility to support the population affected by the occurrence of disasters, but rather an explicit mandate to take fiscal responsibility for these losses of the population. It is not considered a verifiable interpretation of any article of the regulations in force in the country. The text must be explicit, for example: "...in the event of a disaster, the state is responsible for the assets of the most vulnerable population, understood as ...", or, conversely: "...in the event of a disaster, the state will not be responsible for the assets of the private.</p>	

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Examples of compliance in countries of the region

Nicaragua 2016. Article 6 of the Law Creating the National System for the Prevention, Mitigation and Attention to Disasters, Law No. 337 (FP-1B-1a), approved on March 8, 2000 and published in the Gazette No. 70 of April 7, 2000, regarding the "Objectives of the National System", stipulates as an objective of the system "1. Risk reduction, effective and timely response, rehabilitation and reconstruction of disaster affected areas" Within this context, the Regulation for the Assignment of Functions of the National System for the Prevention, Mitigation and Attention to Disasters (SINAPRED) to State Institutions, approved by Executive Decree No. 98-2000 (FP-1B-1b), stipulates in paragraph f) of numeral 4 (referring to the Ministry of Finance and Public Credit) of Article 4, which refers to the activities of prevention, mitigation and attention to disasters that correspond to certain Ministries. "To attend to and resolve claims for the affectation of movable or immovable property that has been considered necessary to guarantee the security of individuals and their property in the event of a disaster".

Examples of non-compliance in countries of the region

Bolivia 2015. Law No. 113/2013-2014, Risk Management Law, approved by the Assembly on November 13, 2014, stipulates in Article 5 as principles " All the people who live and inhabit the national territory *have priority in the protection of life, physical integrity and health in the face of risks of disasters caused by natural, socio-natural, technological and anthropic hazards, as well as social, economic, physical and environmental vulnerabilities. The attention in front of disasters and/or emergencies, must be preferential for pregnant women, girls, boys, older adults, people in condition of disabling illness and people with different capacities*". However, the indicator is not fulfilled because the regulations mentioned do not define the extent of the State's fiscal responsibility in the event of disasters.

Code FP-1B-2

Closed-ended question	
2. <i>Are there any regulations that assign responsibilities to the Treasury, Finance or Economy sector, in terms of financial protection against disaster risk?</i>	
Indicator Overview	
<p>It is considered desirable that the regulations assign responsibility to the finance sector for financial protection against disaster risk, in order to ensure the sustainability of activities on this front.</p> <p>A comprehensive disaster risk management strategy requires the financial protection component, which should be the responsibility of the treasury, finance or economy sector (or equivalent entity). It could also be the responsibility of another area, for example, the DRM governing area. Consequently, this indicator seeks to identify whether in any regulatory framework, such as (i) the one dealing with contingent liabilities or obligations; (ii) the one defining the functions of the treasury sector or equivalent ministry; (iii) the national development plans; (iv) the national DRM plans; and/or (iv) the specific DRM regulations, explicitly stipulate for some entity the functions related to the formulation of a structure for retaining and transferring disaster risk in the country, financial protection strategy or to reduce fiscal vulnerability to the occurrence of disasters. No reference is being made to the regulations regarding the authority of the treasury sector to manage budgetary transfers or to acquire credits to manage resources to deal with the occurrence of disasters, since these regulations are related to the possibility of managing ex-post instruments to deal with the occurrence of disasters, which is present in most countries.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the regulatory framework on the management of contingent liabilities. 2. Review the manuals and regulations of organization and functions (ROF) of the treasury, finance or economy sector (or equivalent entity). 3. Review the national regulations governing DRM to identify the responsibilities that it could assign to the treasury, finance or economic sector (or equivalent entity). 4. Review national regulations governing national planning for DRM. 5. Review national regulations governing national development planning. 	
Link to other indicators	
GF-1A-1	DRM regulations may define functions of some government institutions, where the research of this indicator could be included.
DP-1A-3	The regulations that define the formulation of financial protection may assign such responsibility to the Treasury, Finance or Economy sector.
Description of the minimum situation required to consider the indicator met	
<p>In order to comply with the indicator, national regulations must assign functions to the treasury, finance or economy sector (or equivalent entity) to manage disaster risk from a financial point of view. To verify the indicator, the responsibilities and functions assigned to the finance sector should explicitly mention the formulation of a structure for retaining and transferring disaster risk in the country, a financial protection strategy or to reduce fiscal vulnerability to the occurrence of disasters, or an equivalent concept.</p> <p>Compliance with this indicator will not be supported by regulations regarding the powers of the finance sector to manage budget transfers or to acquire credits to manage resources to deal with the occurrence of disasters, since these regulations are related to the possibility of managing ex-post instruments to deal with the occurrence of disasters, which is present in most countries.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

El Salvador 2016. Agreement 1290 of August 28, 2012, (FP-1B-2a), whose subject matter corresponds to "Create the *Fiscal Risk Unit in the Economic and Fiscal Policy Directorate*", agrees in the literal a) "To create the *Fiscal Risk Unit in the Economic and Fiscal Policy Directorate of the Ministry of Finance*, whose main function will be to quantify the fiscal impact associated with economic losses and damage from natural disasters caused by climate change, as well as the management of contingent obligations, seeking to contribute to fiscal sustainability and transparency in the administration of public resources". Likewise, in paragraph b) it establishes "For the effects of the present Agreement, Fiscal Risks are understood as those contingent obligations over which there is no certainty regarding their value or moment in which they will become due, since they are determined by the occurrence of a future and uncertain event. These events are related at least to the following: natural disasters, concession contracts, which are developed through public-private partnership mechanisms, legal proceedings against the State and guarantees in public credit operations, among others". Subparagraph c) establishes as functions of the Fiscal Risk Unit: "To develop methodologies and guidelines for the process of identification, definition, assessment, mitigation and monitoring of contingent risks associated with events that may generate fiscal impacts for the State as defined in subparagraph b) of this Agreement".

Examples of non-compliance in countries of the region

Honduras 2014. In the Government Plan 2010-2014, dated 2010, in section J.2 for Risk Management, it is established as a policy measure in paragraph p) "Develop and implement a comprehensive policy for financing post-disaster recovery. Additionally, the State Policy for Integral Risk Management in Honduras, approved by Executive Decree Number PCM-051-2013, published in the Gazette of November 26, 2013, defines as objective 3 " Establish and develop mechanisms that ensure the reduction of the State's financial vulnerability to disasters and increase its capacity for integrated risk management, recovery and resilience of Hondurans", within this objective, strategic guideline 4 establishes "Create and strengthen financial mechanisms for risk reduction and disaster recovery, in the Nation's budget". It is worth mentioning that the mentioned normative does not define the entities responsible for the development of financial protection instruments against disaster risk. On the other hand, the Law of the National System of Risk Management (SINAGER), Decree 151-2009, of December 26, 2009, stipulates in Article 22 "The Secretariat of State in the Office of Finance must establish the mechanism of financing and accumulation of the National Fund for Emergency Preparedness and Response (FONAPRE) according to the real possibilities of the country". However, the condition is negative because the regulations do not refer to risk transfer instruments. On the other hand, in the Executive Decree, PCM-008-97, which corresponds to the Regulation of Organization, Operation and Competence of the Executive Branch, in Article 57, which defines the functions of the Ministry of Finance, it does not refer to financial protection against disaster risk. This was ratified in the interviews with the Ministry of Finance (SEFIN).

Code FP-1B-3

Closed-ended question

3. Are there regulations that establish that sector entities must cover their public assets with insurance policies or other equivalent mechanisms?

Indicator Overview

In the event of disasters, governments are responsible for the public assets they are in charge of, which have been acquired and/or built, among others, with resources from taxes paid by citizens. In this context, it is important that sectoral entities (ministries, companies, institutes, etc.) cover their assets with insurance policies or other equivalent financial instruments when disasters occur. This should be supported by regulations that assign responsibilities to sectoral entities (ministries, enterprises, institutes, etc.). This issue is key because it is the basis for the financial protection of public goods.

Within the equivalent financial instruments are considered self-saving/insurance schemes, which are risk retention instruments, which can be used to constitute schemes that allow the transfer of risk to the insurance/reinsurance markets. The above implies that in the first instance the risks to be covered are estimated, to subsequently establish a mechanism composed of reserves and/or risk transfer instruments. It is important to mention that this indicator only evaluates the existence of the standard, not its compliance.

Steps to follow to obtain the required information

1. Review the regulations related to the management of state assets.
2. Review regulations related to internal control standards, public administration assets or disciplinary codes applicable to public officials.
3. Find out if there is an entity in charge of the management or administration of public assets, and if so, consult that area.
4. Consult the Treasury, Finance or Economy sector or equivalent entity.
5. Consult the country's leading DRM institution.

Link to other indicators

FP-1C-1

If the territorial management units have the obligation to cover their public assets, it could be that this norm also establishes the same responsibilities for the respective sectors.

Description of the minimum situation required to consider the indicator met

For the indicator to be met, there must be national regulations that explicitly establish the obligation of sector entities to financially protect public assets under their responsibility with insurance policies or other forms of coverage (e.g. self-saving/insurance).

The indicator investigates the existence of regulations. The indicator does not inquire into the existence of insurance contracted by the public sector, that is, it does not support its compliance through evidence that one or more sectors have insurance policies in force applicable to the public assets under their responsibility. However, if the situation described above occurs, it should be reflected in the respective justification.

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Examples of compliance in countries of the region

Panama 2014. The DICRE stated in the interview that all sectoral entities must cover their public assets. This is due to the provisions of Cabinet Decree No. 17 of June 5, 1991, which establishes the management of State insurance (FP 1B-4a): (i) Article 3. *"The Commission shall establish a modern system of risk management, by means of a contest, as established in the Fiscal Code, with the participation of the greatest number of professional insurance brokers for the management, organization and claim of the insurance of each one of the institutions..."*; (ii) Article 5. *"This system will be designed with the purpose of considering the Panamanian State as a single client..."*.

Examples of non-compliance in countries of the region

Venezuela 2015. In numeral 7 of Article 33 of the LAW OF THE STATUTE OF THE PUBLIC FUNCTION, published in the Official Gazette No. 37,522 of September 6, 2002, regarding *"Duties and Prohibitions of Public Officials"*, it is stipulated as a duty to *"Watch over, conserve and safeguard the documents and goods of the Public Administration entrusted to its custody, use or administration"*. Consistently, Title II of the *"Budget Law for the 2015 Fiscal Year"*, published in the Extraordinary Official Gazette No. 6,161 of Wednesday, December 10, 2014, among the projects of the Attorney General's Office is N.E.: 124237, COD. PPTO: 250041000 to *"Guarantee and protect the rights, goods and patrimonial interests of the Republic"*. However, the condition is considered negative since no explicit reference is made to the obligatory nature of the insurance.

Code FP-1B-4

Closed-ended question

4. Are there regulations on incentives for private insurance against housing disasters?

Indicator Overview

The repair and reconstruction of housing after a disaster is one of the most important financing needs, since housing is one of the population's essential assets. Usually there is no regulatory responsibility for governments to support the repair and/or reconstruction of the homes of the most vulnerable population, but there is a moral contingent obligation for them to support these issues.

If the housing of a significant part of the population is insured, the government may allocate more resources to serve the most vulnerable population or to channel resources to cover other urgent needs. This is why it is considered good practice for private housing to be insured. In this sense, it is being investigated whether there are national regulations or any programs in force at the national level that promote or encourage the insurance of private individuals against disasters.

This indicator does not inquire into the obligatory subscription of insurance related to mortgage loans. Nor does it inquire into the policies of private insurance companies related to improvements in policy rates as a result of physical interventions to reduce risk.

Steps to follow to obtain the required information

1. Investigate with the insurance guild the existence of this type of regulations or programs at a national level that encourage the insurance of housing by its owners.
2. Consult the treasury, finance or economic sector (or equivalent entity).
3. Consult with the housing sector.
4. Review the information available on the website of the insurance market supervisory body.

Link to other indicators

Not applicable

No linked indicators

Description of the minimum situation required to consider the indicator met

In order for the indicator to be met, the regulations identified must include incentives for private individuals to insure their homes against disaster risks, which must be mentioned and described in the respective justification. The indicator would also be met if, in the absence of regulations, there were a program in place at the national level to provide incentives for such insurance.

The indicator is not met through the obligation to insure housing when taking out a mortgage loan.

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Examples of compliance in countries of the region

Haiti 2014. In the HAITI STRATEGIC DEVELOPMENT PLAN (PF-1B-5a), approved in 2012, the following is estimated: "SUBPROGRAM 2.5.1: IMPROVE ACCESS TO INSURANCE. Necessarily, given limited government resources, maximum reliance must be placed on the private sector to encourage the desired increase in the use of insurance and, in the short term, make insurance mandatory for various acts or risk situations. The next ITP will need to identify and implement the measures required to improve insurance coverage in all areas, including : (i) automobile insurance; (ii) life insurance; (iii) health insurance; (iv) agricultural insurance; (v) occupational risks; (vi) movable and immovable property; and (vii) comprehensive insurance". In other words, it promotes the insurance of real and personal property of the private sector. It is worth mentioning that the Clinton Bush Haiti Fund is investing in an Alternative Insurance Company to expand the supply of insurance products: commercial, automobile, life, health, and funeral insurance, through micro insurance. "

Examples of non-compliance in countries of the region

Costa Rica 2014. Article 168 of Law No. 7052, Law of the National Financial System for Housing and Creation of the Housing Mortgage Bank (BANHVI) of 1986, establishes- All *mortgage transactions carried out for the purposes of this law, granted by an authorized entity, must be backed by fire and earthquake insurance, covering the appraisal of the existing home or the one in the process of being built, and a temporary insurance of decreasing mortgage relief, both issued at cost by the National Insurance Institute, for which purpose the Institute and the Bank must negotiate the corresponding premiums*". However, the indicator is not considered fulfilled because the incentives are related to the granting of mortgage loans, a hypothesis expressly exempted from the protocol of application of the iGOPP.

Code FP-1C-1

Closed-ended question	
1. <i>Are there regulations that establish that the entities of the Territorial Management Units must cover their public assets with insurance policies or other equivalent mechanisms?</i>	
Indicator Overview	
<p>In the event of disasters, governments are responsible for the public assets they are in charge of, which have been acquired and/or built with resources from taxes paid by citizens, among others. Within this context, it is considered relevant that the territorial management units (TMU) cover the assets under their responsibility with insurance policies or other equivalent financial instruments when disasters occur. This should be established by regulations that assign responsibilities in this area to the TMU that have been granted competencies in the use and management of land.</p> <p>Within the equivalent financial instruments are considered self-saving/insurance schemes, which are risk retention instruments, which can be used to constitute schemes that allow the transfer of risk to the insurance/reinsurance markets. The above implies that in the first instance the risks to be covered are estimated, to subsequently establish a mechanism composed of reserves and/or risk transfer instruments. It is important to mention that this indicator only investigates the existence of regulations and does not evaluate whether the entities comply with the provisions of such regulations.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review the regulations related to the management of state assets. 2. Review the regulations related to internal control standards or disciplinary codes applicable to public officials working in TMU (territorial management units). 3. Review regulations related to the operation and obligations of the TMU that have been assigned powers in the use and management of land, for which it is necessary to review the regulations establishing powers in the use and management of land. 4. Find out if there is a person in charge of the management of public assets and, if so, consult that area. 5. Consult the Treasury sector or equivalent entity. 6. Consult the country's DRM governing institution. 7. Consult the control bodies of the TMU or, where appropriate, the institution in charge of their supervision. 	
Link to other indicators	
FP-1B-3	If the sectors have the obligation to cover their public assets, it is likely that such standard will also oblige the TMU.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be regulations that explicitly establish that the territorial management units (TMU) that have been assigned competencies in the use and organization of the territory are responsible for financially protecting their public assets with insurance policies or other equivalent financial instruments (e.g., self-saving/insurance).</p> <p>If the regulations identified do not refer to all the TMU existing in the country, the condition must be met at least for the smallest territorial management unit (municipality or equivalent) existing in the country.</p> <p>It is worth mentioning that the TMU that have jurisdiction over the use and organization of the territory are being investigated, because they could be in a position to cover the public assets under their charge. Without this type of competence, the TMU would probably not be able to cover the public assets they are in charge of.</p>	

The indicator inquires about regulations. The indicator does not investigate the existence of insurance contracted by the TMU, that is, it does not support its compliance through evidence that one or more TMU have valid insurance policies applicable to the public assets under their responsibility.

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Examples of compliance in countries of the region

Peru 2013. Supreme Decree No. 007-2008-Housing, which approves the Regulations to Law No. 29151, General of the National System of State Property, of March 14, 2008 (FP-1C-1a), states in Article 10 that among the functions, powers and obligations of the entities is that of *"Contracting insurance policies for the goods they own and those under their administration, in accordance with the priority and availability of the budget.* In this sense, the entities at the territorial levels must cover their public assets with insurance policies.

Examples of non-compliance in countries of the region

Mexico 2014. Article 18 of the General Civil Protection Law of 2012 establishes that *"... it is the responsibility of the state governments and the Federal District government, in accordance with their budgetary availability, to contract insurance and other instruments of risk management and transfer for the coverage of damages caused by a natural disaster to the property and infrastructure of their states...* In addition, in the chapter of that law devoted to financial instruments for risk management, article 88 states that: *"The Federal Government, the governments of the federal states, and the government of the Federal District, shall seek and propose mechanisms for the transfer of risk through the contracting of insurance or other financial instruments".* It is worth mentioning that in Mexico the states correspond to territorial entities. In this sense, the regulations do not also cover municipalities, so the indicator is not fully met.

Code: FP-1C-2**Closed-ended question**

2. Are there regulations that require the implementation of financial protection structures against disasters in the country's capital city?

Indicator Overview

In general, the capital city tends to have the highest exposure value to natural hazards. In this sense, it is convenient that it implements financial protection structures against disaster risk.

The capital city is understood to be the city where the government's administrative headquarters (executive branch) is located or, alternatively, the city with the largest population concentration or that contributes most to the country's GDP.

In that sense, it is considered a good practice that the regulations oblige it to implement financial protection structures or risk retention and/or transfer instruments in order to reduce its fiscal vulnerability to the occurrence of disasters.

Steps to follow to obtain the required information

1. Investigate the general regulations that govern the TMU (for example, organic laws of territorial organization).
2. Investigate DRM regulations.
3. Investigate the regulations related to the management of contingent liabilities.
4. Consult with the treasury, finance or economic sector (or equivalent entity), if they are aware of a regulation that obliges the capital city to implement financial protection structures against disasters.
5. Consult with the treasury, finance or economic sector (or equivalent entity) of the capital city (the city where the government's administrative headquarters are located or, alternatively, the city with the largest population or which contributes most to the country's GDP) if they are aware of a policy in this regard.

Link to other indicators**FP-2-1**

The actions in terms of financial protection of the capital city could be supported by a norm that establishes such activities.

Description of the minimum situation required to consider the indicator met

In order for this indicator to be met, there must be national or territorial regulations that stipulate that the country's capital city or some other city, either because of its population or importance, must implement financial protection structures or risk retention and/or transfer instruments in order to reduce its fiscal vulnerability to the occurrence of disasters.

The indicator is considered fulfilled if there are regulations that apply to the capital city, the city where the administrative seat of government (executive branch) is located or, alternatively, the city that concentrates more population or contributes more to the country's GDP.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Ecuador 2016. According to Article 13, referring to the "*Exercise of risk management jurisdiction*" of the Organic Reform Law to the Organic Code of Territorial Organization, Autonomy and Decentralization (FP-1C-2a), published in Official Gazette No. 166, of January 21, 2014, which amends Article 140 of the Organic Code of Territorial Organization, Autonomy and Decentralization (FP-1C-2b), published in Official Gazette Supplement 303, of October 19, 2010. "*Risk management, which includes actions of prevention, reaction, mitigation, reconstruction and transfer, to face all threats of natural or human origin affecting the territory, will be managed concurrently and in an articulated manner by all levels of government in accordance with the policies and plans issued by the responsible national agency, in accordance with the Constitution and the law*". The condition is positive since risk management includes competencies for the territories related to risk transfer.

Examples of non-compliance in countries of the region

Colombia 2013. In Colombia, in the city of Bogotá D.C., Decree 545 of 2006, which stipulates the functions of the District Secretary of Finance, includes in article 5, numeral j, within the functions of the Risk Analysis and Control Office "To propose a financial strategy for the coverage of the District against the occurrence of natural disasters". The condition is considered negative, because this regulation does not require the implementation of financial protection structures.

Code PF-1C-3

Closed-ended question

3. *Does the country's capital city have a fund or equivalent mechanism set up for the financing or co-financing of disaster management activities?*

Indicator Overview

It is considered a good practice for the capital city to have a fund or equivalent financial instrument for the financing or co-financing of disaster management activities (response, rehabilitation and reconstruction). The capital city is understood to be the city where the government's administrative headquarters (executive branch) is located or, alternatively, the city with the largest population concentration or that contributes most to the country's GDP.

It is worth mentioning that for the purposes of this indicator, budget lines with the name of Fund or similar are not considered as funds. The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose). It is not sufficient for the creation of the fund to be established by current regulations. It is essential that the fund is qualified, that is, it has a balance of resources (either a balance from previous periods or from the current fiscal year).

Steps to follow to obtain the required information

1. Review the regulations that govern DRM in the country and check whether explicit reference is made to the fact that TMU that have been assigned responsibilities for land use and management should have their own funds or equivalent financial instrument for financing or co-financing disaster management activities. It is worth mentioning that the TMUs that are responsible for land use and management are being investigated because they may be able to cover the public assets they are responsible for. TMU without this type of competence would probably not be able to count on a fund or equivalent financial instrument for the financing or co-financing of disaster management activities (response, rehabilitation and reconstruction).
2. Review the regulations governing the public finances of the capital city, and see if it establishes a fund or equivalent financial instrument for the financing or co-financing of disaster management activities.
3. Review the regulations governing DRM in the capital city, and see if it establishes a fund or equivalent financial instrument for the financing or co-financing of disaster management activities.
4. Review the capital city's Development or DRM Plans or DRM policy documents, and review whether it establishes a fund or equivalent financial instrument for financing or co-financing disaster management activities.
5. Review regulations governing the responsibilities and functions of the TMU
6. Check with the city's governing leading disaster management institution to see if it has its own financial instrument (i.e., not a national level fund) that is qualified to finance or co-finance disaster management activities.
7. Check with the capital city's finance area or the capital city's DRM governing area if the fund is qualified, i.e., has been allocated resources (either a balance from previous periods or from the current fiscal year).

Link to other indicators

FP-1C-4 FP-1C-5	The city analyzed for these indicators must be the same. The regulations reviewed or used to verify them can guide and validate this indicator.
FP-2-1	If the host city of the national government has a financial protection structure in place, the risk retention tools referred to therein could support compliance with this indicator, provided when they are enabled.

Description of the minimum situation required to consider the indicator met

The following conditions must be verified:

1. Evidence of the existence in the capital city of a fund or equivalent financial instrument authorized to finance or co-finance disaster management activities.
2. Evidence that such fund is qualified, i.e., that it has been allocated resources (either a balance from previous periods or from the current fiscal year).

This financial instrument can be a reserve, calamity, emergency or disaster fund, among other names.

For the purposes of this indicator, budget lines with the name of the fund or similar are not considered as funds. The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose). It is not enough that the creation of the fund is established by current regulations. It is essential that the fund is qualified, that is, it has a balance of resources (either a balance from previous periods or from the current fiscal year).

If the country is centralized and there is a national fund or mechanism for financing or co-financing disaster management activities, but the financial instrument does not exist at the capital city level, the indicator is not considered fulfilled.

The capital city is understood to be the city where the government's administrative headquarters (executive branch) is located or, alternatively, the city with the largest population concentration or that contributes most to the country's GDP.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. The purpose of the Law on the Civil Protection System of the Federal District, published in the Official Gazette of the Federal District on July 8, 2011 (PF-1C-4a), is "... to regulate the integration, organization, coordination and operation of the Civil Protection System of the Federal District, as well as to establish the obligations of the government and the rights and obligations of individuals in the application of prevention, relief and recovery mechanisms and measures to safeguard persons, their property, the environment and the operation of vital services and strategic systems in the event of an emergency, accident or disaster. This law establishes three funds or financial instruments destined to different phases of disaster management: the FIPDE or Preventive Trust for Disasters, the FADE or Fund for Attention to Disasters and Emergencies, and the FOPDE or Fund for the Prevention of Disasters. The purpose of FIPDE or the Disaster Prevention Trust is to carry out preventive actions of an urgent nature, to avoid affecting the life and assets of the population or the structure of the city in the face of the imminent occurrence of disturbing phenomena (article 7, XXVI). The FADE or Fund for Disasters and Emergencies is activated through the declarations of emergency and disaster, for the provision of relief supplies and assistance for the occurrence of disruptive phenomena and the recovery of damages caused by them (article 7, XXVII). And finally the FOPDE or Disaster Prevention Fund that supports programmed preventive actions to mitigate the effects caused by the possible occurrence of disturbing phenomena (article 7, XXVIII).

Examples of non-compliance in countries of the region
<p>Barbados 2018. The iGOPP team was informed at mission by the Department of Emergency Management (DEM) that in a context of centralization the central level is in charge of assigning resources for attending the occurrence of disasters at local level. Consequently, Bridgetown has not a fund or equivalent mechanism for financing or co-financing disaster management activities.</p>

Code FP-1C-4

Closed-ended question

4. Does the fund or equivalent mechanism authorized to finance or co-finance disaster management activities in the country's host city have the capacity to accumulate resources over time?

Indicator Overview

It is considered a good practice for the capital city to have a fund or equivalent financial instrument (trust, dedicated bank account) that is authorized (i.e., with allocated resources) for the financing or co-financing of disaster management activities that has the capacity to accumulate resources over time.

The capital city is understood to be the city where the government's administrative headquarters is located or, alternatively, the city that has the largest population or contributes the most to the country's GDP.

Steps to follow to obtain the required information

1. Consider the fund or equivalent financial instrument identified in indicator FP-1C-3.
2. Consult with the authority of the treasury, economic or financial sector (or equivalent entity), as well as with the national DRM governing entity of the capital city, if the fund identified in indicator FP-1C-3 has the capacity to accumulate resources over time.
3. Review the regulations for the creation and/or operation of the fund or equivalent financial instrument identified in indicator FP-1C-3.

Link to other indicators

FP-1C-3	The fund or financial instrument identified in such indicator should be the same to be considered in the present.
FP-1C-5 FP-2-1 FP-2-12	The city analyzed for these indicators should be the same as for the present. The regulations reviewed or used to verify these indicators can guide the search for information or even validate the present indicator.
FP-2-1	If the city analyzed has a financial protection structure that includes some instrument of risk retention, its characteristics could include the condition investigated by this indicator.

Description of the minimum situation required to consider the indicator met

The following conditions must be satisfied for the indicator to be met:

1. That the capital city has a fund or equivalent financial instrument available for the financing or co-financing of disaster management activities.
2. Evidence that this fund has the capacity to accumulate resources over time.

This financial instrument can be a reserve, calamity, emergency or disaster fund, among other names.

It is worth mentioning that, for the purposes of this indicator, budget lines with the name of Fund or similar are not considered as funds. The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose). It is not enough that the creation of the fund be established by current regulations. It is essential that the fund is qualified, that is, it has a balance of resources (either a balance from previous periods or from the current fiscal year).

This indicator can only be met if the capital city has been previously confirmed to have a fund or equivalent financial instrument enabled for disaster management, which is evidenced

by compliance with the indicator FP-1C-3, since this indicator investigates the resource accumulation capacity of this financial instrument

The capital city is understood to be the city where the administrative seat of government is located or, alternatively, the city that has the largest population or contributes the most to the country's GDP.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Ecuador 2016. According to Article 2 of Resolution No. 0008, by which the Board of Directors of the Metropolitan Public Company of Logistics for Security and Citizen Coexistence issues the "Management Regulations of the Emergency Fund of the Metropolitan Public Company of Logistics for Security and Citizen Coexistence" (FP-1C-4a), "... If the resources of the Emergency Fund are not exhausted at the end of the year, they will be cumulative for the following period for emergency attention and response activities".

Examples of non-compliance in countries of the region

Bolivia 2015. The Municipal Autonomous Government of La Paz stated that the Fund for Immediate Attention to Emergencies and/or Disasters of the Municipal Autonomous Government of La Paz has the capacity to accumulate resources over time because the Rules for Contracting Goods and Services allow for multi-year contracts for multi-management works. However, the condition is negative because no regulations were found that will support the accumulation of resources. It is worth mentioning that the Fund has not yet been regulated, according to what was stated in an interview with the Municipal Secretariat of Integral Risk Management of the Municipal Autonomous Government of La Paz.

Code FP-1C-5

Closed-ended question

5. Is the fund or equivalent mechanism enabled to finance or co-finance disaster management activities in the country's capital city based on an optimal accrual and expenditure rule based on expected annual loss and/or information on disaster losses in previous years?

Indicator Overview

It is considered good practice for the capital city to have a fund or equivalent financial instrument (such as a trust or dedicated bank account) set up (i.e., with allocated resources) for the financing or co-financing of disaster management activities that is sized according to the needs of the capital city. In that sense, the fund should have defined an optimal accumulation and expenditure rule based on the expected annual loss and on the information recorded on disaster losses in previous years.

This indicator can only be met if the capital city has been previously confirmed to have a fund or equivalent financial instrument for disaster management, which is evidenced by compliance with indicator FP-1C-3.

The capital city is understood to be the city where the administrative seat of government is located or, alternatively, the city with the largest population concentration or that contributes most to the country's GDP.

Steps to follow to obtain the required information

1. Consider the fund or equivalent financial instrument identified in indicator FP-1C-3.
2. Consult with the authority of the treasury, economy, or finance sector (or equivalent entity), or with the national institution in charge of DRM in the capital city if such fund or equivalent financial instrument is sized based on expected annual loss and information recorded on disaster losses in previous years.
3. Review the regulations related to the creation and/or operation of the fund or equivalent financial instrument.
4. Check with the legal department of the responsible entity for the fund or equivalent financial instrument if it is based on expected annual loss and information recorded on disaster losses in previous years.

Link to other indicators

FP-1C-3 FP-1C-4	The fund or mechanism identified in those indicators should be the same as the one to be considered in the present.
FP-1C-3 FP-1C-4 FP-2-1 FP-2-12	The city analyzed for these indicators should be the same as for the present. The regulations reviewed or used to verify these indicators can guide the search for information or even validate the present indicator.
FP-2-1	If the city analyzed has a financial protection structure that includes some instrument of risk retention, its characteristics could include the condition investigated by this indicator.

Description of the minimum situation required to consider the indicator met

The following conditions must be satisfied for this indicator to be met:

1. That the capital city has a fund or equivalent financial instrument available for the financing or co-financing of disaster management activities (must be the same fund identified in FP-1C-3).
2. That the fund is sized according to a rule based on the expected annual loss and the information recorded on disaster losses in previous years in the city concerned.

This financial instrument can be a reserve, calamity, emergency or disaster fund, among other names. It is worth mentioning that for the purposes of this indicator, budget lines with the name of Fund or similar are not considered funds. The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose). It is not sufficient for the creation of the fund to be established by current regulations. It is essential that the fund is qualified, that is, it has a balance of resources (either a balance from previous periods or from the current fiscal year).

The capital city is understood to be the city where the government's administrative headquarters is located or, alternatively, the city with the largest population concentration or that contributes most to the country's GDP.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Mexico 2014. From the reading of the Decree issuing the Federal District Expenditure Budget for the 2013 Fiscal Year, published in the Official Gazette of the Federal District on December 31, 2012; The Law on the Budget and Efficient Expenditure of the Federal District, published in the Official Gazette of the Federal District on December 31, 2009, and its Regulations to the Law on the Budget and Efficient Expenditure of the Federal District, published in the Official Gazette of the Federal District on December 31, 2009, that will make up the financial-budgetary regulatory framework, it does not follow that the determination of the resources of the Disaster and Emergency Response Fund (FADE) and the Disaster Prevention Fund (FOPDE) are subject to an optimal accumulation and expenditure rule based on the expected annual loss and information calculated on disaster losses in previous years. With respect to the accumulation rule, the Law stipulates "Article 68. For the purposes of the constitution of the Disaster Prevention Trust (FIPDE), the financial resources will be allocated in 20 percent of the balance that the FADE has at the end of the fiscal year, being destined as contributions. If in the year of the respective exercise there is no remaining balance, up to 20 percent of the amount that the FADE trust would have been constituted with the remaining of the years immediately preceding it may be used", that is to say, it is not based on an optimal rule of accumulation and expense based on the expected annual loss and the information registered on disaster losses in previous years.

Code PF-2-1

Closed-ended question	
1. Does the country's capital city have a financial protection structure in case of disaster?	
Indicator Overview	
<p>In general, the capital city tends to concentrate a high exposure of population, economic assets and infrastructure, in addition to bringing together the main institutions of the state. In that sense, it is convenient that it develops financial protection structures in case of disasters, in order to reduce its fiscal vulnerability to the occurrence of disasters.</p> <p>The capital city is considered to have a financial protection structure if it has at least two financial instruments in place to deal with the occurrence of disasters that are different from the possibility of making budget reallocations and contracting credits. It is worth mentioning that the two instruments can be both risk retention, risk transfer, or one risk retention and the other risk transfer. For the purposes of this indicator, it is also not considered a financial instrument to have a budget line for contracting insurance.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Consult with the area of treasury, economy or finance (or equivalent entity) of the capital city. 2. Consult with the area in charge of DRM in that city. 3. Consult with the authority of the treasury, economic or finance sector (or equivalent entity) at the national level, particularly with the area in charge of monitoring the TMU. 4. Consult the national level DRM governing institution. 	
Link to other indicators	
FP-1C-3 FP-1C-4 FP-1C-5	The city analyzed for these indicators must be the same, therefore, the regulations revised or used to verify them can guide and validate this indicator.
FP-2-12	If the capital city has a disaster risk transfer instrument, this could be one of the two financial protection instruments that the indicator looks into.
Description of the minimum situation required to consider the indicator met	
<p>In order for the indicator to be met, documentation must be provided to verify that the capital city has at least two financial protection instruments in effect at the time of application of the iGOPP, regardless of whether they are for retention or transfer of risk.</p> <p>The capital city is understood to be the city where the government's administrative headquarters is located or, alternatively, the city with the largest population concentration or the largest contribution to the country's GDP.</p> <p>Within the financial instruments can be considered, for example: funds, collective insurances, contingent credits, catastrophe bonds, Cat Bonds, Cat Swaps among others.</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	

Examples of compliance in countries of the region

Mexico 2014. The Law on the Civil Protection System of the Federal District, published in the Official Gazette of the Federal District on July 8, 2011 (PF-2-1a), provides for "*...the integration, organization, coordination and operation of the Civil Protection System of the Federal District, as well as to establish the obligations of the government and the rights and obligations of individuals, in the application of the mechanisms and measures of prevention, relief and recovery for the safeguard of people, their property, the environment and the operation of vital services and strategic systems in the event of an emergency, accident or disaster.*" This financial protection considers the three financial instruments destined to different phases of disaster management: the FIPDE or Preventive Trust for Disasters, the FADE or Fund for Attention to Disasters and Emergencies and the FOPDE or Fund for the Prevention of Disasters.

Examples of non-compliance in countries of the region

Ecuador 2016. Evidence was found that the Municipality of the Quito Metropolitan District (MDMQ) has a risk retention instrument, because through Metropolitan Ordinance No. 265 of 2012 the Quito Metropolitan Council approved an amendment to Metropolitan Ordinance No. 265 of 2008 which created the Metropolitan Risk Management System. Article 1 of this reform creates the Metropolitan Fund for Risk Management and Emergency Care, which is made up of "*an annual contribution of no less than 0.5% of the general budget of the Municipality of the Quito Metropolitan District and 5% of the collection of the annual safety fee.*" Regarding risk transfer instruments, Rocafuerte Insurance stated that MDMQ assures its municipal structure as a portfolio. However, it was not possible to access either the respective policy or the insurance application in the Public Procurement portal. On the other hand, MDMQ does not have contingent credit lines in case of disasters. In other words, it was not possible to prove that MDMQ has a financial protection structure in case of disasters.

Code FP-2-2

Closed-ended question

2. Has the Ministry of Treasury, Finance or Economy determined the resources needed to cover Probable Maximum Loss (PML) for catastrophic events for different return periods?

Indicator Overview

The advance estimate of resource needs to cover the expenses associated with the response, rehabilitation and reconstruction processes derived from the occurrence of catastrophic and rare events is fundamental to define the optimal combination of the different financial instruments that will make up the financial protection strategy.

It is considered a good practice to estimate these resource needs by calculating the maximum probable losses (MPL) using probabilistic models of catastrophic events for different return periods considering the different natural hazards.

The indicator assesses whether the Ministry of Treasury, Finance or Economy, or the entity that the country has established to lead the design and implementation of the financial disaster protection strategy or policy, or the DRM governing entity, has conducted, commissioned, or appropriated the results of studies that calculate the MTP for its decision-making.

Steps to follow to obtain the required information

1. Consult with the authority or head of the treasury, economic or financial sector (or equivalent entity), or with the entity that the country has established to lead the design and implementation of the strategy or policy for financial protection against disasters, about the existence of studies to dimension the needs for financial resources to cover Maximum Probable Losses (MPL) for catastrophic events for different return periods.
2. Consult with the country's disaster management governing body about the existence of such studies.
3. In the case that the country has adopted financial instruments of retention or transfer of risk, investigate the type of information used to support the dimensioning of these financial instruments and, in general, for the decision making in this respect.

Link to other indicators

GF-2-1 GF-2-7	Documents linked to the strategy or to financial protection instruments for disasters could include references to MTP studies.
FP-2-3	The studies referred to in this indicator could include the MTP estimate.
FP-2-10	The documents used for the validation of the indicator could contain the necessary MTP considerations that this indicator addresses.
FP-2-17	The contracting of risk transfer instruments to reduce the fiscal vulnerability of the budget can be supported by this type of study.

Description of the minimum situation required to consider the indicator met

To meet this indicator, the following conditions must be satisfied:

1. Existence of at least one study that has assessed the country's resource needs to cover Maximum Probable Losses (MPL) for rare catastrophic events.
2. That the Ministry of Treasury, Finance or Economy (or equivalent entity), or the entity that the country has established to lead the design and implementation of the disaster financial protection strategy or policy, has prepared an official document that deals with aspects related to disaster risk financial protection and that includes data or results of the referred MPL study, even if it was carried out by third parties (e.g. IDB or World Bank).

With regard to the second condition, what is important to show is that the entity has appropriated the MPL estimates to evaluate the resource needs. It may be the case that such appropriation is expressed through the inclusion in official documents of the data from such studies. In this sense, they do not necessarily have to have been carried out or contracted by the Treasury Department or the entity responsible for the financial protection strategy, but there must be evidence of appropriation of their results, for example, through official documents published by the Ministry of the Treasury, Finance or Economy or of the DRM governing body.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Bahamas 2017. The Caribbean Catastrophe Risk Insurance Facility (CCRIF), which is a risk pooling facility, published in August 2013 the Bahamas Country Risk Profile (PF-2-2). This risk profile *"is aimed at providing decision makers with a clear picture of the key risks which the country faces in order to guide national catastrophe risk management and inform decision making for both risk reduction and risk transfer (via CCRIF coverage and other mechanisms which may be available)"*. The Ministry of Finance of the Bahamas has used this study as an input in the decision-making process to buy the insurance policy offered by CCRIF. The Bahamas Risk profile includes estimative of: (i) PML for different return periods for Tropical Cyclone; (ii) earthquake hazard profile; and (iii) wind hazard profile.

Examples of non-compliance in countries of the region

Guatemala 2013. At least two studies have been carried out in Guatemala, which include the sizing of resource needs to cover Maximum Probable Losses (MPL) due to catastrophic events for different return periods: (i) Probabilistic Risk Assessment of Guatemala, carried out by the Inter-American Development Bank (IDB) in 2009, which includes the estimation of the percentages of damages with respect to the insured amount (MPL) due to hurricanes and earthquakes in Guatemala, using the CAPRA Platform; and (ii) Ministry of Public Finance (MINFIN) through the Highway Conservation Unit (COVIAL), identified that the greatest fiscal impact associated with natural events is related to the transportation sector. However, the country has not taken advantage of these studies, which is reflected in the progress report on the implementation of the Hyogo Framework for Action 2011-2013, which does not report progress on this front.

Code PF-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 minor and frequent events?</i>	
Indicator Overview	
<p>In order to support fiscal sustainability, it is considered relevant for governments to include in their annual budget resources to cover expenses generated by the occurrence of disasters caused by frequent natural events. A good practice for sizing these resources is to carry out studies, generally based on historical loss data that measure the financing needs to cover the response, rehabilitation and reconstruction processes caused by frequent minor events on an annual basis.</p> <p>The indicator asks whether the Treasury, Finance or Economy sector or the entity that the country has established to lead the design and implementation of the financial protection strategy or policy or the DRM governing entity has made estimates of resources needed to annually cover the processes of response, rehabilitation and reconstruction caused by minor and frequent events, or whether it has empowered itself with the results of similar calculations or estimates made by other institutions (national or international).</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Consulting with the authority of the treasury, economy or financial sector (or equivalent entity) or with the entity that the country has established should lead the design and implementation of the strategy or policy of financial protection on the existence of studies to estimate the resources needed to annually cover the processes of response, rehabilitation and reconstruction caused by minor and frequent events. 2. To consult with the governing institution of disaster risk management in the country about the existence of studies that estimate the needs of resources foreseen to cover annually the processes of response, rehabilitation and reconstruction caused by minor and frequent events. 3. Verify whether the Ministry of Finance or Economy (or the entity that the country has established should lead the design and implementation of the financial protection strategy) or the DRM governing body has appropriated any study conducted by another national or international institution on the sizing of the resources needed to annually cover the processes of response, rehabilitation and reconstruction caused by minor and frequent events. 4. In case the country has adopted financial instruments of retention or transfer of risk, inquire about the type of information used to size these financial instruments. 	
Link to other indicators	
GF-2-7	Investigate whether among the information used for the design, establishment or contracting of the risk transfer instruments, estimates of losses due to frequent events have been made.
FP-2-2	Studies to estimate Maximum Probable Losses may include estimating losses associated with frequent events.
FP-2-17	The contracting of risk transfer instruments to reduce the fiscal vulnerability of the budget can be supported by this type of study.
Description of the minimum situation required to consider the indicator met	

At least one of the following conditions must be satisfied for the indicator to be met:

1. That the Ministry of Treasury, Finance, Economy (or the entity that the country has established to lead the design and implementation of the financial protection strategy) or the DRM governing body has developed some study to estimate the resources needed to annually cover the processes of response, rehabilitation and reconstruction caused by minor and frequent events.
2. Alternatively, that such study have been carried out by a third party (e.g. IDB or WB) and the Ministry of Treasury, Finance, Economy (or the entity that the country has established to lead the design and implementation of the financial protection strategy or policy) or the DRM governing body has been empowered with their results. This empowerment should be verified through an official document prepared by that entity, where the results of the study are mentioned.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. This was achieved with the R-FONDEN or System of Estimation of Losses for Federal Risk (FP-2-3a), a model of probabilistic assessment of disaster risk, developed in 2010 at the request of the FONDEN Technical Committee, which considers the main public assets covered by FONDEN (road, hydraulic, school and hospital infrastructure and the homes of the low-income population facing the most important natural hazards) and provides models of possible disaster damage to these assets in order to refine risk financing strategies. R-FONDEN provides metrics such as Expected Annual Loss and Loss Surplus curves. The Ministry of Finance and Public Credit stated that R-FONDEN allows for the estimation of losses for both catastrophic and recurrent events.

Examples of non-compliance in countries of the region

Dominican Republic 2014. The Ministry of Economy, Planning and Development (MEPyD) has not sized up the resources needed to cover the annual response, rehabilitation and reconstruction processes caused by minor and frequent events. It should be noted that the MEPyD has carried out studies to measure expected annual losses, but only for extreme or severe events, such as hurricanes and earthquakes, which are outside the context analyzed by this indicator.

Code FP-2-4

Closed-ended question	
4. Has the Ministry of Treasury, Finance or Economy or other competent entity approved standards for the insurance of public buildings in case of disasters?	
Indicator Overview	
It is considered a good practice to have standards or guidelines regarding the contents of the terms and conditions of the insurance policies that must be contracted by public entities to cover their buildings, since in this way potential losses on public sector assets are adequately transferred to the insurance sector.	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Consult with the authority of the treasury, finance or economic sector (or competent entity), particularly with the risk area, or with the governing areas of public procurement (such as the areas in charge of adding the demand for public purchases) regarding the existence of standards or guidelines for the insurance of public buildings in case of disasters. 2. Consult with the national association of insurance companies regarding the existence of standards or guidelines for the insurance of public buildings in case of disasters. 	
Link to other indicators	
FP-1B-3 FP-1C-1 FP-2-5 FP-2-6	The regulations reviewed or used to verify these indicators could contain the standards by which this indicator is investigated.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be an official document containing standards or guidelines on the content of the terms and conditions of the insurance policies that must be taken out by public entities against disaster risk, which must have been approved or endorsed by the authority or head of the treasury, economic or financial sector (or competent entity), or by the governing areas of public contracting (such as, for example, the areas in charge of adding the demand for public purchases).</p> <p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	
There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.	
Examples of non-compliance in countries of the region	
Jamaica 2013. The Handbook of public sector procurement procedures, Volume 4 of 4, Procedures for the procurement of general insurance services, Ministry of Finance & the Public Service (October 2010) established that " <i>Specifications of the insurance coverage required should be prepared in consultation with the Holding Broker and the Procuring Entity's insurance adviser (if any)</i> ". Given that it was not possible to find the specifications for the insurance coverage the condition is negative."	

Code PF-2-5

Closed-ended question

5. Has the Ministry of Treasury, Finance or Economy or other competent entity approved standards for ensuring concessions of at least one basic service or critical infrastructure in case of disasters?

Indicator Overview

Concessions of basic services and critical infrastructure (sometimes also referred to as lifelines) involve significant investment and are essential in disaster response and recovery. It is considered pertinent that this type of infrastructure and services be insured and that there be standards or guidelines regarding the contents of insurance policies that should be required of entities that sign concessions with the State. The foregoing, in order to financially protect the assets under concession in the event of disasters.

Standards or guidelines for securing concessions for basic services or critical infrastructure may be included in concession contracts. Sometimes these contracts or the referred standards or guidelines for assurance may be elaborated by state institutions other than the Ministry of Treasury, Finance or Economy, such as the Ministry of Transport or the governing sector of public procurement (such as the areas in charge of adding the demand for public purchases).

In the case that the country does not have concessions or public-private alliances for basic services or critical infrastructure, the indicator is verified with the existence of an official document that includes the guidelines or standards for ensuring critical infrastructure or basic services (sometimes also referred to as lifelines) or public works.

Steps to follow to obtain the required information

1. Identify the basic services and/or critical infrastructure that have been concessioned or has a public-private partnership scheme in the country.
2. Consult with the authority of the treasury, economic, or financial sector (or competent entity), particularly with the risk area or the guiding areas of public contracting (such as the areas in charge of adding the demand for public purchases) or the Ministry of Transport, regarding the existence of standards for the contents of insurance policies that should be required at least of entities that sign concessions with the State, for a basic service or for critical infrastructure.
3. Consult with the entity or entities responsible for bidding for concessions (both for basic services and critical infrastructure) in the country regarding the existence of standards or guidelines for the contents of insurance policies that should be required of entities that sign concessions with the State.
4. Review concession contracts for basic services and/or critical infrastructure.
5. In the case that the country does not have concessions or public-private partnerships for basic services or critical infrastructure, review whether there is an official document that includes the guidelines or standards for ensuring a critical infrastructure or basic service (sometimes also referred to as lifelines) or public works.

Link to other indicators

FP-1A-4

FP-1A-5

FP-2-6

FP-2-13

The regulations related to disaster risk insurance in the country could contain the guidelines that this indicator seeks to verify.

Description of the minimum situation required to consider the indicator met

In order to comply with this indicator, there must be an official document approved or endorsed by a public entity (Treasury, Finance, Economy or entity in charge of public purchases or bidding for concessions, such as the Ministry of Transport) containing the standards or guidelines on the content of insurance policies, which must be required at least of entities that sign concessions with the State for a basic service and/or critical infrastructure. It may be the case that these standards apply to both concessions and public works.

In the case that the country does not have concessions or public-private alliances for basic services or critical infrastructure, the indicator can be verified with the existence of an official document that includes the guidelines or standards for ensuring a critical infrastructure or basic service (sometimes also referred to as lifelines) or a public work.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. According to current regulations, there is critical infrastructure at the federal level that must be ensured. The Ministry of Finance and Public Credit supports these processes, as stipulated in the procedure for preparing insurance programs (FP-2-5a). Each case is analyzed according to the type of infrastructure to be covered. In this sense, the Ministry of Finance and Public Credit issues a document of guidelines to the different agencies. In case the agency does not accept the recommendations, it must support its action. The above is in accordance with the provisions of the Decree on the Efficient Use of Resources. In the case of the Ministry of Public Education (SEP), paragraph 1.1 of the call for national public bidding for the contracting of the insurance of assets and liabilities for the Ministry of Public Education (FP-2-5b) mentions that they consulted the Ministry of Finance and Public Credit with respect to the minimum requirements for contracting asset insurance stipulated by the Ministry of Public Function.

Examples of non-compliance in countries of the region

Ecuador 2016. No evidence was found. It was analyzed: (i) Organic Law of Incentives for Public-Private Associations and Foreign Investment, published in Official Gazette No. 652 of December 18, 2015; (ii) Organic Law of the National Public Contracting System, published in Official Gazette No. 395 of August 4, 2008, and updated on October 14, 2013, which has a Chapter on Guarantees; (iii) Regulations to the Organic Law of the National System of Public Contracting, Executive Decree 1700, published in Official Gazette 588 of May 12, 2009, which has a Chapter on Insurance Contracts; (iv) Agreement No. 2,048 of May 12, 2009, which has a Chapter on Insurance Contracts. (iv) Agreement No. 017 - CG - 2016 which issues the *"General Regulations for the Administration, Use, Management and Control of Goods and Inventories of the Public Sector"* on April 15, 2016. The above was ratified by both the Ministry of Public Works and Transport and the Ministry of Economy and Finance.

Code FP-2-6

Closed-ended question

6. *Has the Ministry of Treasury, Finances or Economy or other competent entity, approved minimum requirements for the participation of the insuring and reinsuring agents in insurance and reinsurance contracts for at least one asset of fiscal responsibility of the State?*

Indicator Overview

It is considered a good practice to establish minimum requirements for the participation of insurance and reinsurance agents in insurance and reinsurance contracts for State fiscal responsibility assets, in order to ensure that they are capable of responding to the State in the event of a disaster, i.e., that they have the capacity to pay in the event of claims. By requirements we are referring, for example, to their credit rating granted by credit risk firms, or their experience.

Steps to follow to obtain the required information

1. Consult with the authority of the treasury, economy or finance sector (or competent entity), particularly with the risk area (if any), regarding the existence of requirements for the participation of insurance and reinsurance agents in insurance and reinsurance contracts for assets of fiscal responsibility of the State.
2. Consult with the area responsible for state contracting or state purchases (if any) regarding the existence of requirements for the participation of insurance and reinsurance agents in insurance and reinsurance contracts for assets of fiscal responsibilities of the State.
3. Consult with the national association of insurers or similar entity about the existence of minimum requirements for the participation of insurance and reinsurance agents in insurance and reinsurance contracts for at least one asset of fiscal responsibility of the State.

Link to other indicators

FP-1B-3

FP-1C-1

FP-2-13

The revised standards or those used to verify these indicators may contain the minimum requirements for which this indicator is checked.

Description of the minimum situation required to consider the indicator met

For this indicator to be met, there must be an official document approved or endorsed by the Ministry of Treasury, Finance or Economy (or competent entity) or by the area responsible for state contracting or state purchases (if any) containing the requirements for the participation of insurance and reinsurance agents in insurance and reinsurance contracts for at least one *asset of fiscal responsibility of the State*. By requirements we are referring, for example, to their credit rating granted by credit risk firms, or their experience.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Mexico 2014. The Ministry of Finance and Public Credit stated that the minimum requirements for the participation of insurance and reinsurance agents in insurance and reinsurance contracts are established by the agencies in their insurance award processes. By way of illustration, paragraph 1.3 of the call for the national public bidding for the contracting of insurance of assets and liabilities for the Ministry of Public Education states that reinsurance companies must have the authorization of the Ministry of Finance and Public Credit. However, the condition is considered negative because it was not possible to obtain the requirements for such authorization.

Code FP-2-7

Closed-ended question	
7. Has the Ministry of Treasury, Finance or Economy or other competent entity developed guidelines for territorial entities for the financial protection against disaster risk of the goods and infrastructure under their responsibility?	
Indicator Overview	
<p>The risk manifests itself locally. In this sense, it is considered relevant that the territorial management units (UGT) that have been assigned competencies in the use and management of land receive guidelines for the financial protection against the risk of disasters of the infrastructure or services or goods of their fiscal responsibility, in order to advance in the design and implementation of financial protection instruments against the risk of disasters in their area of competence.</p> <p>It is important to mention that in some countries the Treasury Department does not have the authority to generate mandatory guidelines for the UGT, due to their territorial autonomy. However, it is considered that the national level can generate guidelines that, although not mandatory, can be freely adopted by the UGT. In this sense, this indicator investigates the existence of such guidelines, which do not have to be mandatory.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Consult with the authority of the treasury, economy or finance sector or any other competent national entity, particularly with their respective risk area or that in charge of monitoring municipalities (if any of them exists), or the entity that the country has established should lead the design and implementation of the financial protection strategy or policy with respect to the existence of financial protection guidelines against disaster risk for UGT. 2. Consult with the DRM lead institution regarding the existence of disaster risk financial protection guidelines for CGUs. 3. Review the regulations on DRM, especially those related to financial protection, as well as those that assign functions or establish guidelines for territorial management units in the area of DRM. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be a document of guidelines for financial protection against disaster risk for UGT that have been assigned responsibility for the use and management of land, at least the infrastructure or services or goods for which they are fiscally responsible, that has been prepared by the Ministry of Treasury, Economy, and Finance or other competent national entity, or the entity that the country has established must lead the design and implementation of the financial protection strategy or policy.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Mexico 2014. The General Civil Protection Law of 2012 (FP-2-7a), after establishing the obligation of all orders of government to insure their infrastructure against damages caused by natural disasters (Articles 18 and 88), provides in parallel the obligation of the National Coordination of Civil Protection, in coordination with the Ministry of Finance and Public Credit, to advise the states in the definition and selection of the model required for the transfer of risks (Article 19, section VII). In other words, this technical and specialized support will not be the same for all cases, but each state could receive a particularized attention, according to its very special circumstances and problems.

The 2011 Operational Guidelines of the Natural Disaster Fund (LOFONDEN) (FP-2-7b) devotes Chapter VII "Support for Risk Transfer" to describe in detail the actions and persons responsible for achieving the strategy ordered by the Law: *"To comply with the provisions of Article 21 of the Rules, the Technical Committee may request recommendations from the Insurance Unit regarding the Comprehensive Risk Management Strategies to be presented. The Insurance Unit shall present to the Technical Committee the proposal of the Technical or Economic Support that may be provided, based on the characteristics of the strategies and what is established in the Operating Guidelines. The Technical Committee may authorize the allocation of resources for the contracting of experts in risk management and transfer of risks to support it in the performance or review of the aforementioned actions..."* (numeral 35)".

Examples of non-compliance in countries of the region

Honduras 2014. The Mayor's Office of the Central District Municipality stated that at the territorial level there is no progress on financial protection issues, including aspects related to the securing of public assets. On the other hand, it stated that they have not received guidelines for financial protection against disaster risk. It is worth mentioning that SEFIN stated that it cannot generate this type of guidelines since it is not within its competence, due to the fact that the Law of the National System of Risk Management (SINAGER), in its Article 58, indicates the following: *"All institutions are obliged to insure their assets that were qualified as risk generated by natural or anthropogenic disasters that cause direct public damage and the damages derived from them, prior to obtaining the insurance. The institutions must request to the National System of Risk Management (SINAGER) an evaluation of the risks of the goods in their charge to later achieve an effective negotiation with the insurance companies according to the Law of State Contracts and the General Law of Public Administration"*.

Code FP-2-8

Closed-ended question

8. *Is there a national fund or equivalent financial instrument available to finance or co-finance disaster management activities?*

Indicator Overview

It is considered a desirable condition for implementing an effective public policy from the point of view of the financial protection component to have a fund or equivalent financial instrument for financing disaster management activities, such as response, rehabilitation and reconstruction. Unlike indicators FP-1A-1 and FP-1A-6, this indicator asks for authorized funds, i.e., not only established by current regulations, but also with resource allocation.

Steps to follow to obtain the required information

1. Inquire about the existence of such fund or equivalent financial instrument with the authority of the treasury, economic, or financial sector (or equivalent entity).
2. Find out about the existence of such a fund or equivalent financial instrument with the DRM governing body in the country.
3. Review the law creating the fund or equivalent financial instrument, in case its existence has been proven.
4. Inquire whether the fund has resources allocated (either a balance from previous periods or from the current fiscal year) in the country's budget documents, with the authority of the treasury, economy, or finance sector (or equivalent entity) or with the country's DRM governing body.

Link to other indicators

FP-1A-1 FP-1A-6	If the funds or equivalent financial instruments identified for these indicators have allocated resources, they could be considered to support compliance with this indicator.
GF-2-5	If the fund or equivalent financial instrument identified for this indicator can be used for disaster management, and also has resources allocated to it, it could be considered to support compliance with this indicator.

Description of the minimum situation required to consider the indicator met

The following conditions must be met to comply with the indicator:

1. Legal evidence of the existence of a fund or equivalent financial instrument (e.g., trust, earmarked bank account) authorized to finance or co-finance disaster management activities, such as response, rehabilitation, and reconstruction. This means that the country must have met indicator FP-1A-1 or FP-1A-6.
2. Evidence that the fund has resources allocated (either a balance from previous periods or from the current fiscal year).

The funds or financial instruments for emergency response of a sectoral nature (e.g. agriculture, housing, etc.) do not allow validation of this indicator because this indicator seeks a fund that has no limitations, that is, one that allows all sectors to access it.

Nor is it considered the indicator fulfilled with regulations that allow the parliament or national assembly or any other government institution to establish a fund or equivalent financial instrument in case of a disaster, since in that case the eventual existence of the fund would be subject to the fulfillment of certain conditions.

The funds can be national or multi-country/regional, such as the case of the CDEMA- Emergency Assistance Fund. The country's regulations should reflect that the country is part of the fund, which could be through regulations that indicate that the country has joined a regional fund through a formal mechanism. In addition, the regulations of this fund must stipulate that the country must contribute resources to the fund.

For the purposes of this indicator, lines within the budget that can be called Funds are not considered funds, unless the fund referred to corresponds to a dedicated structure for managing resources allocated to a specific purpose. The fund should be understood as a financial instrument, such as a trust or a bank account with a specific purpose.

Finally, if the information is available, it is recommended to include in the justification the amount of resources allocated to the identified fund.

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Examples of compliance in countries of the region

Paraguay 2016. Article 6, paragraph b1, of Law No. 2615/05 creating the National Emergency Secretariat, approved on June 10, 2005 and published in Gazette No. 53 on June 15, 2005 (FP-2-8a), referring to "Creation of the National *Emergency Fund*", stipulates that "The National Emergency Fund *shall operate as a special account of the Nation with independence in terms of assets, administration, accounting and statistics. The remaining resources, which are not from the Treasury, of a past year will be incorporated to said fund, and 50% (fifty percent) of said resources must be destined to finance projects of prevention and/or mitigation of disasters, as an additional resource in the new Budget, in the Investment Item (Preparation of Projects and/or Financing of Investments), with the remaining 50% (fifty percent) being destined for measures of preparation and response.* ". The existence of funds at a national level to finance emerging expenses in disaster situations is ratified in Article 2 of Decree No. 3713/15, which expands and partially modifies Decree No. 11. The existence of funds at the national level to finance emerging expenses in situations of disaster is ratified in Article 2 of Decree No. 3713/15, which expands and partially modifies Decree No. 11. 632/2013 establishing the *regulation of Law No. 2615/05 which creates the Secretariat of National Emergency (SEN)*, approved on June 30, 2015 (FP-2-8b), "*Whereby Decree No. 11,632/2013 is expanded and partially modified*", "*Which establishes the regulation of Law No. 2615/05*", "*Which creates the Secretariat of National Emergency (SEN)*", published in Official Gazette No. 13 of July 22, 2015. Said article regarding "The use of the National Emergency Fund in cases of declaration of emergency or disasters" establishes that "... the Executive Secretary, or in his absence the Assistant Secretary of the SEN, as the authorizing officer of expenses and under whose charge falls the administration of the National Emergency Fund (FONE), may dispose of said additional resource of the institution immediately to carry out actions or adopt measures of response to the emergency or disaster whose situation has been declared...". Finally, Article 39 of Decree 4774 which regulates Law 5554 of January 5, 2016, "Approving the General Budget of the Nation for Fiscal Year 2016" (FP-2-8c), published in Official Gazette No. 152 of August 5, 2010, establishes that "*In the elaboration of the Financial Plan, 100% of the amounts approved by Law N°5554/2016 in the*

Objects of Expenditure ... 831 Contributions to Entities with Social Purposes and to the National Emergency Fund ...". In addition, Article 66(m) of the Decree establishes that among the Programs and Objects of Expenditure that may not be reduced is the object of expenditure 831 "Contributions to *Entities with Social Purposes and to the National Emergency Fund*".

Barbados 2018. Barbados legal framework has established three funds for financing disaster risk management activities, but only one of them is in operation: 1. **Emergency Assistance Fund.** The Agreement establishing the Caribbean Disaster Emergency Response Agency (CDERA) in 1992 established in Article 25 "*The Agency shall establish an Emergency Assistance Fund (hereinafter in the Article referred to as "the Fund") which shall be used solely to defray expenses incurred in connection with the rendering of assistance in the event of a disaster occurring in a Participating State*". Endorsement of this Agreement by Barbados can be found in section 30 of Part VIII (Application of Treaties) of the Emergency Management Act, Chapter 160A, L.R.O 2007, that established that "*The relevant provisions of (a) the Caribbean Disaster Emergency Response Agency Agreement set out in the First Schedule to the Caribbean Disaster Emergency Response Agency Act;... shall apply in giving effect to the purposes of* The Agreement establishing the Caribbean Disaster Emergency Management Agency (CDEMA) was signed by Barbados in 2008. CDERA became officially CDEMA at the 18th meeting of the Council of CDERA, convened in Georgetown in 2009 (according to https://www.cdema.org/index.php?option=com_content&view=article&id=267:at-18th-meeting-cdera-looks-at-transition-to-cdema&catid=50:guyana&Itemid=276) and the Emergency Assistance Fund of the former was placed under the responsibility of the latter. This fund is in operation, as evidenced by the collection of donations, using, among others, bank accounts in Barbados for attending the effects of Irma Hurricane in 2017. CDEMA representatives informed the iGOPP team in November 2017 that although the Emergency Assistance Fund can fully operate, it remains unfunded and that contribution requests have been made to donors, as evidenced in its web page, for example, for the hurricane events that affected the region in 2017. In addition, Barbados Estimates 2016-2017 includes allocation of resources for Head 28, Ministry of Foreign Affairs to Subprogram 0200, whose Statement is "*To provide contributions to Caribbean Disaster Emergency Response Agency, ...*". 2. The **Emergency Disaster Fund:** established by the Emergency Management Act. The Department of Emergency Management (DEM) personnel stated that this fund has not been established and consequently it is not in operation. 3. The **Catastrophe Fund:** Created by the Catastrophe Fund Act, 2007-5: Although resources have been allocated to this fund, as evidenced in the Annual Report of the Catastrophe Fund 2011 elaborated by the National Insurance Board, the iGOPP team was informed in November 2017 that this Fund has been never been used since its procedures have not been developed and approved *this Act*".

Examples of non-compliance in countries of the region

Uruguay 2015. Law Nº 18,621 National Emergency System, of October 12, 2009, stipulates in Article 24 *"Create the National Fund for the Prevention and Attention of Disasters. Said Fund will be exclusively destined to subsidiarily attend the activities of prevention, mitigation, attention and rehabilitation in charge of the National System of Emergencies. ". "This Fund will be integrated by: A) Donations and legacies destined to the System or to the fulfillment of its specific activities or coordinated by it. B) Transfers from other public entities. "* However, the condition is negative because according to the consultation made to the National Budget Law for the period 2010-2014, Law No. 18719 of December 27, 2010, no evidence was found of resource allocation to the Fund. The lack of other funds available for disaster management was corroborated by interviews with DRM experts in the country.

Code FP-2-9

Closed-ended question

9. *Does the national fund or equivalent mechanism for financing or co - financing disaster management activities, has the capacity to accumulate resources over time?*

Indicator Overview

It is important for the country to have a fund or equivalent financial instrument (e.g. trust, dedicated bank account) available for the financing or co-financing of disaster management activities that has the capacity to accumulate resources over time.

This indicator can only be met if compliance with indicator FP-1A-1 or FP-1A-6 has been previously confirmed, i.e., that the country has a fund or equivalent financial instrument to finance these activities that has been established by regulation, and also if this fund is authorized to finance disaster management, which is evidenced by compliance with indicator FP-2-8. In this sense, the fund in question does not necessarily have to be the one created by the DRM regulations, since indicator FP-1A-6 allows it to be a national development fund established by a different regulation.

Steps to follow to obtain the required information

1. Consider the fund or equivalent financial instrument identified in indicator FP-2-8.
2. Consult with the authority of the treasury, economic, or financial sector (or equivalent entity), as well as the national DRM governing body, if the fund identified in indicator FP-2-8 has the capacity to accumulate resources over time.
3. Review the regulations for the creation and/or operation of the fund or equivalent financial instrument identified in indicator PF-2-8.
4. Check with the legal department of the entity responsible for the fund or equivalent financial instrument to see if it has the capacity to accumulate resources over time.

Link to other indicators

FP 2-8	To verify compliance with this indicator, the background and the respective associated regulations identified for this indicator should be considered.
FP-1A-1 FP-1A-6	Funds to meet either of these two indicators could be used to validate this indicator, provided they are enabled, i.e., have resources allocated to finance disaster management activities.

Description of the minimum situation required to consider the indicator met

To verify this indicator, the following conditions must be met:

1. Evidence of the existence of a fund or equivalent financial instrument authorized to finance or co-finance disaster management activities (should be the same fund identified in indicator FP-2-8).
2. Evidence that this fund has the capacity to accumulate resources over time.

It is worth mentioning that for the purposes of this indicator, the lines within the budget that can be called Funds are not considered funds, unless the fund to which it refers corresponds to a dedicated structure for managing resources assigned to a specific purpose. The fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose). It is not enough that the creation of the fund be established by current regulations. It is essential that the fund be qualified, that is, have a balance of resources (either a balance from previous periods or from the current fiscal year).

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Bolivia 2015. Bill No. 113/2013-2014, Risk Management Law (PF-2-9a), approved by the Assembly on November 13, 2014, in numeral VI of Article 28, related to FORADE's Constitution stipulates *"In order to guarantee the sustainability of the Trust, the resources of the autonomous patrimony may be invested by the trustee under principles of security and liquidity"*.

Examples of non-compliance in countries of the region

Ecuador 2016. No evidence was found of the existence of funds with these conditions, which was ratified by the Ministry of Economy and Finance. It is worth mentioning that many special funds have been eliminated. In 2009, through the Organic Law for the Recovery of the Public Use of the State's Oil Resources, published in Official Gazette No. 308 of April 3, 2008, approved by the Constitutional Assembly, oil funds were eliminated and their resources were incorporated into the General State Budget (*asset of fiscal responsibility of the State* as its acronym in Spanish). On the other hand, the thirtieth transitory provision of the 2008 Constitution of the Republic of Ecuador, published in Official Gazette No. 449 of October 20, 2008, established the liquidation of the Solidarity Fund. There was also no evidence of the existence of funds authorized to finance or co-finance disaster management activities in the legal framework composed of various norms governing DRM in the country, including (i) Constitution of the Republic of Ecuador 2008, published in Official Gazette 449 of October 20, 2008; (ii) Law of Public and State Security, published in Official Gazette No. 35 of September 28, 2009; (iii) Regulations to the Law of Public and State Security, Executive Decree 486, published in Official Gazette Supplement 290 of September 30, 2010; and (iv) Good Living, National Plan 2013 -2017, Everybody Better, Official Gazette Supplement 78 of September 11, 2013. On the other hand, it is important to point out that Article 165, referring to "Replacement Funds", of the Organic Code of Planning and Public Finance, published in http://www.finanzas.gob.ec/wp-content/uploads/downloads/2012/09/CODIGO_PLANIFICACION_FINANZAS.pdf establishes that *"The entities and organisms of the public sector may establish replacement funds for the attention of urgent payments, according to the technical norms that the governing entity of public finance issues for such purpose"*. Within this context, the Secretariat of Risk Management issued Resolution No. SGR - 044-2014, to issue the *"Regulations for the Administration of Institutional Revolving Funds and for Projects and Programs, of the Zonal Coordination and Monitoring Offices of the Secretariat of Risk Management"*, which *"will be used to cover obligations that allow to counteract, reduce and mitigate emergency situations of natural and anthropic origin or to reduce vulnerabilities of an urgent nature that, due to their characteristics, cannot be carried out with the normal processes of institutional financial management"*. According to Article 4, referring to "Amount" of the Resolution in mention *"The Institutional Revolving Funds and for Projects and Programs will be of fifteen thousand dollars (\$ 15,000) assigned to each of the Zonal Coordination and Monitoring Offices"*. Because the rotating funds correspond to budget items, according to the statement of the Secretary of Risk Management, it is confirmed that the indicator has not been met.

Code FP-2-10

Closed-ended question

10. Is the national fund or equivalent mechanism for financing or co - financing disaster management activities based on the annualized loss expectancy and the recorded information on the losses from disasters in previous years?

Indicator Overview

It is important that the country has a fund or equivalent financial instrument (e.g., trust, dedicated bank account) available for the financing or co-financing of disaster management activities that is tailored to the country's needs. In that sense, this indicator considers as a good practice that the dimensioning of the fund is based on the annualized loss expectancy (ALE) and on the information recorded on disaster losses in previous years.

This indicator can only be met if compliance with indicator FP-1A-1 or FP-1A-6 has been previously confirmed, i.e., the country has a fund or equivalent financial instrument to finance these activities that has been established by regulation, and also if this fund is authorized to finance disaster management, which is evidenced by compliance with indicator PF-2-8. In this sense, the fund in question does not necessarily have to be the one created by the DRM regulations, since indicator FP-1A-6 allows it to be a national development fund established by a different regulation.

Steps to follow to obtain the required information

1. Consider the fund or equivalent financial instrument identified in indicator FP-2-8.
2. Consult with the authority of the treasury, economic, or financial sector (or equivalent entity), or with the national institution in charge of DRM, if such fund or equivalent financial instrument is sized based on expected annual loss and information on disaster losses in previous years.
3. Review the regulations related to the creation and/or operation of the fund or equivalent financial instrument.
4. Check with the legal department of the responsible entity to determine whether the fund or equivalent financial instrument is based on the annualized loss expectancy (ALE) and information recorded on disaster losses in previous years.

Link to other indicators

FP 2-8

To verify compliance with this indicator, the background and the respective associated regulations identified for this indicator should be considered.

Description of the minimum situation required to consider the indicator met

To meet this indicator, the following conditions must be met:

1. Evidence of the existence of a fund or equivalent financial instrument authorized to finance or co-finance disaster management activities (must be the same fund identified in FP-2-8)
2. Evidence that such a fund is sized according to the country's needs based on the annualized loss expectancy (ALE) and information recorded on disaster losses in previous years.

It is worth mentioning that for the purposes of this indicator, the lines within the budget that can be called Funds are not considered funds, unless the fund in question corresponds to a structure dedicated to managing resources assigned to a specific purpose. In this sense, the fund should be understood as a financial instrument (such as a trust or a bank account with a specific purpose). It is not enough that the creation of the fund be established by current regulations. It is essential that the fund is enabled, that is, has a balance of resources (either a balance from previous periods or from the current fiscal year).

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Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

El Salvador 2016. No evidence was found in: (i) the Law on Civil Protection, Disaster Prevention and Mitigation (Decree 777 of 2005); (ii) General Regulations of the Law on Civil Protection, Disaster Prevention and Mitigation, Decree No. (ii) General Regulations to the Law on Civil Protection, Prevention and Mitigation of Disasters, Decree No. 55 of 2006; (iii) Law on the Creation of the Fund for Civil Protection, Prevention and Mitigation of Disasters (Legislative Decree 778, published in the Official Journal 160, in Volume 368, August 31, 2005); (iv) Instructions of the Ministry of Finance MH-7011 regarding the Specific Norms for the Management of the Fund for Civil Protection, Prevention and Mitigation of Disasters (FOPROMID); (v) Executive Decree 11, Regulations to the Law Creating the Fund for Civil Protection, Prevention and Mitigation of Disasters, published in the Official Gazette 37, Volume 370, February 22, 2006. The foregoing was corroborated by the Ministry of Finance.

Code FP-2-11

Closed-ended question	
11. <i>Does the country have at least one contingent credit explicitly linked to the financing of emerging disaster costs?</i>	
Indicator Overview	
<p>Contingent credits are a type of financial instrument used to cover extraordinary expenses generated by the occurrence of disasters. Within a disaster risk financial protection scheme, the first layer of losses is usually covered by budget reallocations and emergency response funds, while contingent credits usually cover expenses related to the impact of more severe and less frequent events. Like emergency funds, contingent credits are considered a risk retention instrument, as they are credits that the country will have to reimburse (in addition to accrued interest) to the lender. In a comprehensive financial protection strategy, these risk retention instruments complement other risk transfer instruments such as insurance, reinsurance and catastrophe bonds, among others.</p> <p>This indicator investigates contingent credits specifically linked to the financing of emerging expenses due to the occurrence of disasters caused by natural phenomena, and not those contingent credits to attend to all types of shocks (e.g. falls in international prices of certain exports, etc.).</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Consult the websites of the IDB, WB, CAF, CDB regarding the operations approved for the country. Sometimes these loans are also offered by bilateral entities such as JICA. 2. Consult the public credit area of the treasury, economic or financial sector authority (or equivalent entity) or the entity that the country has established should lead the design and implementation of the financial protection strategy or policy with respect to contingent credits contracted by the country that are explicitly linked to the financing of emerging expenses in disaster situations. 3. Consult with the country's DRM governing institution on the existence of contingent credit lines underwritten by the country that are explicitly linked to the financing of emerging disaster costs. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, it must be evident that the country has subscribed at least one contingent credit line, explicitly linked to the financing of expenses generated as a result of disasters, and that this credit is in force. In order to prove this, the loan contract or the official documents associated with it that support its validity at the time of application of the iGOPP must be provided.</p> <p>Alternatively, publications, press releases or similar documents from the institutions granting the credit in question containing information about the characteristics and term of these credits may be cited as sources.</p> <p>The indicator is not considered fulfilled if the country is negotiating this type of credit.</p>	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Belize 2017. According to the "Project Appraisal Document on a Proposed Loan in the Amount of US\$ 30 Million to Belize for a Climate Resilient Infrastructure Project" (F-2-11a) "The objectives of the Project are: (a) to enhance the resilience of road infrastructure against flood risk and impacts of climate change; and (b) to improve the Borrower's capacity to respond promptly and effectively in an Eligible Crisis or Emergency, as required". Consequently, one of the components of the Project is "Contingent Emergency Response", that "will provide support for immediate response to an eligible crisis or emergency, as needed". Same information is reflected in the Schedule 1 (Project description) of the "Loan Agreement (Climate Resilient Infrastructure Project) between Belize and the International Bank for Reconstruction and Development" (F-2-11b).

Peru 2013. Through Supreme Decree No. 254-2010-EF, which approves a financing with the International Bank for Reconstruction and Development - IBRD, of December 15, 2010 (FP-2-11a) in the amount of US\$100 million under the Catastrophe Deferred Rawdown Option - CAT DDO, called "Disaster Risk Management Development Policy Loan".

Examples of non-compliance in countries of the region

Bolivia 2015. In 2008, the country signed with CAF the first contingent credit line for natural disasters of up to USD 20 million to be executed during 2008. The CAF website records that phase V of a natural emergency credit approved in 2011 has already been fully disbursed. The Vice Ministry of Public Investment and External Financing of the Ministry of Development Planning said that the country is currently evaluating the possibility of signing a contingent credit line with the World Bank.

Code FP-2-12

Closed-ended question

12. Does at least one municipality in the country's capital city have a disaster risk transfer instrument in place for a portfolio of assets under the fiscal responsibility of the State?

Indicator Overview

It is considered relevant that at least one municipality, district, delegation or parish of the capital city has a disaster risk transfer instrument in place to cover the fiscal vulnerability of its budget (to protect the budget's susceptibility due to the demand for unscheduled resources, in the face of the occurrence of disasters triggered by natural phenomena) or to cover at least a portfolio of assets under its fiscal responsibility.

In those capital cities that are not organized into municipalities, districts, delegations or parishes, this indicator should be validated for the capital city as a whole. The capital city is understood to be the city where the administrative seat of government is located or, alternatively, the city with the largest population concentration or the largest contribution to the country's GDP.

Steps to follow to obtain the required information

1. Identify the existing municipalities, districts, delegations, or parishes in the country's capital city.
2. Select the main municipalities, districts, delegations or parishes that could meet this indicator due to their relative importance within the capital city, by income level and/or by evidence of progress in DRM.
3. Consult with the authority of the finance, economic, or treasury sector (or equivalent entity) of the municipality, district, delegation, or parish of the country's capital city regarding the existence of existing disaster risk transfer instruments for a portfolio of assets of State fiscal responsibility or for the fiscal vulnerability of the municipal budget.
4. Consult the DRM steering area of the municipality, district, delegation or parish regarding the existence of existing disaster risk transfer instruments for a portfolio of assets of State fiscal responsibility or for fiscal vulnerability of the budget.

Link to other indicators

FP-2-1

If the country's host city has a financial protection structure for disasters, this could include information to verify compliance with this indicator.

Description of the minimum situation required to consider the indicator met

At least one of the following conditions must be met in order to meet this indicator:

1. Evidence that at least one municipality, district, delegation or parish in the country's capital city has a disaster risk transfer instrument in place for a portfolio of assets under the fiscal responsibility of the municipality.
2. Evidence that at least one municipality, district, delegation, or parish in the country's capital city has a disaster risk transfer instrument in place to cover the fiscal vulnerability of its budget.

To evidence the above, the contracts or associated official documents or management or similar reports that certify the existence and validity of the financial instrument of risk transfer in force at the time of application of the iGOPP must be provided. The indicator will not be met if the budget of the municipality, district, delegation or parish has an item for insurance payments: what must be verified is the existence of the insurance or other financial instrument of risk transfer.

In those capital cities that are not organized into municipalities (districts, delegations, parishes), this indicator should be validated for the capital city. Capital city means the city where the administrative seat of government is located or, alternatively, the city that concentrates more population or contributes more to the country's GDP.

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Examples of compliance in countries of the region

Colombia 2013. Contract signed in 2013 to intermediate the insurance program of the District Education Secretariat (FP-2-12a). It is worth mentioning that within the justification section of said contract it is mentioned that it is for the *"design, implementation and contracting of the insurance program that covers all its assets and patrimonial interests"*.

Examples of non-compliance in countries of the region

El Salvador 2016. The Government of San Salvador, in response to a request for information made in accordance with the provisions of the Law on Access to Public Information (LAIP), stated that it does not have a disaster risk transfer instrument for a portfolio of assets under the fiscal responsibility of the municipality. On the other hand, in response to another request for information formulated in accordance with the provisions of the Law of Access to Public Information (LAIP), he stated that the Municipality of San Salvador (AMSS) has an insurance policy. Due to the fact that it was not possible to access said policy to verify if the assets covered include all the buildings under the responsibility of the municipality of the Government of San Salvador, it is ratified that the condition is considered negative. It is worth mentioning that during the visits carried out in July 2016, the Salvadoran Institute for Municipal Development (ISDEM) stated that the level of decentralization is very low, so most of the assets with fiscal responsibility are in charge of the central level.

Code FP-2-13

Closed-ended question	
13. <i>Has at least one risk transfer instrument been implemented and is it in force to collectively cover the fiscal asset portfolio of at least one sector?</i>	
Indicator Overview	
<p>Fiscal assets are those assets whose replacement in case of disaster would be paid by the government. These assets generally include public infrastructure, and in some cases also the homes of the low-income population. In order not to put strong pressure on the public budget, it is advisable to cover these assets through risk transfer instruments, such as insurance, catastrophe bonds or cat swaps. Grouping a portfolio of assets for insurance purposes, such as those in the health or education sectors, by introducing asset diversification and increasing the insurable amount, makes it possible to take advantage of certain benefits, such as premium savings or facilities to improve the quality of coverage. In this sense, the indicator considers it a good practice to collectively transfer the risk of a portfolio of fiscal assets from at least one sector.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Consult the authority of the treasury, economy, or financial sector (or equivalent entity) if there is a risk transfer mechanism to collectively cover <i>the portfolio of fiscal assets of at least one sector</i>. 2. Consult the authorities of the public works, health and education sectors, among other ministries in charge of fiscal assets, if they have implemented any risk transfer mechanism to collectively cover their portfolio of such assets. 	
Link to other indicators	
GF-2-7	The fund or equivalent mechanism at the national level authorized to contract risk transfer instruments could be financing the financial instrument for which this indicator is being investigated.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be evidence of the existence of at least one financial instrument in force for the transfer of risk of a portfolio of fiscal assets from at least one sector.</p> <p>Evidence will include, among others, insurance contracts (in case they may be public), management reports of officials, reports of the entity contracting the insurance or press reports, where they mention that insurance was contracted for groups of assets of fiscal responsibility.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Ecuador 2016. The Scope of Memorandum No. CGSC-2015- 0369-M, whose subject matter is "*Hiring of general insurance branches for the period 2015-2017*" (FP-2-13a), includes as "*Object of Hiring: "Hiring under special regime"* - general insurance branches for the years 2015-2017", and also includes as scope "*The present hiring has the purpose of assuring and safeguarding each one of the assets that the Ecuadorian Institute of Social Security has, so that none of them is left without protection before any eventuality that affects the activities that are developed daily in the entity, assuring this way its continuity in the time*". In numeral 7, which describes the insured values includes, among others, buildings and medical equipment. It is worth mentioning that within the quotation process that appears in the public purchase portal, the respective quotation of Seguros Sucre and the certificates of budget availability required to carry out said contracting appear.

Examples of non-compliance in countries of the region

Venezuela 2015. No evidence was found. Virtual consultations were carried out through the web page of the Ministry of the Popular Power for Health and the Ministry of the Popular Power for Education, since this type of collective coverage is usually carried out in these sectors. This was confirmed in interviews with the Ministry of the Popular Power for Education. Also, virtual consultations were made to the web page of the Ministry of the Popular Power for Economy and Finance and no evidence was found.

Code FP-2-14

Closed-ended question

14. Does the public sector have at least one financial instrument designed ex ante to encourage economic recovery in areas affected by disasters?

Indicator Overview

It is considered a good practice to have adopted ex ante financial instruments that allow for the incentive of economic reactivation in areas affected by disasters. Economic revitalization means the recovery of livelihoods, activities and products that contribute to increased employment, production and investment in the aftermath of the disaster.

Usually these types of instruments are available for the economic reactivation of the agricultural sector. Additionally, the regulations of some national emergency funds, sector funds or development funds could allow them to allocate resources to economic reactivation activities.

Steps to follow to obtain the required information

1. Review whether the regulations associated with the agricultural sector or DRM establish any fund or equivalent financial instrument to stimulate economic reactivation in areas affected by disasters.
2. Consult with the national development planning authority, the treasury, economic, or financial sector (or equivalent entity), particularly its budget area, regarding the existence of funds or equivalent financial instruments that have been formally approved ex ante to stimulate economic reactivation in areas affected by disasters.
3. Consult with the authority of the agricultural and other productive sectors, as well as the DRM governing body, regarding the existence of funds or equivalent financial instruments that have been formally approved ex-ante to stimulate economic reactivation in areas affected by disasters.
4. Review the type of financial instruments that the country has used to finance extraordinary expenses arising from past disasters and check whether any of them have financed expenses related to economic reactivation in the areas affected by the disaster.

Link to other indicators

Not applicable

No linked indicators

Description of the minimum situation required to consider the indicator met

For this indicator to be met, at least one financial instrument must be in place, i.e., formally approved, to provide incentives for economic reactivation in areas affected by disasters.

Normative documents, reports and official reports from national or international institutions in the field that mention the existence and validity of the financial instruments for which the indicator is being investigated will be allowed as verifiable.

In order to comply with the indicator, both exclusive economic reactivation funds created *ex-ante* for areas affected by disasters and funds with a more general scope that include such economic reactivation among their different purposes are admitted.

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Examples of compliance in countries of the region

Guatemala 2013. The 2013 Annual Operating Plan of the Ministry of Agriculture, Livestock and Food (FP-2-14a), published in July 2012 by the Directorate of Planning, refers to *"Farmers supported in credit management and payment of agricultural insurance premiums as an instrument for managing climate risk in production,"* through Guate Invierte (Trust for Rural Development). Subsidies for the purchase of agricultural insurance are considered an ex ante instrument, since they allow farmers to receive resources that enable economic recovery in areas affected by disasters.

Examples of non-compliance in countries of the region

Honduras 2014. The Law on the Agricultural Contingency Fund, Decree Number 25-90, dated December 20, 1990 (PF-2-14b), establishes in Article 3 that *"The general objective of FODECA shall be to have immediately available financial resources to assist national producers in the rehabilitation of agricultural operations destroyed or damaged by the incidence of natural phenomena classified as disasters: floods, droughts, hurricanes, earthquakes, pests and diseases. FODECA will have the following specific objectives: a) To provide financial support for the replacement and/or rehabilitation of destroyed or damaged farms; b) To address contingencies related to the replacement or repair of destroyed or damaged infrastructure, and; c) To address other demands associated with the nature of the production items and the phenomenon generating the situation.* Article 16, related to the patrimony of the fund, establishes that it includes, among others, contributions from the central government and the producers of bananas and plantains, sugar cane, and African palm. However, the indicator is not fulfilled because the Ministry of Agriculture and Livestock (SAG) stated that FODECA has not been operationalized and that it does not have other financial instruments in place to stimulate economic reactivation in areas affected by disasters.

Code FP-2-15

Closed-ended question	
15. Does the Ministry of Agriculture have a financial protection structure for the agricultural sector (or equivalent) in place against disaster risk?	
Indicator Overview	
<p>The occurrence of disasters, particularly those caused by hydrometeorological events, usually has a significant impact on the agricultural sector (which, according to each country's regulations, may include subsectors such as crops, livestock, fisheries and forests). In this sense, it is considered relevant that this sector has a financial protection structure against disaster risk.</p> <p>Among the possible instruments that could be part of the sector's financial protection structure against disaster risk are the following: (i) emergency funds; (ii) insurance; (iii) precautionary savings (allowing for self-insurance, which may be partial); (iv) contingent credits; and (v) catastrophe bonds, among others.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Consult the authority of the agricultural sector (or equivalent entity) regarding the financial protection instruments in place. 2. Consult with the agricultural sector regarding the financial instruments they could access to cover their losses in the event of disasters, and which have the support or participation of government entities. 	
Link to other indicators	
Not applicable	No linked indicators
Description of the minimum situation required to consider the indicator met	
<p>For this indicator to be met, it must be evident that the agricultural sector has at least two instruments for financial protection against disaster risk. It is worth mentioning that the two instruments can be either risk retention, risk transfer, or one risk retention and one risk transfer. For the purposes of this indicator, it is not considered a financial instrument to have a budget line for contracting insurance.</p> <p>Normative documents, contracts, reports and official reports from national or international institutions in the field that mention the existence and validity of financial instruments for which the indicator is being investigated will be allowed as verifiable.</p> <p>It is important to mention that we are investigating the financial instruments available to the agricultural sector for its financial protection in which there is government participation. In this sense, not all agricultural insurance offered by the insurance sector is of interest, but only those that have government support or have been generated through programs with the government.</p>	
<p><i>"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at https://riskmonitor.iadb.org/"</i></p>	
Examples of compliance in countries of the region	

Panama 2014. The Agricultural Insurance Institute is an autonomous entity of the Panamanian State created by Law No. 34, of April 29, 1996, which creates the Agricultural Insurance and the Agricultural Insurance Institute (FP 2-15a); *"... against uncontrolled accidental losses that may occur in investments, with a guarantee of compensation for them, with the purpose of offering basic protection to natural or legal persons, dedicated to agricultural activities"* (article 1).

Colombia 2013. Agricultural Insurance is regulated by Laws 69 and 101 of 1993; 633 of 2000 and 812 of 2003, and Decree 3377 of 2003. The Ministry of Agriculture and Rural Development currently has agricultural insurance as an instrument for covering risks in the event of disasters; an instrument that it promotes through a subsidy for the insurance premium of up to 60%. It is a system of coverage for damages caused to agricultural production as a result of abnormal variations in climatic agents. The agricultural risks that the insurance may cover are drought, frost, hail, flooding, excess humidity and hurricane or hot winds. Evidence that such insurance is being offered and that there are insurance companies offering the product can be found at: <http://www.finagro.com.co/productos-y-servicios/seguro-agropecuario> (FP-2-15a)". With regard to other financial protection instruments, the Colombian Government has a free destination contingent credit line subscribed with the World Bank (FP-2-15b), which could be used, among others, for the financial protection of the agricultural sector.

Examples of non-compliance in countries of the region

Dominican Republic 2014. The Agricultural Insurance Law 157/09 of 2009 establishes *"with the objective of providing agricultural producers with a transparent and regulated protection instrument that allows them to face the economic consequences that occur in agricultural operations after the occurrence of uncontrollable natural phenomena"*. Chapter III describes the insurable risks: Paragraph II. *"In the agricultural and forestry productions, damages caused by drought, strong wind, flood, cyclone, excess of rain, hail, fire, plagues and diseases and other adversities derived from natural phenomena ..."* but according to Paragraph IV *"Claims which, due to their extension and importance, are qualified by the Executive Power as disaster or national calamity areas, are excluded from the coverage of the agricultural and forestry insurance referred to in this law"*. On the other hand, Law 197-11 of 2011, which modifies Law 157/09 of 2009, creates in Article 27 the *"Dominican Fund to Support Agricultural Insurance"*, with the objective of guaranteeing the resources with which the Dominican State will support agricultural producers who demand agricultural insurance. It is worth mentioning that a press release from the Ministry of Agriculture in 2013 states that the Government will allocate RD\$234 million for the Agricultural Insurance, which will be effective as of March 2013. In this sense, the indicator is not met since at the time of implementation of the iGOPP, the instruments of financial protection against disaster risk for the agricultural sector had not been implemented.

Costa Rica 2014. The Comprehensive Crop Insurance Law 4461 of 1969 establishes in Article 1 *"Comprehensive Crop Insurance is established"*, which according to Article 2 *"The Insurance shall be administered by the National Insurance Institute, in accordance with this law. The Institute will determine the areas to which the coverage will be extended, which crops it will insure and the form in which the Insurance will be assumed, which may cover bank credits with direct destination for the crop, the necessary and direct investment made by the farmer, or a percentage of the crops, all within the limits established by the Institute"*. On the other hand, Article 6 establishes *"Article 6.- For the strengthening of the corresponding portfolio without a surcharge on the protection premium, the members of the National Banking System and the Private Banks, both those existing in the country and those to be established in the future, will directly transfer to the National Insurance Institute fifty per cent of the amount that each one of them covers as Income Tax. With these contributions, the Institute will form the Technical Contingency Reserve, destined to cover the deficits that the annual liquidation of the Crop Insurance will show"*. The indicator is not fulfilled because in conversations held with the National Commission for Risk Prevention and Emergency Care it was stated that this type of product is not being offered to farmers and that the Ministry of Agriculture and Livestock is taking steps to promote agricultural insurance in the country.

Code FP-2-16

Closed-ended question	
16. Is there an official document of the Ministry of Economy and Finance that establishes the strategy or policy of financial protection for disaster risk management in the country?	
Indicator Overview	
<p>In all countries, it is the state and its financial capacity that will be the last resort in dealing with the demands and requirements that disaster and their consequences bring. In this sense, the occurrence of disasters generates a contingent obligation, due to the unforeseen demand for resources to address their impact. Within this context, the existence of a strategy that proposes the different financial instruments that the state should consider to face the occurrence of disasters in order to reduce its fiscal vulnerability is considered a quality factor.</p> <p>All countries have an implicit "financial protection strategy". However, what is interesting is that the competent authorities of the state have reflected on the subject and have expressed their vision on how to manage this contingent in official documents that reflect this strategy, such as Decrees, Ministerial Resolutions or publications of the Ministry of Economy and Finance (or whoever is acting as such), among others.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Inquire about the existence of official documents from the Ministry of Economy and Finance (or whoever is acting on its behalf) that describe the actions and/or instruments of financial protection that the country has identified to reduce its fiscal vulnerability to the occurrence of disasters. 2. If necessary, meet with representatives of the governing institutions of the treasury, economy or finance and/or DRM about compliance with this indicator. 	
Link to other indicators	
FP-1B-2	If the Finance or Economy sector has competencies in financial protection against disaster risk, it could be that it has developed the strategy that this indicator explores.
FP-3-1 FP-3-3	Evaluations of financial protection mechanisms could identify the existence of a strategy in this area.
Description of the minimum situation required to consider the indicator met	
<p>For the indicator to be met, there must be an official document from the Ministry of Economy and Finance (or whoever is acting as such) that contains or evidences the existence of a financial protection strategy or policy.</p> <p>This document may be published by the official body, approved or issued by decree or ministerial resolution, published on the institutional page of the entity competent in the matter, or any other formality that confers on the document the character of official strategy or policy. Compliance with this indicator cannot be supported by (i) the existence of a regime of exceptions for contracting in case of disasters, nor by (ii) regulations that allow the entry of imported goods in disaster risk scenarios with tax exceptions, nor by (iii) the existence of budgetary policies for disasters (such as the possibility of reallocating the budget or contracting credits).</p>	
<p><i>"Since this is a new indicator considered in the process of updating the iGOPP protocol, no examples are presented for this indicator. However, for examples of future applications, please consult the iGOPP applications available at https://riskmonitor.iadb.org/".</i></p>	

Code FP-2-17

Closed-ended question	
<i>17. Is there a financial instrument in force that has been used in the country to contract risk transfer instruments to reduce the fiscal vulnerability of the budget?</i>	
Indicator Overview	
<p>The national budget is likely to be affected by the occurrence of disasters due to the demand for unscheduled resources. In this sense, it is desirable that the country considers the adoption of risk transfer instruments that allow for the reduction of fiscal vulnerability of the budget through access in the short term to resources to attend to expenses caused by disasters. This type of risk transfer instruments allows the country, through the payment of a premium, to transfer certain probable losses due to future disasters to specialized markets.</p> <p>The indicator asks whether these risk transfer instruments have been acquired, that is, whether their coverage has been covered, with resources from existing national, regional and/or multi-country financial instruments, or through some economic or commercial integration mechanism constituted by countries.</p>	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Investigate the existence of some instrument in force for risk transfer that allows the country to access resources to attend to expenses caused by disasters and, therefore, contributes to reduce the fiscal vulnerability of the budget in case of disaster. 2. Identify whether the resources used for the acquisition of the identified risk transfer instrument, that is, for the payment of its premium, come from existing financial instruments that are national, regional and/or multi-country, or from an economic or commercial integration mechanism of which the country is a part. 3. If necessary, meet with representatives of the governing institutions of the treasury, economy or finance and/or DRM about compliance with this indicator. 	
Link to other indicators	
<p>PF-1A-3</p> <p>PF-2-13</p>	If the country has, either at national or sector level, disaster risk transfer instruments, it should investigate the sources of financing and the type of agreement or financial instrument that allowed for the contracting of such instruments.
Description of the minimum situation required to consider the indicator met	
<p>Two conditions must be met for the indicator to be met:</p> <ol style="list-style-type: none"> 1. Existence of at least one national (e.g., national risk management fund, adaptation fund, or development or social investment fund), regional and/or multi-country financial instrument, economic or trade integration mechanism (e.g., Pacific Alliance), or country-based company (e.g., CCRIF) that can be used to pay for at least one disaster risk transfer instrument to reduce fiscal vulnerability of the budget (e.g., a Cat Bond against seismic or hydrometeorological risk, or a Cat Swap). 2. That this national instrument has been used at some point to contract at least one disaster risk transfer instrument to reduce the fiscal vulnerability of the budget. 	
<p>The justification must provide a description of both the risk transfer instrument and the financial instrument that covered its hedge, as well as provide the necessary information to support that the financial instrument is in force and can continue to finance such hedges.</p>	
<p><i>"As this is a new indicator considered in the process of updating the iGOPP protocol no examples are presented for this indicator, however for examples of future applications you can find the iGOPP applications available at https://riskmonitor.iadb.org/"</i></p>	

Code FP-3-1

Closed-ended question

1. Has the national controlling entity carried out at least one evaluation or verification of compliance with current existing financial protection in the last 5 years?

Indicator Overview

It is considered a good practice that if there are regulations on financial protection, they should be subject to evaluation by the national control body.

First of all, this indicator requires the existence of regulations on financial protection. Secondly, compliance with such regulations must have been evaluated by the national controlling entity. And finally, this evaluation must have been carried out in the five years prior to the application of the iGOPP.

Steps to follow to obtain the required information

1. Investigate the existence of regulations on financial protection.
2. Identify the controlling entity or entities in the country (may be audit, comptroller or equivalent entity).
3. Consult with the national controlling entity and with the authority of the treasury, economic or financial sector about the existence of financial protection regulations.
4. In the case that there are regulations on financial protection, consult with the national controlling entity if it has evaluated/verified compliance with regulations on financial protection
5. Review the reports prepared by the national controlling entity.
6. Consult with the institutions involved in the management and operation of the financial protection instruments that the country may have, to know if they have been subject to verification by the national controlling entity.

Link to other indicators

GF-2-1
FP-1B-2
FP-1C-2
FP-2-1

The information reviewed or used for these indicators can guide the identification of financial protection regulations that should be subject to verification by the national controlling entity.

Description of the minimum situation required to consider the indicator met

To meet this indicator, the following conditions must be met:

1. The existence of regulations on financial protection instruments.
2. That in the 5 years prior to the application of the iGOPP the national controlling entity has evaluated or verified the compliance of said regulations.

A report from the controlling entity analyzing compliance with the regulations in terms of financial protection or, alternatively, analyzing a financial protection instrument that the country has proposed in its financial protection strategy, is considered as evidence.

The reports of the controlling entity suggesting improvements in the use of resources employed to attend the emergency stage are not evidence of evaluations regarding compliance with financial protection regulations since what is being investigated is compliance with financial protection regulations, specifically in the actions that must be taken before the occurrence of the disaster, in terms of financial preparations.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

There are no positive examples according to the results of the iGOPP applications carried out until 2019, when the present protocol was developed.

Examples of non-compliance in countries of the region

Mexico 2014. In accordance with the stipulations of the functions manual of the Ministry of Finance and Public Credit, the internal body carries out annual audits. On the other hand, the supreme audit audits the public account of the previous year. However, no studies have been made by the national controlling entity on compliance with existing regulations on financial protection mechanisms. It is worth mentioning that in 2012 the OECD conducted an external evaluation of the entire civil protection system, including the financial protection component.

Code PF-3-2

Closed-ended question

2. *Has the governing body of the insurance sector carried out at least one verification or evaluation of the use of the probabilistic risk assessment model in the tariff calculation of policies by insurance companies in the last 3 years?*

Indicator Overview

It is considered good practice that risk assessment models for the definition of catastrophic risk reserves of insurance companies are probabilistic models. Additionally, it is considered advisable that such models be evaluated by the governing body of the insurance sector.

This is fundamental to ensure the adequate provisioning of reserves, so that the insurance sector has the financial capacity to respond to claims in the event of a disaster.

In that sense, first of all, it is required that the regulations establish that the estimation of catastrophic risk reserves must be based on probabilistic risk assessment models. Subsequently, it would be necessary to verify whether the governing body of the insurance sector has carried out at least one evaluation of the application of said regulations in the 3 years prior to the application of the iGOPP.

Steps to follow to obtain the required information

1. Investigate the existence of regulations that establish that the estimation of catastrophic risk reserves should be based on probabilistic risk assessment models.
2. Review the reports prepared by the governing body of the insurance sector to find out if they have carried out a verification or evaluation on the use of the probabilistic risk assessment model in the estimation of the catastrophic risk reserves of at least one of the insurance companies operating in the country in the last 3 years.
3. Consult with the governing body of the insurance sector and the guild that brings together the insurance companies in the country regarding the verification or evaluation of the use of the probabilistic risk assessment model in the estimation of the catastrophic risk reserves of the insurance companies in the last 3 years.

Link to other indicators

FP-1A-4

FP-1A-5

The standards identified in these indicators should mandate that the estimation of catastrophic risk reserves be based on probabilistic risk assessment models. If this is the case, compliance with this mandate should be evaluated by the insurance sector's governing body.

Description of the minimum situation required to consider the indicator met

To positively verify this indicator, the following conditions must be met:

1. Existence of regulations that establish the use of the probabilistic risk assessment model in the estimation of catastrophic risk reserves.
2. The insurance regulator has conducted at least one evaluation or verification in the last 3 years on the use of the probabilistic risk assessment model in the estimation of catastrophic risk reserves for at least one of the insurance companies in the country.

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. The National Insurance and Bonding Commission ordered the publication on October 5, 2012 of amending Circular 54/12 of the Única de Seguros (FP-3-2a) (Various amendments to Chapter 7.2.; Amendments to Annexes 7.2.1. and 7.2.7.) in order to announce the updating of the study containing the technical bases with which the risk premium and probable maximum loss for earthquake insurance are determined, as well as to provide the calculation system with which the Institutions and Mutual Insurance Companies may process the information to calculate said risk premium and probable maximum loss. This is due to the need to review and update the system to incorporate technological advances and updated knowledge of the earthquake phenomenon. To this end, the National Insurance and Bonds Commission has updated the technical study for the calculation of risk premium and probable maximum loss for earthquake insurance (which is mentioned in the recitals of Amending Circular 54/12 of the Single Insurance Policy).

Examples of non-compliance in countries of the region

Argentina 2014. Resolution 21.523 of 1992 (General Regulations of the Insurance Activity) does not oblige the use of probabilistic risk models certified by the Argentinean Insurance Superintendence, consequently, this entity does not carry out evaluations in this respect.

Code PF-3-3

Closed-ended question	
3. <i>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?</i>	
Indicator Overview	
Considering the responsibilities of the Ministry of Treasury, Finance, Economy or equivalent entity or the entity that the country has established should lead the design and implementation of the financial protection strategy, it is considered a good practice that such entity should carry out an internal evaluation of the regulations, policy or strategy for financial protection against disaster risks in the country, in order to obtain knowledge that will allow the strategy to be perfected.	
Steps to follow to obtain the required information	
<ol style="list-style-type: none"> 1. Review whether there are any regulations, strategies or policies for financial protection against disaster risk. 2. Review the reports published by the authority of the treasury sector, economy, or finance (or equivalent entity) related to evaluations on the implementation of the regulation, strategy, or policy on financial protection that have been carried out in the last 3 years. 3. Consult the finance, economic, or tax authority (or equivalent entity) or the entity that the country has established should take the lead in designing and implementing the financial protection strategy with respect to financial protection assessments conducted in the last 3 years. 4. Consult with the institutions involved in the management and operation of the financial protection instruments that the country may have, to know if at least one of them has been subject to any evaluation by the Ministry of Treasury, Finance or Economy or the entity that the country has established should lead the design and implementation of the financial protection strategy. 	
Link to other indicators	
GF-2-1 FP-1B-2	The information reviewed or used to support compliance with these indicators can help identify the regulations or strategies that should be subject to assessment by the Ministry of Treasury, Finance or Economy or the entity that the country has established should lead the design and implementation of the financial protection strategy for which this indicator is being investigated.
Description of the minimum situation required to consider the indicator met	
<p>To meet this indicator, the following conditions must be satisfied:</p> <ol style="list-style-type: none"> 1. Existence of regulations, strategy or policy for financial protection against disaster risk or, alternatively, of instruments for financial protection (risk retention and/or transfer) against disaster risk that were adopted by the state and were in force during the period subject to the evaluation referred to in the following numeral. 2. In the last 3 years, the Ministry of Treasury, Finance or Economy has carried out a verification or evaluation of compliance with the existing regulations, strategy or policy on financial protection against disaster risk or, alternatively, on all the financial protection instruments available to the country in the period of analysis. 	

"The following examples of both compliance and non-compliance reflect the situation in the country during the year of implementation of the iGOPP, which means that the information may have changed by now. On the other hand, as far as their wording is concerned, these examples should be taken with reservation, as the way in which the corresponding justification is presented does not necessarily follow the indications of the Protocol for the implementation of the iGOPP. Further results of the iGOPP applications can be found at <https://riskmonitor.iadb.org/>"

Examples of compliance in countries of the region

Mexico 2014. In the interview held with the Insurance Unit of the Ministry of Finance, they stated that in order to bring new financial instruments to the market they must make an evaluation of the entire scheme. In this regard, the book on FONDEN, published in 2012 (FP-3- 3a) describes the evolution of the assets to be covered and the instruments selected.

Examples of non-compliance in countries of the region

Colombia 2013. In 2007, the MHCP conducted a study regarding the insurance of its public buildings. Currently, with technical support from the World Bank, it is conducting an evaluation of the current insurance scheme, with the aim of strengthening it.

Glossary

Some of the definitions presented below have been designed and adapted to facilitate the application of the iGOPP and should not be considered or referenced in the context of initiatives other than this index.

1. **Ex-ante DRM activities:** Those actions that have been planned and executed prior to the occurrence of a disaster, in order to identify and analyze disaster risk, reduce that risk, prepare to respond to an eventual disaster, plan the disaster recovery process and protect oneself financially from its consequences.
2. **Ex-post activities of DRM.** Those actions that are executed after a disaster has occurred, in order to respond, rehabilitate and recover.
3. **Public assets.** Public assets. Those assets, whether tangible or intangible, that are under the domain or responsibility of the state, through the different levels of government and territorial management units, and that are susceptible to be insured against the effects of a disaster..
4. **Climate change adaptation⁷:** In human systems, this refers to the process of adjustment to the actual or projected climate and its effects, in order to moderate the damage or take advantage of beneficial opportunities. In natural systems, the process of adjustment to the actual climate and its effects; human intervention can facilitate adjustment to the projected climate.
5. **Insurance and reinsurance agents:** These are the institutions that offer insurance and reinsurance services.
6. **Precautionary savings.** Resources (in the form of savings/reserves) to deal with unexpected situations when disasters occur.
7. **Threat⁸:** A latent danger that represents the probable manifestation of a physical phenomenon of natural, socio-natural or anthropogenic origin, which can produce adverse effects on people, production, infrastructure, goods and services. It is a physical risk factor external to an exposed social element or group of elements, which is expressed as the probability that a phenomenon will occur with certain intensity, in a specific site and within a defined period of time.
8. **Risk analysis⁹:** It consists of relating the threat and the vulnerability of the exposed elements, in order to determine the possible effects and social, economic and environmental consequences associated with one or several dangerous phenomena (threats) in a territory. Threat and vulnerability analyses are part of the risk analysis and must be articulated for this purpose and not comprise separate and independent activities.
9. **Parametric assurance.** See "Parametric Insurance".
10. **International aid.** Humanitarian assistance, of a financial, material, technological or human nature, provided by countries or international organizations within the framework of international law and which is directed towards those countries that have requested or consented to it, because they recognize that they are in a situation of disaster or emergency that has exceeded their capacity to respond.

⁷ IPCC, (2012). "Summary for Policymakers" in the Special Report on Managing the Risks of Extreme Hydrometeorological Events and Disasters to Enhance Adaptation to Climate Change [edited by C.B. Field, C.B., V. Barros, T.F. Stocker, D. Qin, D.J. Dokken, K.L. Ebi, M.D. Mastrandrea, K.J. Mach, G.-K. Plattners, S. K. Allen, M. Tignor, and P.M. Midgley]. Special Report of IPCC Working Groups I and II, Cambridge University Press, Cambridge, UK and New York, USA, pp. 1-19.

⁸ CRID - Disaster Controlled Vocabulary (DCV) .Online consultation (<http://vcd.cridlac.org/index.php>). Source: Lavell, A. et. al., (2003). Local Risk Management: Conceptual and Practical Insights. CEPREDENAC, UNDP, Ibid.

11. **Goods with homogeneous/uniform characteristics.** Those with similar physical characteristics, e.g. office buildings, concrete buildings and those that are 10 years old.
12. **Goods with non-homogeneous/special characteristics.** Those with particular characteristics, such as water and sewage systems or electrical energy systems and oil infrastructure, i.e. goods whose physical characteristics differ and consequently demand treatment in accordance with these.
13. **Assets of the State's Fiscal Responsibility¹⁰:** Portfolio of exposed elements whose replacement cost would be assumed by the state. They generally include public assets and, in certain cases, the assets of the low-income population.
14. **Catastrophic bonds.** They are high yield debt that covers a series of catastrophic events, such as hurricanes, earthquakes, etc., that can be issued by international financial institutions (Inter-American Development Bank, World Bank, etc.), governments or insurance companies.
15. **Climate change¹¹:** A change in the state of the climate that can be identified (e.g., through statistical testing) by changes in the mean value of its properties and/or by the variability of its properties, which persists over long periods of time, usually decades or longer. Climate change may be due to natural internal processes, external forcing or persistent anthropogenic changes in the composition of the atmosphere or in land use.
16. **Cat Swaps:** Customized financial instrument that is traded in the over-the-counter derivatives market and allows insurers and/or governments to protect themselves against potential massive losses resulting from a large-scale disaster such as a hurricane or earthquake. In a Cat Swap, two parties, an insurer/government and an investor, exchange periodic payment flows. The insurance/government payments are based on an investor's portfolio of securities, and the investor's payments are based on potential catastrophic losses as predicted by a catastrophic loss ratio.
17. **Budget classifier.** Alphanumeric marker used in national budgets to identify or visualize in a grouped way the resources allocated to a certain type of expenditure or budget allocation, which allows identifying and tracking public expenditure.
18. **Risk awareness.** See "Risk Identification".
19. **Contingent credit.** Line of credit subscribed between a government and a financial institution, prior to the occurrence of disasters, which allows access to liquidity in the event of disasters produced by dangerous natural phenomena.
20. **Social investment accounts.** National development funds or similar instruments that make it possible to allocate resources for investment at different scales and different approaches (territorial, sectoral management units, etc.), and that in an integrated manner contribute to the development vision of the countries. (see National Development Funds).
21. **Loss Exceedance Curve (LEC)¹²:** Representation of the annual frequency with which the economic loss is determined to be exceeded. It is the most important measure of catastrophic risk for risk managers, since it estimates the amount of funds required to achieve risk management objectives. The LEC can be calculated for the largest event in a year or for all events (cumulatively) in a year.

¹⁰ UNISDR (2011). Global Report on Disaster Risk (GAR as its acronym in Spanish).

¹¹ IPCC, (2012). "Summary for Policymakers" in the Special Report on Managing the Risks of Extreme Hydrometeorological Events and Disasters to Enhance Adaptation to Climate Change [edited by C.B. Field, C.B., V. Barros, T.F. Stocker, D. Qin, D.J. Dokken, K.L. Ebi, M.D. Mastrandrea, K.J. Mach, G.-K. Plattner, S. K. Allen, M. Tignor, and P. M. Midgley]. Special Report of IPCC Working Groups I and II, Cambridge University Press, Cambridge, UK and New York, USA, pp. 1-19

¹² <http://www.revista.unam.mx/vol.11/num1/art05/int05/int05d.htm>

- 22. Disaster¹³:** A situation or social process that is triggered as a result of the manifestation of a natural, socio-natural or anthropogenic phenomenon that, upon finding conditions conducive to vulnerability in a population and in its productive structure and infrastructure, causes intense, serious and widespread alterations in the normal operating conditions of the affected country, region, zone or community, which, in many cases, cannot be faced or resolved autonomously using the resources available to the social unit directly affected. These alterations are represented in a diverse and differentiated way, among other things, by the loss of life and health of the population; the destruction, loss or total or partial disablement of goods of the community and individuals, as well as severe damages to the environment; requiring an immediate response from the authorities and the population to attend to those affected and to re-establish acceptable thresholds of well-being and life opportunities.
- 23. Sustainable development¹⁴.** Development that meets the needs of the present without compromising the ability of future generations to meet their own needs.
- 24. Policy document.** See "Regulations".
- 25. Official document.** Written document issued by a competent authority which informs, disposes or instructs on certain matters and, in whose content, its scope is based on the regulations and its reasons are duly established.
- 26. Eco-region.** Geographical unit identified by having flora, fauna and ecosystem that are characteristic of it.
- 27. Essential buildings.** See "Vital Facilities".
- 28. Fiscal year.** The period, generally annual, established by the regulations of the countries for the execution of the budget of expenditure and income previously approved by the legislative branch. For the purposes of lifting the iGOPP, with few exceptions, the current fiscal year should be considered, that is, the year in which the iGOPP is being applied.
- 29. Emergency¹⁵:** A state directly related to the occurrence of a dangerous physical phenomenon or the imminence of such a phenomenon, which requires an immediate reaction and demands the attention of state institutions, the media and the community in general. When the event is imminent, confusion, disorder, uncertainty, and disorientation may arise among the population. The immediate post-impact phase is characterized by the intense and serious alteration or interruption of the normal conditions of functioning or operation of a community, zone 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 condition, but is not, *per se*, a substitute notion of disaster. There can be emergency conditions without a disaster.
- 30. Entities responsible for DRM.** All those government agencies that, within the different levels of government and within the current legal framework of Disaster Risk Management, are assigned specific responsibilities in this area.

¹³ CRID - Controlled Vocabulary for Disasters (CCD). Online consultation (<http://vcd.cridlac.org/index.php>). Source: Lavell, A. et. al., (2003). Local Risk Management: Conceptual and Practical Insights CEPREDENAC, UNDP.

¹⁴ "Our common future", the report of the World Commission on Environment and Development, 1987.

¹⁵ CRID - Controlled Vocabulary for Disasters (CCD). Online consultation (<http://vcd.cridlac.org/index.php>). Source: Lavell, A. et. al., (2003). Local Risk Management: Conceptual and Practical Insights. CEPREDENAC, UNDP.

- 31. Sectorial entities.** Those government bodies whose powers and responsibilities, according to the regulations, correspond to a common public activity or policy. Depending on the country, they may correspond to ministries, secretariats, institutes or other denominations used.
- 32. Budget tagger:** See "Budget classifier".
- 33. Financial management strategy for disaster risk.** The combination of different financial instruments that the country should consider to finance all components of disaster risk management (DRM), i.e. risk identification, risk reduction, response preparedness, recovery planning and financial protection.
- 34. Financial protection strategy.** The proposal of financial instruments for the retention and transfer of risk that the country considers to face the occurrence of disasters in order to reduce its fiscal vulnerability, while allowing the allocation of resources for the emergency, rehabilitation and reconstruction phases.
- 35. Financial protection structure.** For the purposes of applying the iGOPP, a financial protection structure will be understood to exist if, on the date of application of the iGOPP, the country has at least two financial instruments in force to deal with the occurrence of disasters, which are different from the possibility of making budgetary reallocations and contracting credits.
- 36. Budget tagger.** See "Budget Classifier".
- 37. Risk Assessment:** See "Risk Analysis".
- 38. Probabilistic risk assessment:** This is a systematic and comprehensive methodological approach to assess risk in quantitative units of measurement (monetary, people, housing, etc.) to determine what can happen, how likely it is to happen, and what the consequences are. This assessment allows for the estimation of how frequently disasters with consequences of a certain size will occur, based on the estimation of the occurrence of the hazard, the assessment of the elements exposed to that hazard (in economic, life or other terms) and the evaluation of the vulnerability of those elements.
- 39. Ex ante:** Before the occurrence of the disaster.
- 40. Exposure¹⁶:** Corresponds to the presence of people, livelihoods, environmental services and resources, infrastructure, or economic, social or cultural assets in places that could be negatively affected by hazardous natural phenomena.
- 41. Ex post:** After the occurrence of the disaster.
- 42. Pre-investment phase¹⁷.** It corresponds to the process of preparing the studies and analyses necessary for the preparation (or formulation) and evaluation of a public investment project. The result of this phase is a decision to carry out or not the project or investment.
- 43. Funds.** Financial instruments created by regulations for specific purposes defined in the same regulations that create them, such as a trust or a bank account with specific destination. Budget lines with the name of a fund or similar are not considered funds.

¹⁶ IPCC, (2012). "Summary for Policymakers" in the Special Report on Managing the Risks of Extreme Hydrometeorological Events and Disasters to Enhance Adaptation to Climate Change [edited by C. B. Field, C. B., V. Barros, T. F. Stocker, D. Qin, D. J. Dokken, K. L. Ebi, M. D. Mastrandrea, K. J. Mach, G. -K. Plattners, S. K. Allen, M. Tignor, and P. M. Midgley]. Special Report of IPCC Working Groups I and II, Cambridge University Press, Cambridge, UK and New York, USA, pp. 1-19.

¹⁷ <https://www.cepal.org/ilpes/noticias/paginas/2/33602/SegundoModulo.pdf>

A fund is qualified if it has an allocation of resources, which may come from the balance of previous periods or from the current fiscal year.

- 44. National development funds.** Financial instruments created normatively and provided with a budget, with the purpose of promoting or strengthening a specific economic activity, or the development of certain sectors, regions or populations. (See "Social investment accounts").
- 45. Emerging expenses.** Those expenses that arise due to the occurrence of the disaster, such as humanitarian assistance, those that serve to restore basic services, rehabilitation, recovery or reconstruction, etc.
- 46. Disaster management.** Organization and management of resources and responsibilities for the management of all aspects of disasters, in particular preparedness, response and rehabilitation. Disaster management includes plans, structures, and agreements that enable the commitment of government efforts by voluntary and private entities in a coordinated and comprehensive manner to respond to all needs associated with a disaster.
- 47. Emergency Management:** See "Disaster Management".
- 48. Management of contingent liabilities¹⁸:** Activities related to the identification, valuation, recording, mitigation and monitoring of contingent liabilities that may generate adverse representative impacts in the future on the finances of the entities.
- 49. Disaster risk management¹⁹:** Processes for designing, implementing and assessing strategies, policies and measures to improve the understanding and identification of disaster risks, to promote disaster risk reduction and financial protection, and to promote continuous improvement in disaster preparedness, response and recovery practices, with the explicit aim of enhancing human security, well-being, quality of life, resilience and sustainable development. Risk management is an indispensable development policy for ensuring sustainability and territorial security and collective rights and interests, and is therefore intrinsically associated with safe development planning and sustainable territorial environmental management at all levels of government.
- 50. Financial disaster risk management:** Administration of the financial resources necessary to be able to implement the different components of disaster risk management (See "Financial disaster risk management strategy")
- 51. Governance:** The ability to govern a public problem. This capacity is manifested in the continuous and stable management by all the governments and administrations, but also by the sectorial and private actors of a country.
- 52. Qualified:** It refers to the double condition of a financial instrument to be legally constituted and to have resources for its operation.
- 53. 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.

¹⁸ Adapted from Resolution Number 866 (September 8, 2004) of the Secretary of Finance of Bogotá, "By means of which the Manual of Procedures for the Management of Contingent Obligations in Bogotá D.C. is adopted".

¹⁹ IPCC, (2012). "Summary for Policymakers" in the Special Report on Phenomenon Risk Management Extreme hydrometeorological events and disasters to improve adaptation to climate change [edition by C. B. Field, C. B., V. Barros, T. F. Stocker, D. Qin, D. J. Dokken, K. L. Ebi, M. D. Mastrandrea, K. J. Mach, G. -K. Plattners, S. K. Allen, M. Tignor, and P.M. Midgley]. Special Report of IPCC Working Groups I and II, Cambridge University Press, Cambridge, UK and New York, USA, pp. 1-19.

- 54. Budget incentives.** Financial instruments that aim to provide additional financial resources to entities that manage to meet explicitly defined objectives to improve the management of the entities that receive them and therefore improve their provision of services and products.
- 55. Critical Infrastructure:** See "Vital Facilities".
- 56. Public infrastructure:** Set of systems, works and buildings created by the different levels of government with public resources and in order to facilitate their operation and fulfill their functions, or to provide a public service.
- 57. Vital facilities²⁰:** The physical structures, technical facilities and major systems that are socially, economically or operationally essential to the functioning of a society or community, both in usual and extreme circumstances during an emergency. Vital facilities are elements of the infrastructure that support essential services in a society. They typically include transportation systems, air and sea ports, electricity, water supply and communication systems, hospitals and health clinics, and fire, police and public administration service centers.
- 58. Policy instruments for DRM:** Corresponds to those plans, policies, strategies, information systems, etc. that give viability to the execution of public policies for Disaster Risk Management.
- 59. Financial protection instruments²¹:** These are financing instruments in the event of disasters; they are classified into ex-ante instruments, such as reserves, contingent credits and risk transfer instruments, and ex-post, such as budget reallocation, tax increases and debt contracting.
- 60. Disaster risk transfer instruments²²:** Corresponds to financial instruments that allow the transfer of the financial consequences of a particular risk from one party to a third party (capital market, or insurance and reinsurance market) through a contract, by which an entity will obtain resources from the other party after a disaster occurs in exchange for the prior payment of an amount agreed by both parties (premiums, etc.). Some of these instruments may be indemnity insurance, parametric insurance and catastrophe bonds.
- 61. Financial instruments²³:** These are tools for the transfer of financial resources between economic agents that are characterized by their liquidity, risk and profitability. They are a way of maintaining wealth for those who possess it (the investors) and a liability for those who generate it. These assets can be transferred from one economic unit to another.
- 62. Budgetary instrument:** See "Budget classifier".

²⁰ UNISDR (2009). Terminology on Disaster Risk Reduction. Published by the United Nations International Strategy for Disaster Reduction (UNISDR). Geneva, Switzerland, May 2009.

²¹ Ghesquiere y Mahul, (2010). Financial Protection of the State against Natural Disasters, A Primer, The World Bank, Latin American and the Caribbean Region, Finance and Private Sector Development, Sustainable Development Network, September 2010

²² Adapted from UNISDR (2009) Terminology on Disaster Risk Reduction

²³ ESPASA Dictionary (1998). Economy and Business. Arthur Andersen.

- 63. Vital Lines:** See "Vital Facilities".
- 64. Crisis management.** See "Emergency Management".
- 65. Disaster Management:** See "Emergency Management".
- 66. Medium-Term Expenditure Framework²⁴:** Contains projections of the main sector priorities and maximum expenditure levels, distributed by sector and expenditure components of the General Budget of the Nation for the period of government and reviewed annually.
- 67. Highest national political level:** Corresponds to the ministerial or secretariat level or, the presidency of the republic or the presidency of the council of ministers.
- 68. Hazardous materials:** Any solid, liquid or gaseous substance that, due to its physical, chemical or biological characteristics, can cause damage to humans, the environment and property.
- 69. Livelihoods:** Includes the skills, assets (both material and social) and activities necessary for the livelihood of an individual, family or community. In other words, it corresponds to the way they "earn a living", "support their families", i.e. the "employment" or "productive activities" that allow them to subsist.
- 70. Climate Change Mitigation²⁵:** Human intervention aimed at reducing sources or enhancing sinks of greenhouse gases, including carbon dioxide.
- 71. Levels of government:** Includes central government, autonomous and decentralized entities, state enterprises, local and regional governments, and sectors and ministries.
- 72. Territorial levels:** It integrates the local, municipal, cantonal, parochial, district, departmental, regional, state or provincial, depending on the political-administrative division of each country.
- 73. Regulations:** For the purposes of applying the iGOPP, it should be understood generically as the legal documents applicable in the country, regardless of their hierarchy.
- 74. Object of Expenditure:** See "Budget Classifier".
- 75. Contingent liabilities²⁶:** Financial obligations whose value depends on the occurrence of future, uncertain events (which may or may not occur) that create financial uncertainty for an entity or country. A liability encompasses obligations, i.e., financing that an entity or country has for payment to third parties (banks, suppliers, taxes, salaries, etc.). Thus, from a budgetary perspective, fiscal risk related to disasters represents a contingent liability. When a disaster occurs, contingent liabilities become a real cost associated with economic and humanitarian relief operations in the short term and with support for recovery and reconstruction efforts in the medium and long term.
- 76. Parameters and guidelines:** It refers to instructions that may or may not be mandatory and that establish standards on best practices for the performance of an activity by a specific entity or institution.
- 77. Danger:** See "Threat".

²⁴ Adapted from <http://www.minhacienda.gov.co>

²⁵ IPCC Glossary

²⁶ Adapted from International Monetary Fund (2018). How to Manage the Fiscal Cost of Natural Disasters

- 78. Annualized Loss Expectancy (ALE)²⁷:** The ALE is calculated as the sum of the product between the expected losses for a given event and the frequency of occurrence of that event in a one-year period and for all stochastic events considered. In probabilistic terms, the ALE is the mathematical expectation of the annual loss.
- 79. Probable Maximum Loss (PML):** The PML represents a level of estimated maximum loss for a given exceedance (probability) established according to a reference return period. Depending on the risk management capacity of a country, region or entity, potential losses can be intervened up to a certain return period that is considered appropriate.
- 80. Contingency plan:** these are alternative procedures, of immediate response, to the normal order of an entity, institution or company, whose purpose is to allow the normal functioning of the latter, even if some of its functions were damaged by an internal or external accident. Contingency plans are a component of emergency plans.
- 81. Business continuity plan²⁸:** A plan whose purpose is to analyze the vulnerabilities of an entity to define its organization and logistical plans that will allow it to recover and restore its critical functions partially or completely after a disaster, so that its mission is not compromised and the resilience of the organization is improved. A Business Continuity Plan, unlike a Contingency Plan, is oriented to the maintenance of the entity's operation, thus prioritizing the critical activities necessary to continue operating after an unforeseen incident. A Business Continuity Plan includes a Contingency Plan.
- 82. Continuity of operations plan.** See "Business Continuity Plan".
- 83. Emergency plan²⁹:** Definition of roles, responsibilities and general procedures for institutional reaction and alert, inventory of resources, coordination of operational activities and simulation for training, in order to safeguard life, protect property and restore normalcy to society as soon as possible after a dangerous phenomenon occurs. It consists of a standardized proposal for the organization of actions, people, services and resources available for disaster relief, based on risk assessment, 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 organizations called to intervene in the attention and establishes the system of coordination of the institutions, resources and means, both public and private, necessary to fulfill the proposed objective.
- 84. Risk management plan³⁰:** A coherent and orderly set of strategies, programs and projects, formulated to guide activities of preparation, risk identification, reduction or mitigation, prevention, anticipation and control of risks, and recovery in case of disaster. It offers the global and integrated framework, the detail of the global policies and strategies and the existing hierarchical and coordination levels for the development of specific, sectoral, thematic or territorial plans related to the different aspects of risk and disaster. By ensuring appropriate security conditions against the various existing risks and reducing potential material losses and social consequences resulting from disasters, the quality of life of the population is maintained and sustainability is increased.

²⁷ UNISDR (2011). Global Report on Disaster Risk (GAR).

²⁸ Adapted from Wikipedia, Business Continuity Management, Good Practice Guidelines 2008 Business Continuity Institute, A Management Guide to Implementing Global Good Practice in Business Continuity Management and Guide to Developing a Business Continuity Plan, Escuela Universitaria de Informática, Universidad Politécnica de Madrid, Thesis work by Laura del Pino Jimenez in 2007

²⁹ CRID - Controlled Vocabulary for Disasters (CVD). Online consultation (<http://vcd.cridlac.org/index.php>). Source: Lavell, A. et. al., (2003). Local Risk Management: Conceptual and Practical Insights. CEPREDENAC, UNDP.

³⁰ Ibid.

- 85. National Emergency or Contingency Plan:** For the purposes of applying the iGOPP, a National Emergency Plan is that which is provided for in the regulations, and which envisages scenarios of an emergency, contingency or disaster, which occupy or affect a large part or all of a national territory, and in which coordination is necessary, as well as the procedures and course of action to be taken between the different levels of government.
- 86. Disaster preparedness (preparations):** process of disaster risk management whose objective is to plan, organize and test the procedures and protocols of the society's response in case of disaster, ensuring adequate and timely care of affected people, as well as the rehabilitation of essential basic services, allowing the normalization of activities in the disaster affected area. Preparedness is achieved by monitoring events and defining risk scenarios, planning, organizing, training, resourcing and simulating the warning, evacuation, search, rescue, relief and humanitarian assistance actions to be performed in case of emergency and the subsequent physical, economic and social recovery activities
- 87. Contingent loans.** See "Contingent Credit".
- 88. Risk prevention³¹:** Measures and actions taken in advance to avoid the generation of new risks or to prevent their development and consolidation. It means working around threats, exposure and latent vulnerabilities. Seen in this way, risk prevention fits into Prospective Risk Management. Since absolute prevention is rarely possible, prevention has a semi-utopian connotation and must be seen in the light of considerations about acceptable risk, which is socially determined at its levels.
- 89. Financial products:** See "Financial instruments".
- 90. Financial protection³²:** Optimal combination of financial mechanisms or instruments for risk retention and transfer that allows ex post access to timely economic resources, which improves the response capacity to the occurrence of disasters (minor and recurrent events and major disasters of low recurrence) and protects the fiscal balance of the State.
- 91. Economic reactivation.** State-driven process to restore livelihoods, productive dynamics, business activity and necessary infrastructure linked to the economic activity of a community that has been affected by the occurrence of a disaster.
- 92. Reinsurance:** It is a new contract through which an insurer cedes, partially or totally, the coverage of a risk that had already been covered in order to reduce the amount of its possible loss, without modifying the agreement already established between the insurer and its client.
- 93. Reconstruction:** Stage of recovery that corresponds to the process of restitution and reinforcement of affected constructions and repair of physical damage to buildings, infrastructure and production centers after a disaster.
- 94. Recovery³³:** Process of reestablishing acceptable and sustainable living conditions through the rehabilitation and reconstruction of infrastructure, goods and services destroyed, interrupted or deteriorated in the affected area, and the economic and social reactivation of the community under conditions of lower risk than those that existed before the disaster.

³¹ Ibid.

³² Ghesquiere y Mahul, (2010). Financial Protection of the State against Natural Disasters, A Primer, The World Bank, Latin American and the Caribbean Region, Finance and Private Sector Development, Sustainable Development Network, September 2010

³³ CRID - Controlled Vocabulary for Disasters (CCD). Online consultation (<http://vcd.cridlac.org/index.php>). Source: Lavell, A. et. al., (2003). Local Risk Management: Conceptual and Practical Insights. CEPREDENAC, UNDP

- 95. Disaster risk reduction³⁴:** Process of disaster risk management 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.
- 96. Optimal rule of accumulation and expenditure.** That guideline or method that makes it possible to size up the budgetary resources that must be allocated annually to DRM funds, in such a way as to allow for the accumulation of resources over time in accordance with the country's needs.
- 97. Regional.** For the purposes of applying the iGOPP, it corresponds to the territory occupied by two or more countries with characteristics that are common to them such as climate, orography, resources, etc. Or, they are linked by reciprocal interests. It is usually used to refer to Central America, South America, Andean countries, the Caribbean, etc.
- 98. Rehabilitation:** A stage of recovery that corresponds to the temporary restoration of vital services interrupted or deteriorated by the disaster. It is a temporary solution, not a definitive one, since the definitive one should ensure that the conditions of vulnerability that gave rise to the disaster are not recreated. It is a stage during which the attention of the population is continued, but in which the functioning of vital lines, such as energy, water, roads and communications, and other basic services such as health and food and provisions are restored.
- 99. Catastrophic risk reserves³⁵:** Correspond to financial reserves that are constituted to cover risks derived from catastrophic events, characterized by their low frequency and high severity.
- 100. Resilience³⁶:** The ability of a system and its components to anticipate, absorb, adapt to or recover from the effects of a hazardous phenomenon, in a timely and efficient manner, including by ensuring the preservation, restoration or enhancement of its essential basic structures and functions.
- 101. Response³⁷:** Stage of attention that corresponds to the execution of actions planned in the preparation stage and which, in some cases, have already been preceded by enlistment and mobilization activities, motivated by the declaration of different states of alert. It corresponds to the immediate reaction for the timely attention of the population.
- 102. Risk retention:** Corresponds to the component of the financial protection strategy that aims to provide resources to meet the expenses associated with recurrent and less severe events, as well as the first layer of severe events, through own resources and those from credits. It includes the set of financial tools adopted by an entity to directly compensate possible losses that may occur due to a disaster. Budget reallocations, emergency and disaster funds and contingent credits are typical examples of this type of tools.

³⁴ Ibid.

³⁵ Decree 2973 of 2013 of the Ministry of Finance and Public Credit of the Republic of Colombia

³⁶ IPCC, (2012). "Summary for Policymakers" in the Special Report on Managing the Risks of Extreme Hydrometeorological Events and Disasters to Enhance Adaptation to Climate Change [edition by C. B. Field, C. B., V. Barros, T. F. Stocker, D. Qin, D. J. Dokken, K. L. Ebi, M. D. Mastrandrea, K. J. Mach, G. -K. Plattners, S. K. Allen, M. Tignor, and P. M. Midgley]. Special Report from IPCC Working Groups I and II, Cambridge University Press, Cambridge, UK and New York, United States of America, pp. 1-19.

³⁷ CRID - Controlled Vocabulary for Disasters (CCD). Online consultation (<http://vcd.cridlac.org/index.php>). Source: Lavell, A. et. al., (2003). Local Risk Management: Conceptual and Practical Insights CEPREDENAC, UNDP.

- 103. Disaster risk³⁸:** The likelihood of serious disruption of the normal functioning of a community or society due to hazardous physical phenomena interacting with vulnerable social conditions, resulting in widespread adverse human, material and economic or environmental effects that require immediate emergency response to meet essential human needs, and which may require external support for recovery.
- 104. Budget item.** It is a numerical code that identifies and describes in a general way the concept of Expenditure (Operation, Debt, Investment).
- 105. Insurance:** These are contracts that help reduce economic uncertainty about the future. In this way it is a contract (policy) signed with an insurance company in which a person or institution commits to pay a certain amount of money (premium), through which a future payment is guaranteed against the eventuality that some circumstance occurs for which the insurance has been taken.
- 106. Indemnity insurance³⁹.** Those contracts that offer the insured sufficient financial compensation to place him in the same situation as he was immediately prior to the materialization of the event for which he was insured, having as compensation limit the amount of the insured sum.
- 107. Parametric insurance⁴⁰:** Insurance that offers coverage against catastrophic risks, where the indemnifications are based on the intensity of the event (for example, the speed of hurricane winds, the magnitude of the earthquake or the volume of precipitation), on the geographic extension of the affectation and/or on the amount of damages and losses caused by the event, calculated by a predetermined model. Unlike traditional insurance that requires an on-site assessment of individual losses; parametric insurance assesses losses through a predetermined methodology of exogenous variables, both for the insured and the insurer. Parametric insurance helps limit the financial impact of devastating events and offers immediate outlays when a loss occurs and a policy is activated. Parametric insurance coverage can be provided through an insurance or reinsurance contract, as well as through the issuance of a catastrophe bond.
- 108. Basic services:** Those services that are necessary to satisfy the primary needs of any settlement, such as drinking water, drainage, medical assistance, public lighting, electricity, gas, telephone, public security, education, etc.
- 109. Public Services (Utilities).** Those activities performed by a state body, or a private one but subject to the applicable regulations, in order to provide services to the general population to satisfy a certain public need.
- 110. Subsidiarity (principle of):** in its broadest definition, it states that a matter should be resolved by the authority (regulatory, political or economic) closest to the subject of the problem.
- 111. Dangerous substances.** See "Hazardous Materials".

³⁸ IPCC, (2012). "Summary for Policymakers" in the Special Report on Managing the Risks of Extreme Hydrometeorological Events and Disasters to Enhance Adaptation to Climate Change [edited by C. B. Field, C. B., V. Barros, T. F. Stocker, D. Qin, D. J. Dokken, K. L. Ebi, M. D. Mastrandrea, K. J. Mach, G. -K. Plattners, S. K. Allen, M. Tignor, and P. M. Midgley]. Special Report of IPCC Working Groups I and II, Cambridge University Press, Cambridge, UK and New York, USA, pp. 1-19

³⁹ MHCP and WB, 2015

⁴⁰ CCRIF - "Parametric Insurance" Fact Sheet.

- 112. Risk Transfer:** Corresponds to the component of the financial protection strategy that aims to provide resources to address severe events. It includes the set of financial instruments that allow transferring the financial consequences of a particular risk from one party to a third party (capital market, or insurance and reinsurance market) through a contract, by which an entity will obtain resources from the other party after a disaster occurs in exchange for the prior payment of an amount agreed upon by both parties (premiums, etc.) Some of these instruments may be indemnity insurance, parametric insurance and catastrophe bonds.
- 113. Collectively transfer the risk of a portfolio of assets.** The insurance of a considerable and diverse amount of goods or fixed assets which allows taking advantage of the benefits of diversification (lower cost, better terms and conditions).
- 114. Last fiscal year or effective fiscal year.** For the purposes of lifting the iGOPP, the current fiscal year should be considered, that is, the year in which the iGOPP is being applied. See "Fiscal year".
- 115. Territorial management units:** See "Territorial levels".
- 116. Fiscal period:** See "Fiscal year".
- 117. Vulnerability⁴¹:** Internal risk factor of an element or group of elements exposed to a threat. It corresponds to the physical, economic, political or social predisposition or susceptibility of a community to be affected or to suffer adverse effects in the event of a dangerous phenomenon of natural, socio-natural or anthropogenic origin. It also represents the conditions that make impossible or difficult the subsequent autonomous recovery. The differences in vulnerability of the social and material context exposed to a dangerous phenomenon determine the selective character of the severity of its effects. System of conditions and processes resulting from physical, social, economic and environmental factors that increase the susceptibility of a community to the impact of hazards.
- 118. Fiscal vulnerability of the budget.** The susceptibility of the budget, due to the demand for non-programmed resources, to the occurrence of disasters caused by natural phenomena.
- 119. Expected Annual Loss (EAL):** See "Annualized Loss Expectancy (ALE)".

⁴¹ CRID: Controlled Vocabulary for Disasters (CCD). Online consultation (<http://vcd.cridlac.org/index.php>). Source: Lavell, A. et. al., (2003). Local Risk Management: Conceptual and Practical Insights CEPREDENAC, UNDP