

# Index of Governance and Public Policy in Disaster Risk Management (iGOPP): National Report for Trinidad and Tobago

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## Acronyms

ACS	Association of Caribbean States
ASCE/SEI	American Society of Civil Engineers
CCA	Climate Change Adaptation
CCRIF	Caribbean Catastrophe Risk Insurance Facility
CDEMA	Caribbean Disaster Emergency Management Agency
CFP	Critical Facilities Protection
DMU	Disaster Management Units
DP	Disaster Preparedness
DRM	Disaster Risk Management
EIA	Environmental Impact Assessment
EMA	Environmental Management Authority
FP	Financial protection
GF	General Framework of Governance for DRM
iGOPP	Index of Governance and Public Policy in Disaster Risk Management
LAC	Latin American and Caribbean
MEEI	Ministry of Energy and Energy Industries
MoF	Ministry of Finance
MOWT	Ministry of Works and Transport
NERO	National Emergency Relief Organization
NICA	National Institutional Capacity Assessment
NOSCP	National Oil Spill Contingency Plan
ODPM	The Office of Disaster Preparedness and Management
OSHA	Occupational Safety and Health Administration
RC	Recovery Planning
RI	Risk Identification and Knowledge
RR	Risk Reduction
TEMA	Tobago Emergency Management Agency
TSTT	Telecommunications Services
TTMS	The Trinidad and Tobago Meteorological Service
T&T	Trinidad and Tobago
T&TEC	Electricity Commission
WASA	Water and Sewage Authority
WB	World Bank



## 1. Executive Summary

The iGOPP<sup>1</sup> overall score for Trinidad and Tobago is **11,53%**<sup>2</sup>, which points to a “Low” level of favorable governance conditions for DRM in the country, according to the iGOPP classification. This result is influenced by two main factors:

- the absence of a comprehensive disaster risk management (DRM) legislation, since the Disasters Measures Act (*Ch.16:50, Act 47 of 1978*) – the only regulation governing disaster related issues at national level – is focused on disaster response; and
- a general absence of DRM responsibilities explicitly defined on sectorial and territorial regulations.

Despite this low score, it is important to acknowledge the steps the country has taken towards more modern disaster risk reduction/management approaches. For instance, the Office of Disaster Preparedness and Management (ODPM) was established by Cabinet Minute in 2006, replacing the National Emergency Management Agency. Also, the country has been a participating state of the Caribbean Disaster Emergency Management Agency (CDEMA) and the Association of Caribbean States (ACS) since the inception of these organizations. However, these processes still have not been accompanied by the adoption of comprehensive DRM regulations.

Another important tendency observed in Trinidad and Tobago is the mainstreaming of DRM criteria into development policy. The National Development Strategy “Vision 2030” explicitly includes references to DRM and Climate Change Adaptation, although at the time of the iGOPP application, this policy was still a draft under consultation.

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<sup>1</sup> The iGOPP methodology is based on written evidence of policy instruments and regulations for natural disaster risk management at a point in time, independent of actions taken by a country towards disaster risk management. In this sense, iGOPP does not measure the disaster risk management performance of a country, but whether the country has the legal, institutional, and budgetary conditions (i.e. governance) in place that favor the implementation of effective public policies in disaster risk management.

<sup>2</sup> Based on the disaster risk management governance information collected in Trinidad and Tobago until October 2017.

The following tables summarize the scores for each iGOPP indicator both by components of DRM public policy reform and by public policy phases.

Table 1. iGOPP Scores by Component of Public Policy Reform. (2017)

1	General Governance Framework for DRM	8%
2	Risk identification and Knowledge	10%
3	Risk Reduction	32%
4	Disaster Preparedness	15%
5	Recovery Planning	0%
6	Financial Protection	3%

Graphic 1: iGOPP Scores by Component of Public Policy Reform. (2017)

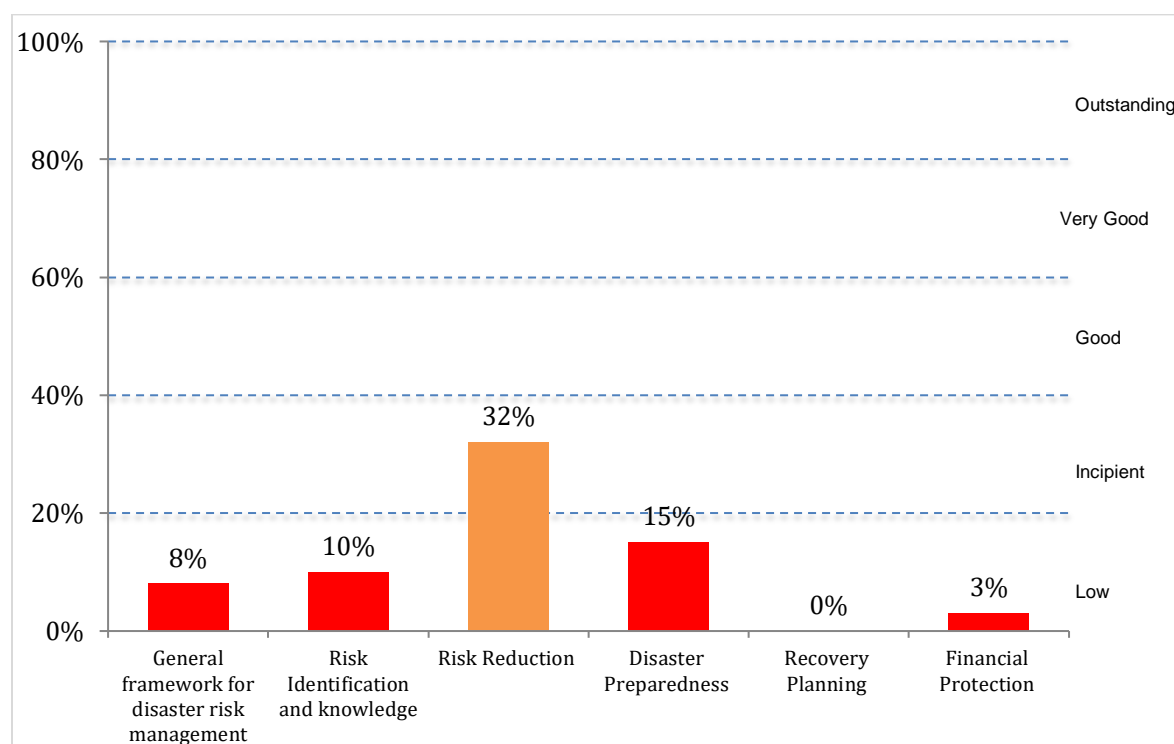
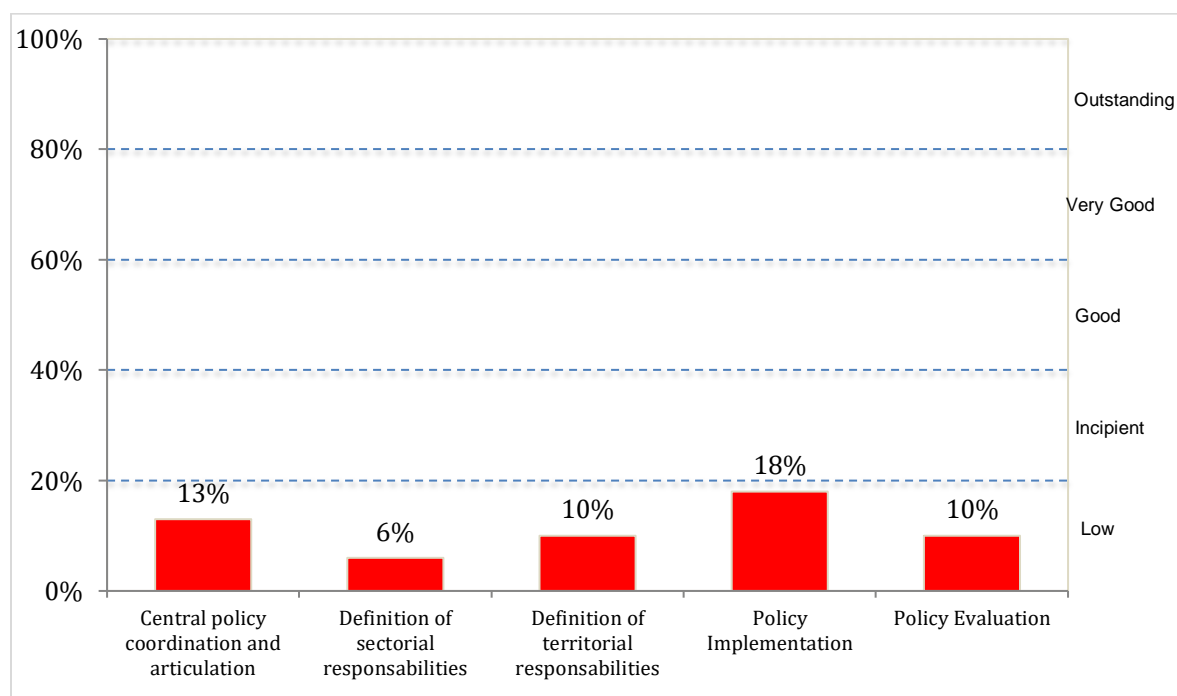


Table 2. iGOPP Scores by Public Policy phase. Trinidad & Tobago (2017)

1	Central Policy Coordination and Articulation	13%
2	Definition of Sectorial Responsibilities	6%
3	Definition of Territorial Responsibilities	10%
4	Policy implementation: Evidence of Progress in Implementation	18%
5	Policy Evaluation: Monitoring, Accountability and Participation	10%

Graphic 2: iGOPP Scores by Public Policy phase. Trinidad & Tobago. (2017)



As seen on Table 1, the score for DRM Governance General Framework (GF) is 8%, which rates this aspect as “Low”. Most key indicators related to best practices for DRM regulatory frameworks at central, sector and territorial level are not met.

In the Risk Identification and Knowledge (RI) component, also rated Low with a score of 10%, there is some compliance regarding Evidence of Progress in Implementation (33%)

and Definition of Sectorial Responsibilities (17%). For example, DRM has been included in the education curricula at both primary and secondary levels, which is a step forward towards developing a culture of prevention and sustainability. However, no indicators have been met in the other three public policy phases (Coordination and Articulation at Central Level, Definition of Territorial Responsibilities, and Policy Evaluation) for this component.

In terms of the Risk Reduction (RR) component, which attained the highest score (32%, incipient) it is important to highlight that the country has defined acceptable risk criteria for seismic hazard and strong winds. Also, the Energy sector regulations establish responsibilities in terms of risk reduction. Still, most sector regulations have not defined those responsibilities.

Surprisingly, considering the disaster response orientation of the Disasters Measures Act, the Disaster Preparedness and Response (DP) component does not have the highest score among the iGOPP policy reform components. On the contrary, it ranks “Low” with only 15% of compliance. This implies that any DRM policy reform in the country should also consider adjustments in disaster preparedness and response legal framework, as the current Act does not provide robust governance foundation for emergency preparedness-related activities.

The Recovery Planning (RC) component has the lowest score: 0%. This matches the general situation in the Latin American and Caribbean region, with a historical absence of RC considerations in the legal frameworks, except for recent and modern legislation in some countries. This does not mean that recovery or, at least, physical reconstruction is not a process regularly carried out by national institutions. However, recovery planning is remarkably absent in the vision of disaster risk management as a comprehensive process.

Finally, the Financial Protection (FP) component has a score of 3%, corresponding to a “Low” level of compliance. Evidence was found of risk transfer instruments available to the country from binding agreements with regional agencies and/or mechanisms. For instance, insurance policies covering different hazards through the CCRIF. Nevertheless, the country lacks a national fund enabled for financing disaster response activities. Also, no evidence of the existence of a legal mandate to insure critical public infrastructure was found.

## **2. Recommendations for policy reform**

The following recommendations for policy reform in the short, medium, and long term arise from the analysis of the iGOPP results summarized above and detailed in the report:

### Short term

1. Undertaking a legal reform process to update the *Disaster Measures Act Ch.16:50, Act 47 of 1978 LRO 1/2006*, or adopt a new bill, to provide a comprehensive general framework addressing the different components of Disaster Risk Management. This reformed Act or new bill should minimally include:
  - a. The definition of responsibilities for Disaster Risk Management and Climate Change adaptation for all Ministries, Departments and Agencies, including public services companies (MDA) and local governments, in the scope of their mandates and jurisdiction;
  - b. The responsibility of all MDA for planning, budgeting and controlling of all the DRM components, in the framework of their attributions;
  - c. The articulation of the new DRM act with climate change, territorial planning and water management regulations;
  - d. Mandates related to the relocation of human settlements located in risk zones;
  - e. The responsibility for control entities to conduct monitoring, audit and evaluation of the compliance with DRM responsibilities established by the Act, as well as the quality of the implementation;
  - f. The responsibility of the Ministry of Finance for the development and coordination of a financial strategy or policy to guide the financial management of disaster risk in the country;
  - g. The mandatory development and implementation of contingency, emergency and service continuity plans for every Ministry, Department and Agency;

- h. The mandatory implementation and operation of surveillance and early warning systems;
  - i. The mandate to implement regulations and mechanisms to make information about risk, disaster and climate change available;
  - j. The mandatory implementation of control, audit and evaluation processes during and after disasters;
  - k. The designation of an entity responsible for the definition of common methodologies and guidelines for disaster risk and climate change analysis, as well as for providing technical assistance to MDA and municipalities to apply those methodologies;
  - l. Explicit responsibility for the implementation of a national DRM information system and databases with information about the impacts of disaster;
  - m. The definition of the compulsory responsibility of all public service provider companies to reduce disaster risk in the scope of their operations;
  - n. The mandatory formulation of emergency or contingency plans at national, sectorial and territorial level, as well as the implementation of drills and simulation exercises;
  - o. The establishment of specific criteria for the subsidiary support between different government levels, namely under which circumstances and procedures the central government operates in support of decentralized levels;
  - p. The mandate for institutions responsible for DRM to implement specific mechanisms for civil society, social and non-governmental organization participation;
  - q. The definition of specific responsibilities, functions and institutional arrangements for the planning and implementation of ex-ante and ex-post recovery actions.
2. Implementing a comprehensive DRM/CCA policy reform, to complement the *Disaster Measures Act*. Specific sectorial policy reform processes (updating or enactment of sectorial regulations) should entail:

- a. Including DRM and CCA as part of the municipal responsibilities and functions in regulations to decentralize responsibilities regarding development planning, territorial planning, and land use;
- b. The mandate for developing and maintaining observation and monitoring networks for all the hazards;
- c. Mandating regular quality assessments of the technical and scientific processes, methodologies and standards, which form part of the existing regulations governing research, monitoring and dissemination of information about hazards;
- d. Including explicit objectives, results, indicators, and targets related to DRM in Climate Change, territorial planning, and water resources management regulations;
- e. Preparing methodological guidelines for the mandatory inclusion of disaster risk and climate change analysis and measures in all phases of the public investment process;
- f. Establishing specific regulations for the design and adoption of risk reduction standards of essential buildings or critical infrastructure through measures of reinforcement or replacement;
- g. A mandatory building code with supporting institutional framework to protect vulnerable households;
- h. Implementing an inter-institutional organization at the national level responsible for the coordination of the process of preparedness and response as well as a national mechanism or instance for crisis management at the highest political level;
- i. Defining criteria for subsidiary support between levels of government, based on the decentralization and subsidiary principles;

- j. The mandatory formulation of emergency, contingency and continuity plans at the national, sectorial, public utilities and territorial level, the implementation of drills and simulation exercises;
  - k. Specific responsibilities, functions and implementation structures for ex-ante disaster recovery planning and ex-post recovery.
- 3. Including explicit DRM and CCA objectives, results, and indicators in the updating/revision of the *National Development Strategy 2016-2030 -Vision 2030*, not approved at the time of the application of iGOPP.
- 4. Designing and implementing a budgetary instrument (budgetary label or other) to identify the allocations related to disaster risk management and climate change adaptation activities is also recommended.
- 5. Allocating resources for all DRM components in sectors and public utilities company budgets, that can be identified through budgetary instruments.
- 6. Developing a financial strategy or policy to guide the financial management of disaster risk in the country, within the current mandate scope for the Ministry of Finance, informed by the growing experiences in similar undertakings in the LAC region.
- 7. Evaluating the creation of a national fund enabled for financing or co-financing ex-ante DRM measures and investments.
- 8. Evaluating the backing of a contingency credit is recommended, explicitly tied to the financing of emergent expenses in disaster situations.
- 9. Implementing mechanisms and regulations for making available the information about risk, disasters, and climate change.
- 10. Promoting and advocating for:
  - a. The adoption of mandatory national safety standards/code for earthquake resistant design of buildings;



- b. The adoption of standards for the technical DRM aspects of construction, including special design parameters for essential buildings and critical infrastructure;
- c. The implementation of mechanisms for civil society, social and non-governmental organization participation in all DRM processes.

Medium term

1. Promoting regulatory reforms for protecting DRM professional careers through Civil Service Regulations.
2. Including knowledge creation and management on disaster risk and climate change in science, technology, and innovation regulations.
3. Reforming or adopting regulations for DRM research and studies to include the frequency of occurrence of natural hazardous events and their associated levels of intensities;
4. Promoting and advocating for the inclusion of DRM and CCA responsibilities within key sectorial and territorial regulations, particularly in environmental management, watershed planning and management, land use planning.
5. Enacting specific regulations that include the insurance of critical public infrastructure.
6. Promoting reforms of the national control system to include recovery within the framework of the controlling entities:
7. Adopting methodological guidelines for public investments planning, operation, and control, that include mandatory identification of risk reduction and climate change adaptation measures, for ensuring resilience and continuity of the projects.
8. Promote the acquisition of insurance for critical public infrastructure.

Long term

1. Designing and implementing a financial protection structure for the agricultural sector.

### 3. Introduction

The Index of Governance and Public Policy in Disaster Risk Management (iGOPP) has been designed to evaluate the formal, and therefore provable, existence of a series of legal, institutional and budgetary conditions that are considered fundamental for the processes of disaster risk management to be implemented in a country.

The iGOPP does not replace or substitute other indicators related to the subject, but rather complements the different methodologies that exist for the comprehensive evaluation of risk and disaster risk management.

The practical use of the iGOPP consists in identifying the voids in the legal, institutional and budgetary framework that may exist in a country. It helps to focus a country's efforts (and the IDB's support, when applicable) on relevant aspects of governance aimed at strengthening the disaster risk management public policy options in the countries of Latin America and the Caribbean.

The iGOPP is a composite or synthetic indicator that allows for verifying whether a country possesses the appropriate governance conditions for implementing a public policy for comprehensive disaster risk management. The index makes it possible to quantify to what extent the actions, policies and reforms of the government and its institutions are consistent with the objectives, results and processes of disaster risk management.

The design of the iGOPP is based on two conceptual pillars:

- The Disaster Risk Management conceptual framework and its main processes
- The Governance conceptual framework and public policy phases

**Disaster Risk Management** (DRM) refers to all the processes to design, apply and evaluate strategies, policies and measures aimed at improving the understanding of disaster risk, to foster disaster risk reduction, retention and transfer, and to promote the continuous improvement of preparedness, response and recovery practices for disaster scenarios, with

the explicit objective of increasing human safety, well-being, quality of life, resilience and sustainable development. It includes prospective, corrective and reactive risk management. DRM constitutes an indispensable development policy for ensuring territorial sustainability and security and collective rights and interests, and therefore is intrinsically associated with the planning of safe development and sustainable territorial environmental management in all levels of government.

Within the conceptual framework of the iGOPP, DRM is approached as a set of processes aimed at adopting and implementing policies, strategies and practices to reduce risk and its potential effects, and is analyzed based on 6 components that are necessary in order for it to be effectively implemented. The selection of these components is based on the experience of the political reform processes developed by the Bank:

1. General Framework of Governance for DRM (GF): This refers to the regulatory foundation suitable for the organization and coordination of DRM in each country, which includes both the specific regulations in DRM and the enabling territorial and sectorial regulations that guarantee their viability. Likewise, the availability of resources to implement the DRM processes, and the establishment of adequate data and citizen participation mechanisms, as well as mechanisms for the monitoring, evaluation and follow-up of said processes.
2. Risk Identification and Knowledge (RI): This is the process of DRM 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 the consequences and contains both objective and scientific interpretations as well as social and individual perception interpretations. The conceptual framework of the iGOPP references the existence of a regulatory, institutional and budgetary framework that facilitates the continuous development of risk analysis, a tool that makes it possible to identify risk factors and causes and evaluate the probable damages and losses to be caused by natural events.

3. Risk reduction (RR): This is the DRM process focused on minimizing vulnerabilities and risks in a society, to avoid (prevention) or limit (mitigation) the adverse impact of hazards, within the broad context of sustainable development. This process includes the prospective and corrective interventions of disaster risk, and in order for it to be appropriately implemented it is necessary to have a good foundation of data on the risk conditions. The conceptual framework of the iGOPP references the existence of a regulatory, institutional and budgetary framework that enables the timely and appropriate intervention in the causes that generate the conditions of vulnerability.
4. Disaster Preparedness (DP): This is the DRM process whose objective is to plan, organize and test the society's response procedures and protocols in the event of a disaster, guaranteeing appropriate and timely assistance to affected persons, facilitating the normalization of the essential activities in the zone affected by the disaster. Preparedness is carried out through the monitoring of events and the definition of risk scenes, the planning, organization, training, resources and simulation for actions of alert, evacuation, search, rescue, aid, and humanitarian assistance that must be made in case of emergency. The conceptual framework of the iGOPP references the existence of a regulatory, institutional and budgetary framework that enables the implementation of mechanisms for a quick and appropriate response to an event or imminent event of an emergency situation.
5. Recovery Planning (RC): Ex-ante process focused on preparation for a quick and appropriate reestablishment of acceptable and sustainable life conditions through the rehabilitation, repair or reconstruction of infrastructure, goods and services that were destroyed, interrupted or deteriorated in the affected area, and the reactivation or impulse of the economic and social development of the community under conditions of lower risk than what occurred before the disaster. The conceptual framework of the iGOPP references the existence of a regulatory, institutional and budgetary framework that enables the implementation of mechanisms to reestablish means to life, basic services and infrastructure in such a way that reduces the improvisation, inefficiency and ineffectively in the post-disaster recovery processes.
6. Financial Protection (FP): This is the DRM process that seeks the optimal combination of financial mechanisms or instruments for the retention and transfer of risk in order to

have ex-post access to timely economic resources, which improves the response capacity to disasters (smaller and recurrent events and large infrequent disasters) and protects the fiscal balance of the State<sup>3</sup>. The conceptual framework of the iGOPP references to the existence of a regulatory, institutional and budgetary framework that enables the design and implementation of a suitable structure for the retention and transfer of disaster risk.

On the other hand, **Governance** refers to the capacity to govern a public problem. This capacity manifests itself in the ongoing and stable management on behalf of the governments and administrations but also of the sectorial and private stakeholders of a country. As the capacity to govern a public problem increases, there should be an observable increase in the effectiveness of the adopted decisions and implemented policies, thus helping to prevent a greater number of negative consequences that result in the event of a disaster.

Within the conceptual framework of the iGOPP, governance is approached from the perspective of the phases of the public policy process, namely:

#### A. Inclusion on the governmental agenda and in policy-making

The inclusion on the policy agenda is largely a response to the degree of the public problem and to the political and level of political and social pressure exerted on the institutions. In order for the political leadership and social and economic pressure to give rise to substantive action, it may be necessary for the political realm to make significant progress toward defining the responsibilities of the different stakeholders involved in the analysis process. The iGOPP analyzes the agenda inclusion by verifying the existence of appropriate legal frameworks for DRM, or the inclusion of the subject in sectorial and territorial regulations. The iGOPP analyzes the inclusion on the agenda and formulation of public policy at three

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<sup>3</sup> 1 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

levels: (i) Central policy coordination and articulation; (ii) Definition of sectoral responsibilities; and (iii) Definition of territorial responsibilities.

## B. Policy implementation

The iGOPP analyzes evidence of implementation by verifying the actions taken or the availability of resources allocated to the parties responsible for implementing the DRM policy, in its different components and governmental levels.

## C. Policy Evaluation

The iGOPP analyzes public policy evaluation by looking at the existence of monitoring and accountability mechanisms —as well as citizen participation and data mechanisms.

Both dimensions (DRM and Governance/Public Policy) are shown on the iGOPP matrix structure in five columns that analyze the public policy phases, and six rows that analyze the components of the public policy reform process in DRM. This matrix structure is expressed in 30 cells that make up a variable number of binary indicators.

The index scoring goes from 0 to 100 and uses the following classification system:

Table 3: iGOPP scoring system

Score (%)	Rating
91 - 100%	Outstanding
71 - 90%	Very good
41 - 70%	Considerable
21 - 40%	Incipient
0 - 20%	Low

Table 4: iGOPP, Classification and Codification

Public Policy Phases →	1			2	3
	Inclusion on the Governmental Agenda and in Policy Making			Policy implementation	Policy evaluation
Components of public policy reform in DRM ↓	Central policy coordination and articulation	Definition of sectoral Responsibilities	Definition of territorial Responsibilities	Evidence of Progress in Implementation	Monitoring, accountability and participation
<b>General Framework of Governance for DRM (GF)</b>	GF-1A	GF-1B	GF-1C	GF-2	GF-3
<b>Risk identification (RI)</b>	RI-1A	RI-1B	RI-1C	RI-2	RI-3
<b>Risk reduction (RR)</b>	RR-1A	RR-1B	RR-1C	RR-2	RR-3
<b>Disaster preparedness (DP)</b>	DP-1A	DP-1B	DP-1C	DP-2	DP-3
<b>Recovery planning (RC)</b>	RC-1A	RC-1B	RC-1C	RC-2	RC-3
<b>Financial Protection (FP)</b>	FP-1A	FP-1B	FP-1C	FP-2	FP-3



#### 4. Institutional framework

Trinidad and Tobago is most frequently affected by hydro-meteorological hazards. These include flash and riverine floods as well as landslides. Most floods are localized but, on occasion, widespread riverine flooding causes disruption and losses to thousands of households. Urban 'dry' rivers and retaining walls form part of the infrastructure that help mitigate these events. Occasionally there are forest fires associated with dry spells and drought. Maximum damage to the twin-island state, associated with natural hazards, occurs with rare and severe disasters such as earthquakes<sup>4</sup> and hurricanes<sup>5</sup>.

Local engineering professionals design and apply international construction standards to public and private buildings. Construction best practice is voluntary. There is no mandatory building code<sup>6</sup> or oversight organization(s) to apply and ensure compliance. Much of the risk exposure to unregulated buildings, the housing sector and agriculture stems from the need to strengthen rural/urban planning as well as agricultural policy, legislation, regulations and the institutional structures. The Planning and Facilitation Act 10 of 2014 is a step towards redressing the situation. The Act has only been partly proclaimed and supporting institutional improvements are still to be implemented.

Disaster Risk Management in Trinidad and Tobago is coordinated by the Office of Disaster Preparedness and Management (ODPM). The ODPM was established by Cabinet Minute in 2006. The ODPM replaced the National Emergency Management Agency, which was preceded by the National Emergency Relief Organization (NERO). The country has also been a participating state of the Caribbean Disaster Emergency Management Agency (CDEMA) and the Association of Caribbean States (ACS) since the inception of these organizations.

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<sup>4</sup> In 1997 an earthquake swarmed off Tobago. CCRIF estimated US\$1.9 billion in losses. In 1766 a magnitude 7.9 earthquake destroyed the capital city; CCRIF estimated c. US\$40 billion in losses. Caribbean Catastrophe Risk Insurance Facility (CCRIF), *Trinidad and Tobago Country Risk Profile* (May 2013)

<sup>5</sup> 2017 Tropical Storm Bret causes widespread flooding and the loss of over 400 roofs. 1963 Hurricane Flora caused 20 deaths; CCRIF estimated US\$299 billion in losses. 1933 Hurricane #3 passes over South Trinidad. CCRIF estimated c.US\$55 billion in losses.

<sup>6</sup> See indicator RR-1B-3

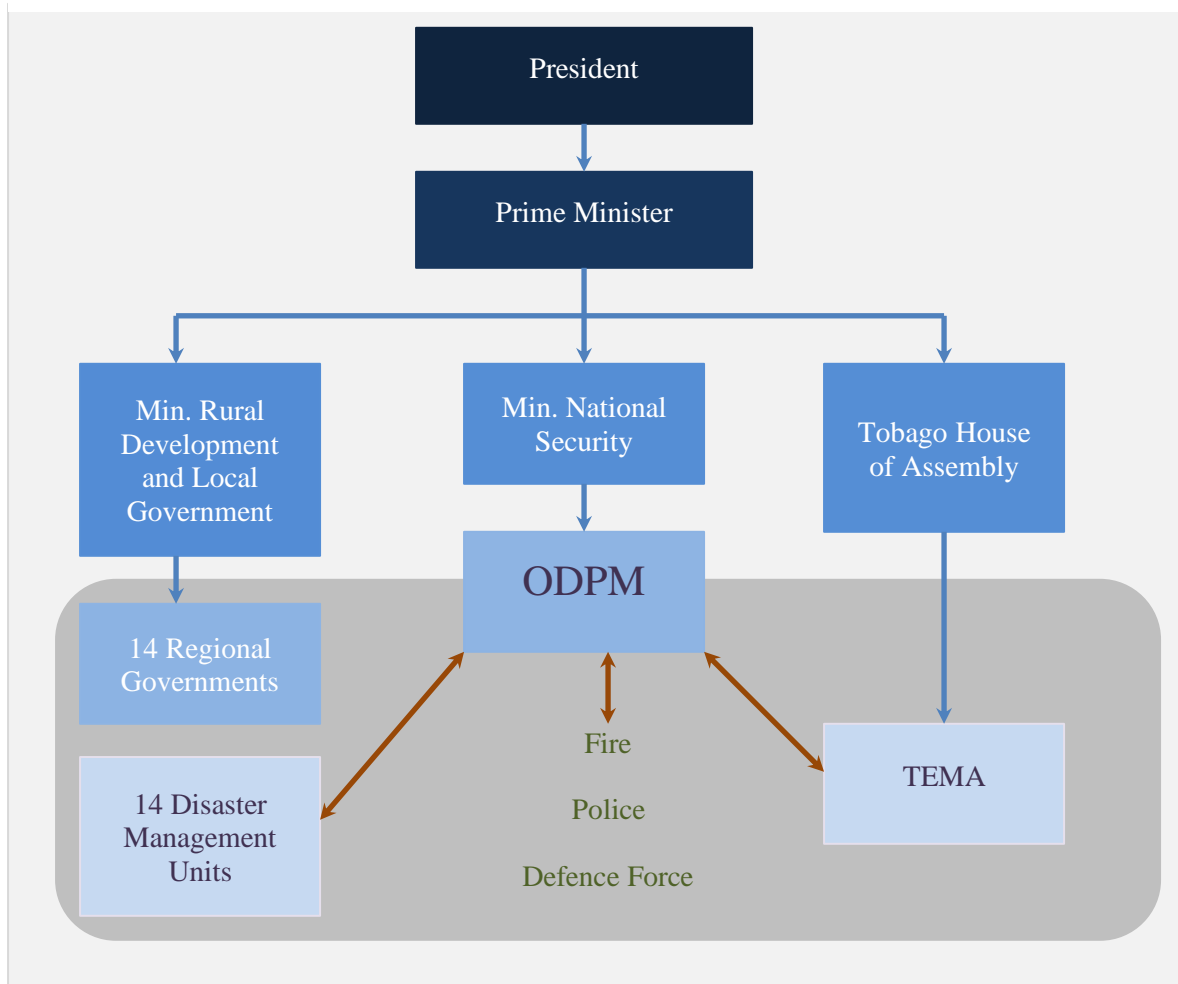
In Trinidad and Tobago, comprehensive disaster risk management policy and legislation are still to be developed. There is a Disasters Measures Act (*Ch. 16:50, Act 47 of 1978*) which is focused on disaster response. Neither this Act nor other sector or service regulations establish a comprehensive responsibility framework covering all DRM processes<sup>7</sup>.

At local level, the municipal response is managed through the Disaster Management Units (DMU) of the Regional Corporations. The Ministry of Rural Development and Local Government is the authority for the DMUs in the municipalities. In 1998, the Tobago House of Assembly established what would become the Tobago Emergency Management Agency (TEMA). The ODPM coordinates first responder agencies during and after national emergencies.

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<sup>7</sup> See indicator GF-1A-1

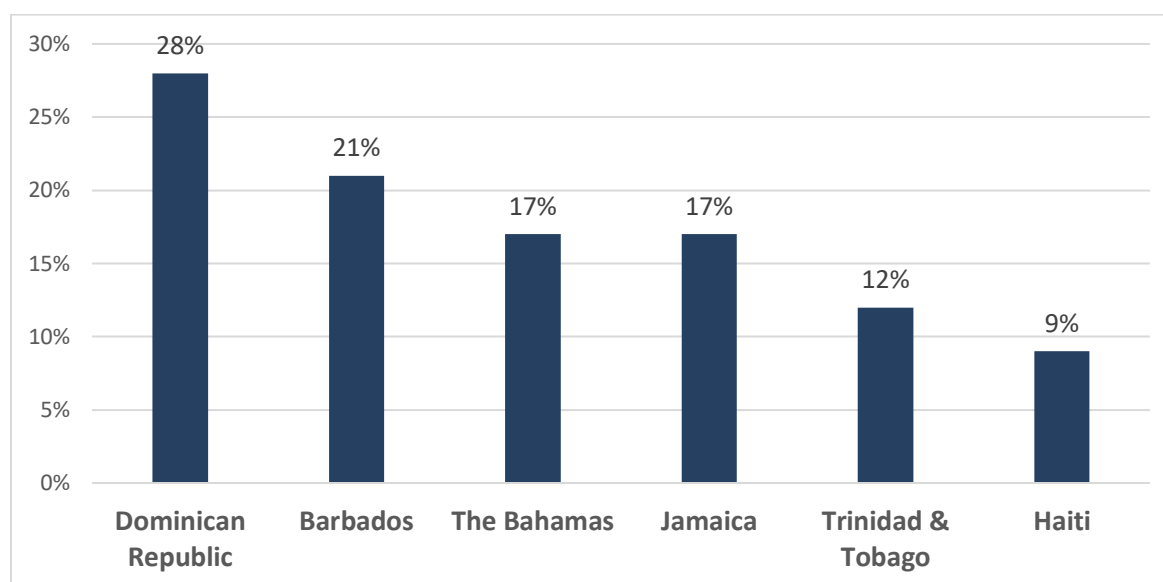
Figure 1: National Disaster Management System for Trinidad and Tobago



## 5. iGOPP overall score and breakdown by component

The iGOPP overall score for Trinidad and Tobago is **11,53%**, which points to a “Low” level of favorable governance conditions for DRM in the country, according to the iGOPP classification. Mexico is the country that tops the iGOPP ranking in Latin America and The Caribbean, with a score of 62%. Trinidad and Tobago’s score is not only far from Mexico’s, but it also ranks low among other Caribbean island countries (See Graphic 3).

Graphic 3: iGOPP scores of Caribbean countries



The following tables and graphs show the iGOPP compliance scores for each DRM component and for each public policy phase.

Table 5: iGOPP scores for Components of public policy reform in DRM. (2017)

1	General Governance Framework for DRM	8%
2	Risk Identification and Knowledge	10%
3	Risk Reduction	32%
4	Disaster Preparedness	15%
5	Recovery Planning	0%
6	Financial Protection	3%

Graphic 4: iGOPP Scores by Component of Public Policy Reform. (2017)

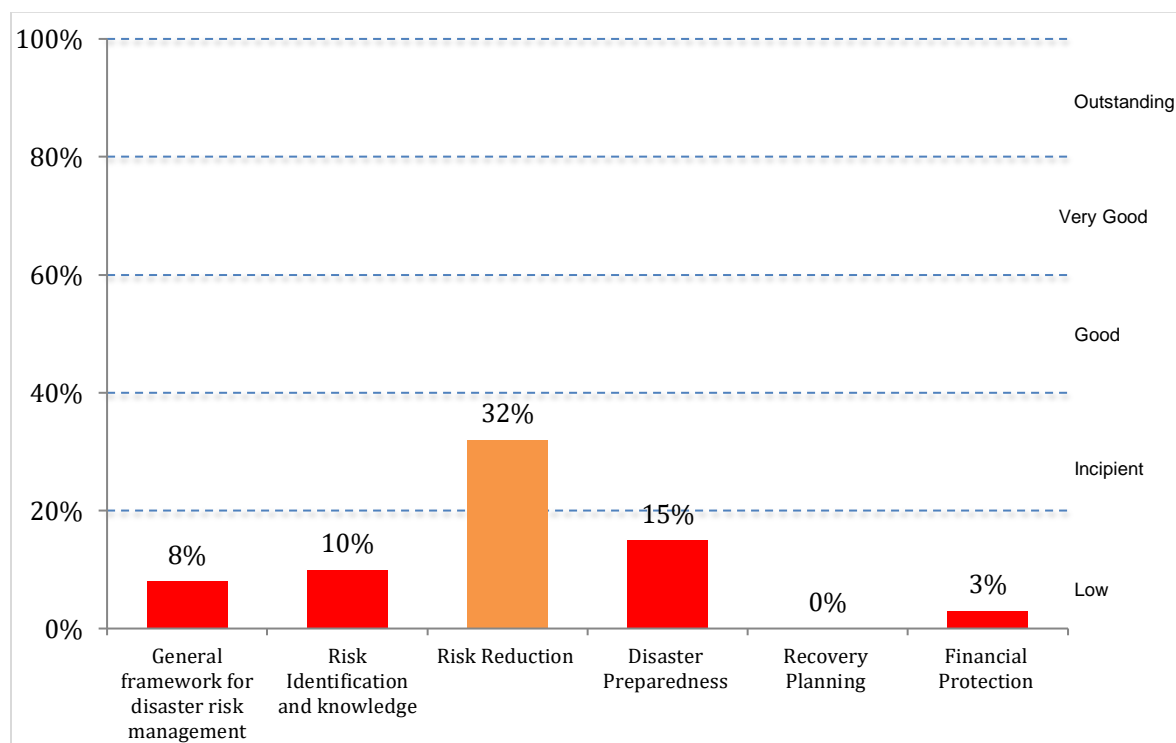
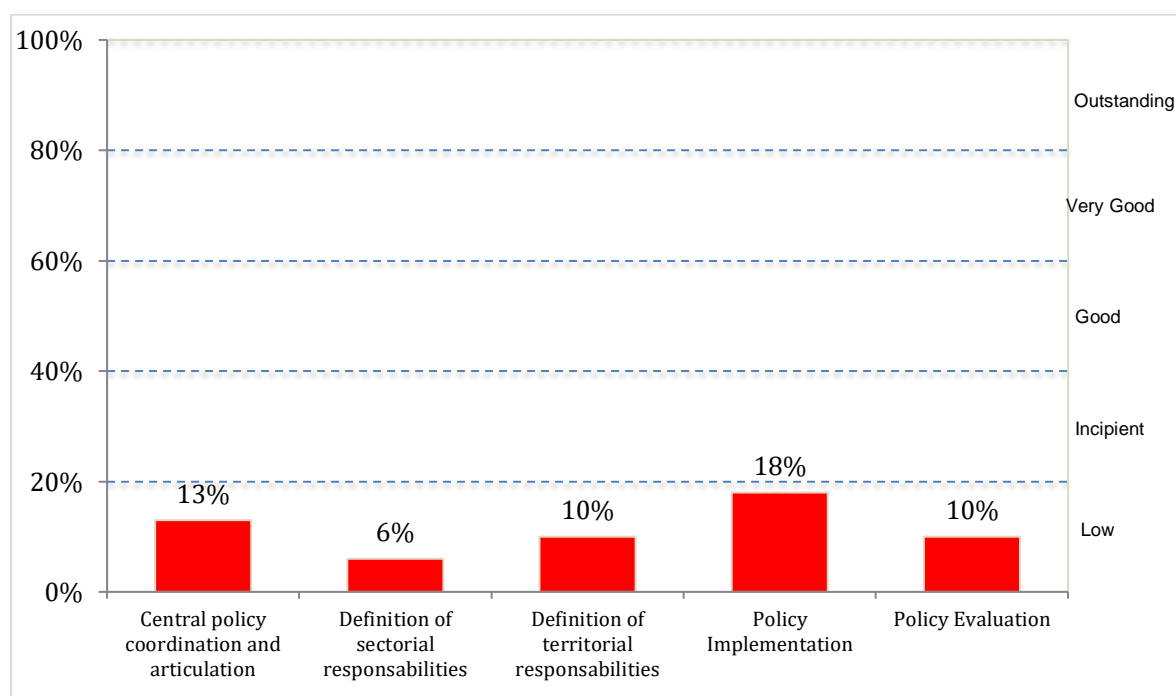


Table 6: iGOPP scores for Public policy phases. (2017)

1	Central Policy Coordination and Articulation	13%
2	Definition of Sectoral Responsibilities	6%
3	Definition of Territorial Responsibilities	10%
4	Policy implementation: Evidence of Progress in Implementation	18%
5	Policy Evaluation: Monitoring, Accountability and Participation	10%

Graphic 5: iGOPP Scores by Component of Public Policy Reform. (2017)



The following shows a *qualitative analysis of the indicators* for each component of the DRM organized by public policy phase: 1. Inclusion on the Governmental Agenda and in Policy-Making: 1.1. Central policy coordination and articulation, 1.2. Definition of sectorial responsibilities, 1.3 Definition of territorial responsibilities; 2. Policy Implementation: 2.1 Evidence of progress in implementation 3. Policy Evaluation: 3.1. Monitoring, accountability and participation.

## A. GENERAL FRAMEWORK OF GOVERNANCE FOR DISASTER RISK MANAGEMENT (GF)

*Result for this component: 8% (low)*

### Introduction:

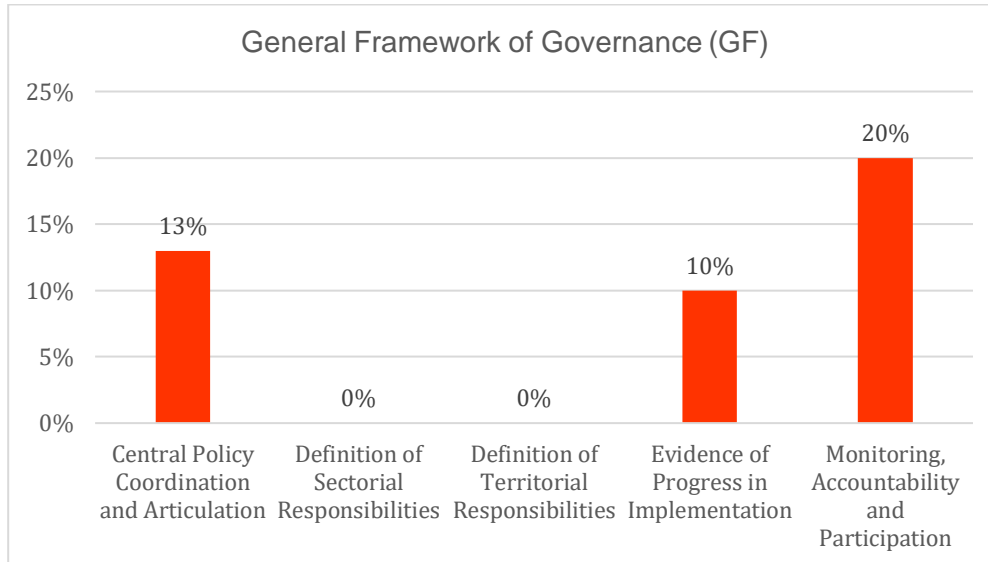
The indicators related to the Component “General Framework of Governance for DRM (GF)” fall under the "Low" range, with a completion score of **8%**.

For this component, the “Monitoring, Accountability and Participation” phase shows the highest level of completion with 20% ; the "Central Policy Coordination and Articulation" phase shows a 13% of indicators met and “Evidence of Progress in Implementation” phase a 10%. The three phases are ranking “Low”. In the “Definition of Sectoral Responsibilities” and “Definition of Territorial Responsibilities” phases no indicator was met.

Table 7: General Framework for Governance of DRM. iGOPP score by Public Policy Phase. (2017)

	Public Policy Phases	iGOPP score (%)
1	Central Policy Coordination and Articulation	13%
2	Definition of Sectoral Responsibilities	0%
3	Definition of Territorial Responsibilities	0%
4	Evidence of Progress in Implementation	10%
5	Monitoring, Accountability and Participation	20%

Graphic 6: General Framework of Governance for DRM.  
iGOPP score by Public Policy Phase. (2017)



The following is a description of the most significant achievements of the iGOPP analysis for this component as they relate to the three main public policy phases 1. Inclusion on the Government Agenda and in Policy-Making, 2. Policy Implementation, and 3. Policy Evaluation —at the different levels addressed by the iGOPP.

#### 1. Inclusion on the Governmental Agenda and in Policy-Making:

##### 1.1 Central policy coordination and articulation

Disaster Risk Management is not present in the national Central Policy and only preparedness and response have been regulated. There is no national regulation that establishes a framework of responsibilities for DRM in Trinidad and Tobago<sup>8</sup>. Although there are multiple regulations stating partial DRM responsibilities specific to a service or sector, no comprehensive national regulations integrating all the DRM processes and establishing responsibilities at all levels exist. The institutional framework – responsible for coordinating DRM in the country – has been established by the following regulations:

<sup>8</sup> See indicator GF-1A-1



- The Disaster Measures Act Ch.16:50, Act 47 of 1978 of Section 2(1) establishes that “...the President may by Proclamation declare that area a disaster area” and also gives powers of the President to establish regulations, immunity, compensation, and penalties.
- Cabinet Note in 2005 established the Office of Disaster Preparedness and Management (ODPM) with the responsibility of coordinating first responder agencies during and after national emergencies.
- The Tobago House of Assembly, Executive Council Minute No.64 of March 09, 1998 established the Tobago Emergency Management Agency (TEMA).
- A Cabinet Minute in 2008 established the Disaster Management Units in each municipality.

The lack of comprehensive DRM regulations and responsibilities affects several of the General Framework (GF) indicators, namely those related to the establishment of responsibilities to public institutions —beyond preparedness and response.

In terms of integration of DRM in the national development agenda, the National Development Strategy 2016-2030 comprises concrete disaster risk management initiatives (“Strategic Initiative/Action 4.5 Promote an integrated approach to disaster risk management – Goal 3: Climate vulnerability will be assessed”). Nevertheless, the strategy has still not been approved; consequently, DRM is not part of any main development instrument<sup>9</sup>.

On the other hand, the indicator related to the existence of a climate change regulation which contains DRM as a target, is accomplished by the National Climate Change Policy<sup>10</sup>.

## 1.2 Definition of sectoral responsibilities

None of the three indicators of this phase are met.

## 1.3 Definition of territorial responsibilities

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<sup>9</sup> See indicator GF-1A-5

<sup>10</sup> See indicator GF-1A-7

In this policy phase none of the indicators was met.

## 2. Policy Implementation:

### 2.1 Evidence of progress in implementation:

The iGOPP evidenced resources for financing climate change adaptation activities<sup>11</sup>. Trinidad and Tobago has the Green Fund —under the Ministry of Planning and Development— funded through an environmental levy (tax at the rate of 0.1 per cent on the gross sales or receipts of a company carrying on business in Trinidad and Tobago).

The iGOPP evidenced that there is not an entity in charge of all the DRM processes. The Disaster Measures Act only covers disaster preparedness and response but no other DRM components —such as risk identification, risk reduction, or disaster recovery. In this sense, functions of leadership, coordination and articulation of disaster risk management are not assigned to any entity in the country; consequently, no resources are allocated to these functions<sup>12</sup>.

The iGOPP found the existence of the budget category No. 46, that corresponds to “natural disasters” both in the budget for Trinidad and Tobago and in the budget for the Tobago House of Assembly. Nevertheless, there is no description about the type of expenditure considered under this item; for that reason, it was not possible to confirm if such categories refer to ex-ante or ex-post expenditures as requested in the indicator description<sup>13</sup>.

The country does not have a disaster risk financial strategy document establishing a policy for reducing fiscal vulnerability against disaster occurrence<sup>14</sup>. Similarly, the iGOPP did not find budget categories or instruments for allocating resources to climate change activities<sup>15</sup>.

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<sup>11</sup> See indicator GF-2-6

<sup>12</sup> See indicator GF-2-2

<sup>13</sup> See indicator GF-2-3

<sup>14</sup> See indicator GF-2-1

<sup>15</sup> See indicator GF-2-4

The iGOPP also shows that there are no funds for financing or co-financing *ex ante* risk management activities<sup>16</sup>.

Finally, the country has not yet developed incentive budgetary instruments to encourage the sectors or sub-national units to implement activities in disaster risk management either<sup>17</sup>.

It is important to underscore that Trinidad and Tobago is a member of the Caribbean Catastrophe Risk Insurance Facility (CCRIF), which is a regional catastrophe fund for Caribbean governments. CCRIF is designed to limit the financial impact of devastating hurricanes and earthquakes by quickly providing financial liquidity when a policy is triggered. While Trinidad and Tobago has been paying the insurance policies with resources from the national budget, those policies do not address specific fiscal portfolios<sup>18</sup>.

### 3. Policy Evaluation:

#### 3.1 Monitoring, accountability and participation

None of the indicators in this policy phase were met.

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<sup>16</sup> See indicator GF-2-5

<sup>17</sup> See indicator GF-2-9 and GF-2-10

<sup>18</sup> See indicator GF-2-7

## B. RISK IDENTIFICATION AND KNOWLEDGE (RI)

*Result for this component: 10% (Low)*

### Introduction:

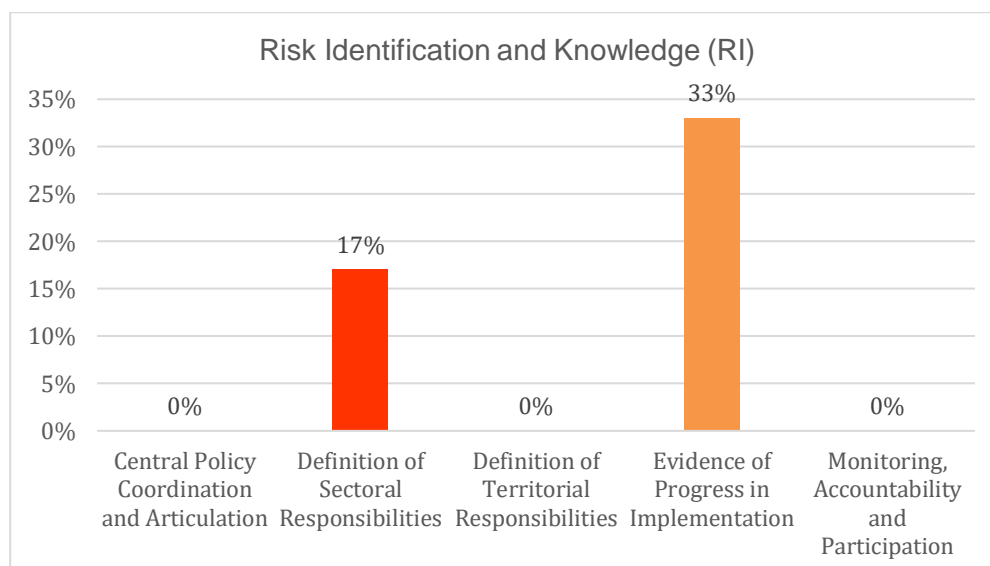
In the Risk Identification component for Trinidad and Tobago, the iGOPP shows a completion level of **10%** for a resulting score in the "Low" range.

For this component, the phases with the lower level of achievement are the "Central Policy Coordination and Articulation" along with the "Definition of Territorial Responsibilities", both with 0%. "Evidence of Progress in Implementation" is the highest with 33% of the indicators met, not only for this Component, but also for the whole iGOPP application.

Table 8: Risk Identification  
iGOPP score by Public Policy Phase. (2017)

	Public Policy Phases	iGOPP score (%)
1	Central Policy Coordination and Articulation	0%
2	Definition of Sectoral Responsibilities	17%
3	Definition of Territorial Responsibilities	0%
4	Evidence of Progress in Implementation	33%
5	Monitoring, Accountability and Participation	0%

Graphic 7: Risk Identification and Knowledge:  
iGOPP score by Public Policy Phase.



The following is a description of the most significant achievements of the iGOPP analysis for this component as they relate to the three main public policy phases 1. Inclusion on the Government Agenda and in Policy-Making, 2. Policy Implementation, and 3. Policy Evaluation at the different levels addressed by the iGOPP.

# 1. Inclusion on the Governmental Agenda and in Policy-Making:

## 1.1 Central policy coordination and articulation

No indicator was met in this public policy phase. Key institutional responsibilities – necessary for ensuring an adequate level in risk identification – have still not been defined in the country. Two examples are: responsibilities for providing technical assistance for disaster risk analysis<sup>19</sup> and for defining methodologies for Disaster Risk and Climate Change studies<sup>20</sup>.

<sup>19</sup> See indicator RI-1A-1

<sup>20</sup> See indicators RI-1A-2 and R1-1A-3

## 1.2 Definition of sectoral responsibilities

In this phase, 17% of the indicators are met. For the promotion of knowledge on climate change in science, technology, and innovation regulations<sup>21</sup> it was found that the policy paper “The future of tertiary education and skills Training 2015/2026” includes climate change under the section “Road map to success”: *“Ensure that research, education and training respond to various societal and environmental issues such as sustainable development, climate change, social cohesion”*.

It was also found that the National Tourism Policy acknowledges the need for disaster and climate change related assessments<sup>22</sup>. Additionally, the Critical Facilities Protection (CFP) Policy Framework for T&T of April 29, 2010, defines these facilities as *“The primary physical structures, technical facilities and systems which are socially, economically or operationally essential to the functioning of a society or community, both in routine circumstances and in the extreme circumstances of an emergency”*<sup>23</sup>.

## 1.3 Definition of territorial responsibilities

No indicator was met in this public policy phase.

## 2. Policy Implementation:

### 2.1 Evidence of progress in implementation:

This is the phase with more indicators met for the IR component and for the whole iGOPP application. Two important aspects in terms of sectoral policies are the integration of disaster risk and climate change into educational programs at primary levels<sup>24</sup> —which are key elements for the development of a culture of prevention and sustainability.

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<sup>21</sup> See indicator RI-1B-6

<sup>22</sup> See indicator RI-1B-13

<sup>23</sup> See indicator RI-1B-18

<sup>24</sup> See indicators RI-2-1 and RI-2-2

In terms of implementation, only three out of ten sectors (environment, agriculture and health) assigned resources for disaster risk identification activities in the Fiscal Year 2016/2017<sup>25</sup>. The Ministry of Planning and Development, in charge of environmental issues, allocated resources to seismic microzonation studies of the major cities<sup>26</sup>. Similarly, the Ministry of Agriculture, Land and Fisheries allocated resources to hydrological study of the Caroni River Basin (largest urban & agriculture catchment) and to the Northern Range Watershed Protection Research and Planning<sup>27</sup>. The Ministry of Health allocated resources for the structural assessment of the Port of Spain General Hospital<sup>28</sup>.

Regarding public utilities companies, no allocation of resources for disaster risk identification activities was found<sup>29</sup>. Some activities of Risk Identification were mentioned by the institutions: (i) for insurance purposes (the Water and Sewerage Authority (WASA) has carried out a risk assessment of its infrastructure; (ii) The Telecommunications Services (TSTT) carry out a risk assessment of their infrastructure every three years and take mitigation measures; (iii) for insurance purposes the Trinidad and Tobago Electricity Commission (T&TEC) and the Electrical Inspectorate Division T&TEC undertake risk assessment studies every two years. In all these cases, no source of verification was provided.

### 3. Policy Evaluation:

#### 3.1 Monitoring, accountability and participation

No indicator was met in this public policy phase.

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<sup>25</sup> See indicators RI-2-3 to RI-2-11

<sup>26</sup> See indicator RI-2-3

<sup>27</sup> See indicator RI-2-4

<sup>28</sup> See indicator RI-2-5

<sup>29</sup> See indicator RI-2-13 to RI-2-15

## C. RISK REDUCTION (RR)

*Result for this component: 32% (Incipient)*

### ***Introduction:***

The Risk Reduction component for Trinidad and Tobago shows a completion level of **32%** of all categories for a resulting score in the "Incipient" range.

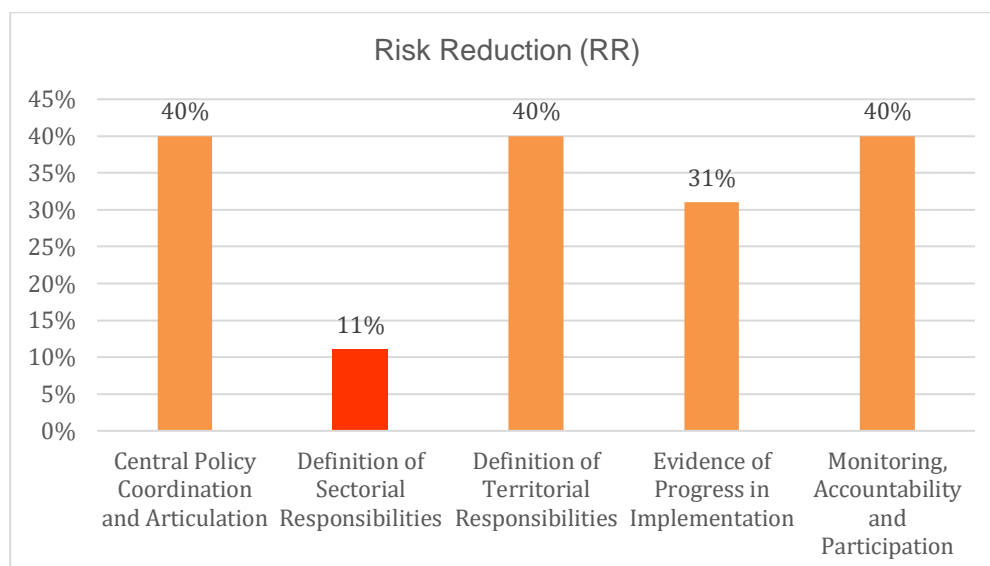
In this component, three policy phases are reaching 40% of indicators met scoring in the "Incipient" range. ("Central Policy Coordination and Articulation", "Definition of Territorial Responsibilities" and "Monitoring, and Accountability and Participation"). "Evidence of Progress in Implementation" has a level of completion of 31% scoring for the "Incipient" range as well. The lowest level of completion was found in the Definition of Sectoral Responsibilities" phase, with 11%, scoring for the "Low" range.

Table 9: Risk Reduction:  
iGOPP score by Public Policy Phase. (2017)

	Public Policy Phases	iGOPP score (%)
1	Central policy Coordination and Articulation	40%
2	Definition of Sectoral Responsibilities	11%
3	Definition of Territorial Responsibilities	40%
4	Evidence of Progress in Implementation	31%
5	Monitoring, Accountability and Participation	40%



Graphic 8: Risk Reduction:  
iGOPP score by Public Policy Phase.



The following is a description of the most significant achievements of the iGOPP analysis for this component as they relate to the three main public policy phases 1. Inclusion on the Government Agenda and in Policy-Making, 2. Policy Implementation and 3. Policy Evaluation —at the different levels addressed by the iGOPP.

# 1. Inclusion on the Governmental Agenda and in Policy-Making:

## 1.1 Central policy coordination and articulation

When considering the inclusion of Risk Reduction in Trinidad and Tobago’s political agenda, the inexistence of regulations integrating comprehensive disaster risk reduction and climate change adaptation should be highlighted —not only at national level, but also for territorial and sectorial entities<sup>30</sup>.

Nevertheless, two important aspects of risk reduction have been integrated in sectoral enabling regulations: acceptable risk has been defined by the engineering codes adopted

<sup>30</sup> See indicator RR-IA-1

by the Ministry of Works and Transport (MOWT) in conjunction with the Board of Engineering of Trinidad and Tobago for winds and seismic event<sup>31</sup>. This has been included in the “Structural Guidelines for Trinidad and Tobago, Designs Engineering Branch, Construction Division, Ministry of Works and Transport (MOWT) 2017”. Besides, in terms of the stipulation of specific penalties for the breach of regulations related to infrastructure at risk<sup>32</sup>, the Municipal Corporation Act Ch. 25:04 Section 168 in conjunction with the Town and Country Planning Act 29 of 1960, established the criteria for the application of such penalties.

## 1.2 Definition of sectoral responsibilities

As already stated, the country’s DRM regulations do not include comprehensive responsibilities for all the components. One of the key gaps created for this lack of regulation is the mandate to each sector —as well as each public services company— to reduce risk in the framework of its sectoral responsibilities and domain<sup>33</sup>.

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 are international codes e.g. American Society of Civil Engineers ASCE/SEI 7-16 (Earthquake Loads). All standards are updated or reaffirmed at least every five years<sup>34</sup>.

Two indicators met in this phase were (a) the inclusion of Risk Reduction in the environment regulations<sup>35</sup>, given that the National Environmental Policy 2006 dedicates the section “4.10 *National Disaster and Environmental Emergencies e.g. (e) Provision of a natural disaster vulnerability assessment in land transfer transactions*”; and (b) the *Water Works and*

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<sup>31</sup> See indicator RR-1A-2

<sup>32</sup> See indicator RR-1A-4

<sup>33</sup> See indicators RR-1A-1

<sup>34</sup> See indicator RR-1B-5

<sup>35</sup> See indicator RR-1B-6

*Conservation Act 5 of 1944* updated on December 31<sup>st</sup> 2015<sup>36</sup> which provides for a DRR related role.

Trinidad and Tobago lacks a centralized public investment system. All the entities have roles for advancing the public investment process, including ministries and technical entities, particularly the Ministry of Planning and the Ministry of Transport and Works. However, there are no regulations that mandate the performing of disaster risk analysis or integration of climate change studies during any investment phase<sup>37</sup>.

It is important to mention that according to the Ministry of Works and Transport, although there is no mandate to include DRM analysis and climate change studies in the public investment process, the ministry includes such analysis. It is the responsibility of the engineers to include engineering best international practices in designing infrastructure and buildings.

### 1.3 Definition of territorial responsibilities

As in the previous policy phase, the responsibilities of the territorial entities are not defined in the DRM regulations in the country<sup>38</sup>. The definition of such responsibilities is considered one of the most important conditions to guarantee decentralization and the development of local capacities for disaster risk reduction.

The Planning and Facilitation of Development Act 10 of 2014, defines the zoning of areas at risk as a determinant factor for land use<sup>39</sup> in section “2) *A development plan shall be consistent with the National Spatial Development Strategy and shall, where appropriate, include— (iii) buffer zones where development shall be restricted due to vulnerability of the zone to development hazards, whether natural or man-made...*”

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<sup>36</sup> See indicator RR-1B-14

<sup>37</sup> See indicators RR-1B-17 to RR-1B-19

<sup>38</sup> See indicator RR-1C-1

<sup>39</sup> See indicator RR-1C-3

In terms of improvement of human settlements, the National Spatial Development Strategy in its “*Policy 7: Meeting Housing Needs*” includes the mandate to promote and support improvement or replacement of existing sub-standard housing stock<sup>40</sup>.

## 2. Policy Implementation:

### 2.1 Evidence of progress in implementation:

Of the ten key sectors analyzed, it was found that only four (environment, agriculture, transport and water and sewerage) received resources for disaster risk reduction activities in the Fiscal Year 2016/2017<sup>41</sup>. The Ministry of Planning & Development, responsible for environment, allocated resources for: (i) Infrastructure rehabilitation and flood mitigation programme; (ii) Flood alleviation and drainage programme and; (iii) Climate change vulnerability adaptation and mitigation<sup>42</sup>. The Ministry of Agriculture, Land and Fisheries allocated resources for the development of flood control and irrigation<sup>43</sup>; and the Ministry of Works and Transport allocated resources to the Flood alleviation and drainage program<sup>44</sup>. The Ministry of Public Utilities, in charge of the water and sewerage sector, allocated resources for the development of a water supply drought management plan<sup>45</sup> as well.

Regarding public utilities companies, no allocation of resources for disaster risk reduction activities was found<sup>46</sup>. However, it should be noted that the public accounts for these utilities would not show such detail in their audited accounts and the DRM responsibilities could be merged into operational department positions.

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<sup>40</sup> See indicator RR-1C-4

<sup>41</sup> See indicators RR-2-3 to RR-2-6, RR-2-9 and RR-2-10

<sup>42</sup> See indicator RR-2-1

<sup>43</sup> See indicator RR-2-2

<sup>44</sup> See indicator RR-2-7

<sup>45</sup> See indicator RR-2-8

<sup>46</sup> See indicators RR-2-11 to RR-2-13

### 3. Policy Evaluation:

#### 3.1 Monitoring, accountability and participation

In this phase two out of five indicators were met. Several regulations establish penalties for damage to the environment, among them: The Environmental Management Authority (EMA) Act 3 Of 2000 LRO1/2009 and the Petroleum Pollution Compensation Regulation of 1997 section 3<sup>47</sup>. Furthermore, responsibilities for monitoring, evaluation and update of development planning and land use are defined in The Town and Country Planning (TCP) Act 29 of 1960 Ch. 35:01 LRO updated on December 31<sup>st</sup>, 2016<sup>48</sup>.

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<sup>47</sup> See indicator RR-3-1

<sup>48</sup> See indicator RR-3-5

## D. DISASTER PREPAREDNESS (DP)

*Result for this component: 15% (Low)*

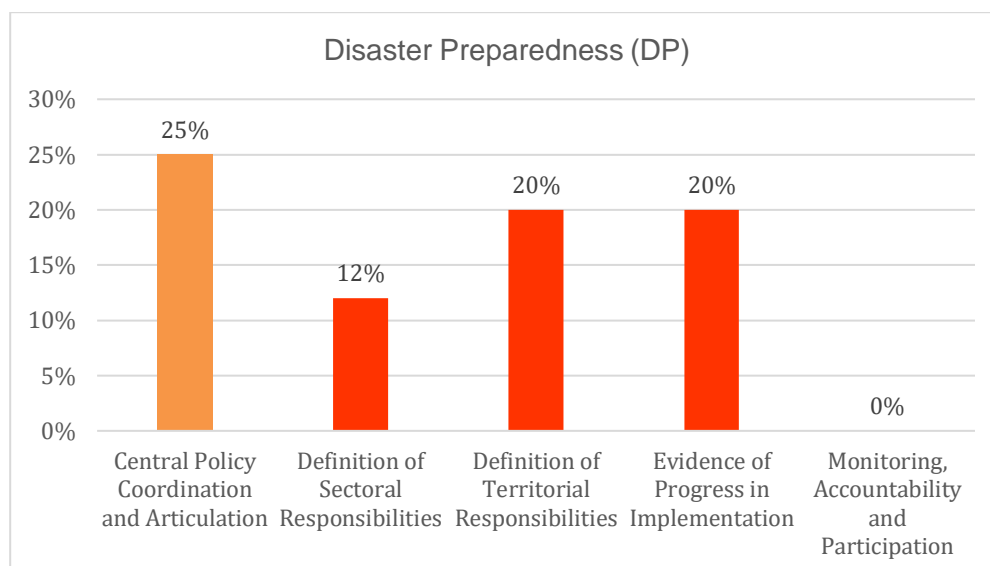
### Introduction:

The results of iGOPP show a level of completion of 15% for the Disaster Preparedness component, scoring in the "Low" range. Contrary to what it is generally expected in countries with regulations dedicated to disaster response, this component is much lower than Risk Identification or Risk Reduction components—which are not included in the actual DRM Act. The only national disaster regulation, the Disaster Measures Act, is an emergency powers statute articulating Presidential authority to declare a disaster. Subsequent related legislation only refers to this executive authority.

Table 10: Disaster Preparedness.  
iGOPP score by Public Policy Phase. (2017)

	Public Policy Phases	iGOPP score (%)
1	Central policy Coordination and Articulation	25%
2	Definition of Sectoral Responsibilities	12%
3	Definition of Territorial Responsibilities	20%
4	Evidence of Progress in Implementation.	20%
5	Monitoring, Accountability and Participation	0%

Graphic 9: Disaster Preparedness.  
iGOPP score by Public Policy Phase.



The following is a description of the most significant achievements of the iGOPP analysis for this component as they relate to the three main public policy phases 1. Inclusion on the Government Agenda and in Policy-Making, 2. Policy Implementation and 3. Policy Evaluation, at the different levels addressed by the iGOPP.

# 1. Inclusion on the Governmental Agenda and in Policy-Making:

## 1.1 Central policy coordination and articulation

When considering the inclusion of Disaster Preparedness in Trinidad and Tobago's political agenda, it is important to consider that the country does not have a legal framework for preparedness and response. The Disaster Measures Act is an emergency powers statute which gives authority to the President for declaring disaster areas/states of emergency. Key elements of the preparedness and response institutional framework are not included in the regulation; for instance, no interinstitutional organization has the mandate for preparedness and response<sup>49</sup>. The Office of Disaster Preparedness and Management (ODPM) was established through *Cabinet Minutes #56 January 6, 2005 and No. 2042, 17/08/2000*. The

<sup>49</sup> See indicator DP-1A-1

latter stated that the Office of Disaster Preparedness and Management's purpose is "... to spearhead the national effort aimed at addressing Comprehensive Disaster Management." Nevertheless, ODPM is a dependency of the Ministry of National Security, and not an interinstitutional structure. This situation calls the attention, given that these are key conditions for ensuring adequate readiness for disaster strikes. It is also important to mention that although these conditions are not included in the regulations, it does not necessarily mean that they are not available in practice. In fact, an important proportion of ODPM's work is precisely the coordination of disaster preparedness.

Only two of the indicators in this phase were met. These are the existence of regulations for the implementation of temporary regime measures —in case of disaster, emergency or public calamity<sup>50</sup> — as well as regulations for the coordination of international and mutual help<sup>51</sup>.

## 1.2 Definition of sectoral responsibilities

In this phase, it was found that only the environment sector has responsibilities for disaster preparedness and response included in its regulations<sup>52</sup>. Besides, the National Oil Spill Contingency Plan (NOSCP) 2013<sup>53</sup> establishes responsibilities for the development and implementation of contingency plans in the event of fuel spill.

## 1.3 Definition of territorial responsibilities

Only one indicator was met in this phase: The Parliament's Hansard July 7, 2008<sup>54</sup> records that the Ministry of Local Government obtained "*Cabinet's approval for the establishment of disaster management units in each of our municipalities, with a central coordinating unit in the Ministry of Local Government*".

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<sup>50</sup> See indicator DP-1A-4

<sup>51</sup> See indicator DP-1A-8

<sup>52</sup> See indicator DP-1B-3

<sup>53</sup> See indicator DP-1B-17

<sup>54</sup> See indicator DP-1C-1



## 2. Policy Implementation:

### 2.1 Evidence of progress in implementation:

Evidence of allocation of budgetary resources for fire prevention and control activities within last fiscal year<sup>55</sup> was found. It is important to mention that the fire service regulations (Fire Service Act, Auxiliary Fire Service Act, Agricultural Fires Act) do not discriminate between fire and forest fire.

In Trinidad and Tobago there are two entities responsible for preparedness and response coordination: The Office of Disaster Preparedness and Management (ODPM) and the Tobago Emergency Management Agency (TEMA). Although TEMA allocates resources for preparedness and response coordination, it was not possible to verify the same for the Office of Preparedness and Management (ODPM)<sup>56</sup>.

Evidence was not found about the existence of emergency, contingency or continuity of operations —or equivalent plans— for the ten key sectors of the country, nor the allocation of resources for sectoral preparedness activities<sup>57</sup>. It is important to mention that the energy sector has the National Oil Spill Contingency Plan (NOSCP) and the main chemical industrial site Point Lisas has Standard Operating Guidelines and Procedures for Tenants and Users, which includes Emergency Response Plans. In addition, Trinidad and Tobago has many response plans (mostly pending approval) and documents related to emergencies; however, none of the documents mentioned included sectoral chapters.

Regarding contingency plans for the utilities companies, it was possible to verify that the Telecommunications Services (TSTT) has a Hurricane Preparedness Plan 2017<sup>58</sup>. No information on the Water and Sewage Authority (WASA) preparedness and response plan

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<sup>55</sup> See indicator DP-2-2 and DP-2-3

<sup>56</sup> See indicator DP-2-1

<sup>57</sup> See indicators DP-2-4 to DP-2-12

<sup>58</sup> See indicator DP-2-15

could be found. Also, no information for the distributions and transmission and for the generation companies was found<sup>59</sup>.

### 3. Policy Evaluation:

#### 3.1 Monitoring, accountability and participation

No indicator was met in this public policy phase.

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<sup>59</sup> See indicator DP-2-14

## **E. RECOVERY PLANNING (RC)**

*Result for this component: 0% (Low)*

### **Introduction:**

The iGOPP results indicate a score within the "low" range for this component with **none of the indicators being met**. This is the component with the lowest level of indicators achieved. In this regard, it is important to note that ex-ante recovery planning is a relatively new tendency in the whole region and, in general, its approach has been included only in the most recent regulations in Latin America and the Caribbean.

## **F. FINANCIAL PROTECTION (FP)**

*Result for this component: 3% (Low)*

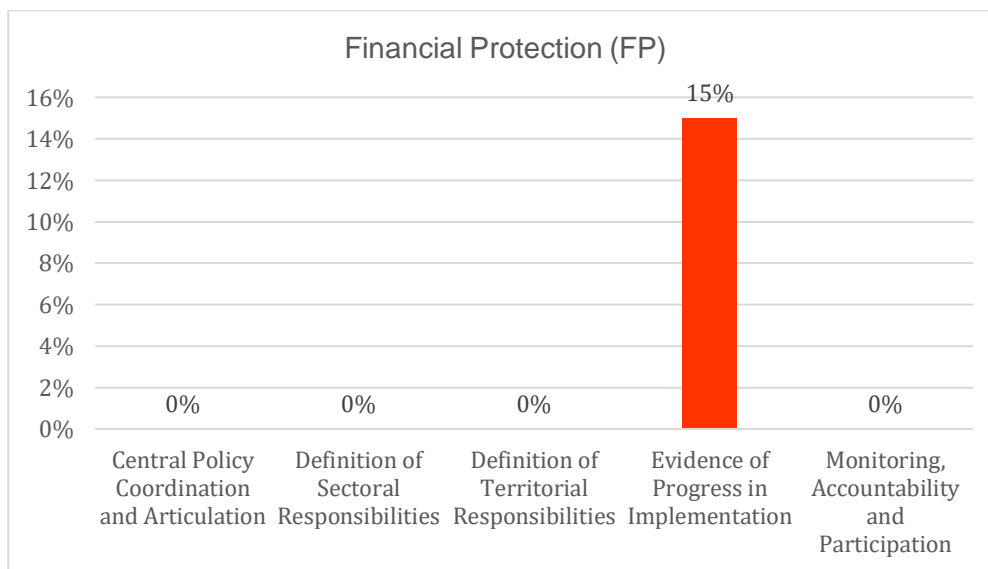
### **Introduction:**

The iGOPP results for the FP show a **3%** of completion. The public policy analysis evidenced a heterogeneous progress of the different phases of public policy. "Evidence of progress in implementation" phase shows a level of completion of 15%. None of the indicators (0%) were met for the "Central Policy Coordination and Articulation", "Definition of Sectoral Responsibilities", "Definition of Territorial Responsibilities" and "Monitoring, Accountability and Participation" phases.

Table 11: Financial Protection.  
iGOPP score by Public Policy. (2017)

	Public Policy Phases	iGOPP score (%)
1	Central Policy Coordination and Articulation	0%
2	Definition of Sectoral Responsibilities	0%
3	Definition of Territorial Responsibilities	0%
4	Evidence of Progress in Implementation.	15%
5	Monitoring, Accountability and Participation	0%

Graphic 10: Financial Protection.  
iGOPP score by Public Policy.



The following are the most noteworthy findings of the iGOPP analysis for this component according to the three major public policy phases: 1) Inclusion on the Government Agenda and Policy-Making; 2) Policy Implementation; and 3) Policy Evaluation.

## 1. Inclusion on the Governmental Agenda and in Policy-Making:

### 1.1 Central policy coordination and articulation

No indicators were met in this phase of public policy.

Trinidad and Tobago is a member of the Caribbean Disaster Emergency Management Agency (CDEMA) and the Agreement establishing CDEMA includes provisions for an Emergency Assistance 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*”. Nevertheless, since this agreement is not endorsed by any Trinidad and Tobago’s norm, the indicator has been considered not met<sup>60</sup>. It is also important to mention that the agreement establishing CDEMA does not include legal provisions for establishing the annual percentage of resources to be allocated to the Emergency Assistance Fund<sup>61</sup>.

Moreover, the country does not have development funds enabled to finance disasters management activities<sup>62</sup>. Additionally, no evidence was found regarding the formulation of a disaster risk retention and transfer structure<sup>63</sup>. Another gap revealed by the iGOPP is the lack of a mandate related with the estimation of catastrophic risk reserves for non-homogenous/special assets and homogenous/uniform assets —based on probabilistic risk assessment models defined or certified by the sector’s regulating entity<sup>64</sup>.

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<sup>60</sup> See indicator FP-1A-1

<sup>61</sup> See indicator FP-1A-2

<sup>62</sup> See indicator FP-1A-6

<sup>63</sup> See indicator FP-1A-3

<sup>64</sup> See indicators FP-1A-4 and FP-1A-5

## 1.2 Definition of sectoral responsibilities

No indicators were met in this phase of public policy.

The iGOPP revealed the lack of a legal mandate related with the fiscal responsibility of the Government regarding disaster risk<sup>65</sup>. In addition, the iGOPP also evidenced the absence of regulations assigning competencies to the Ministry of Finance for financial protection against disaster risk<sup>66</sup>. Furthermore, there are no regulations establishing that sectorial entities must cover their public assets with insurance policies<sup>67</sup>, neither regulations on incentives for private housing insurance against disaster risk<sup>68</sup>.

## 1.3 Definition of territorial responsibilities

None of the indicators of this phase were met. The iGOPP shows that there are no regulations establishing that sub-national entities must cover their public assets with insurance policies<sup>69</sup>, nor regulations requiring the sub-national level the implementation of structures for financial protection against disasters<sup>70</sup>. In addition, neither Port of Spain, nor Tobago cities had a fund for financing or co-financing disaster management activities<sup>71</sup>. In case of the occurrence of a disaster, Corporations will use resources from their budget and from the budget of the Ministry of Rural Development and Local Government. When the mentioned resources are exhausted, Corporations will ask for support from the national level. Besides, disaster management activities are financed through the budget line allocated to the Office of Disaster Preparedness and Management ODPM.

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<sup>65</sup> See indicator FP-1B-1

<sup>66</sup> See indicator FP-1B-2

<sup>67</sup> See indicator FP-1B-3

<sup>68</sup> See indicator FP-1B-4

<sup>69</sup> See indicator PF-1C-1

<sup>70</sup> See indicator FP-1C-2

<sup>71</sup> See indicator FP-1C-3

## 2. Policy Implementation:

### 2.1 Evidence of progress in implementation:

For this phase the only indicator met is the one related to the Probable Maximum Loss (PML) from catastrophic events for different return periods.

Regarding risk retention instruments, Trinidad and Tobago has not endorsed the CDEMA agreement<sup>72</sup> and has no access to the Emergency Assistance Fund of CDEMA (regional fund). Besides, this fund normative does not include provisions related with the annual percentage of resources to be allocated to this fund<sup>73</sup>, —neither with the capacity to accumulate resources over time<sup>74</sup>, nor with the “golden rule” of accumulation and expenditure based on anticipated annual loss or records of losses from past disaster<sup>75</sup>.

Trinidad and Tobago does not have a national fund for financing emergency expenses in disaster situations, neither a fund for financing or co-financing risk management activities<sup>76</sup>. In addition, it was found that the country does not yet have contingency credits in case of disaster occurrence<sup>77</sup>.

Regarding risk transfer instruments, Trinidad and Tobago is a member of the Caribbean Catastrophe Risk Insurance Facility (CCRIF) which is a regional catastrophe fund for Caribbean governments designed to limit the financial impact of devastating hurricanes and earthquakes by quickly providing financial liquidity when a policy is triggered. For the decision-making process related to buying the insurance policy offered by CCRIF, the

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<sup>72</sup> See indicator FP-1A-1

<sup>73</sup> See indicator FP-1A-2

<sup>74</sup> See indicator FP-2-9

<sup>75</sup> See indicator FP-2-10

<sup>76</sup> See indicator FP-2-8

<sup>77</sup> See indicator FP-2-11



government used the estimate of Probable Maximum Loss (PML) from catastrophic events for different return periods<sup>78</sup> and the expected annual losses elaborated by CCRIF<sup>79</sup>.

Furthermore, the insurance of the public assets is not mandatory, and no evidence was found of the existence of standards for the insurance of public assets<sup>80</sup>, concessions<sup>81</sup>, or related guidelines for sub-national entities<sup>82</sup>.

Port of Spain and Tobago cities do not have any financial protection structure for the event of disaster<sup>83</sup> —nor a disaster risk transfer instrument for a portfolio of its fiscal responsibility assets<sup>84</sup>. In case of disaster occurrence, Corporations will use resources from their budget and from the budget of the Ministry of Rural Development and Local Government. If the mentioned resources are exhausted, they will ask for support at national level. In addition, disaster management activities are financed through the budget line allocated to the Office of Disaster Preparedness and Management ODPM.

The iGOPP shows that there are no *ex ante* financial instruments to encourage economic recovery in areas affected by disasters<sup>85</sup>. The Ministry of Agriculture, Land and Fisheries uses a model for estimating the assistance to be provided to farmers affected by disasters for promoting its economic recovery; however, this activity is not supported by a legal mandate.

The iGOPP also evidences the lack financial protection structures for the agricultural sector<sup>86</sup>. The Ministry of Agriculture, Land and Fisheries had explored insurance for the agriculture sector, but implementation showed no progress due to some limitations,

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<sup>78</sup> See indicator FP-2-2

<sup>79</sup> See indicator FP-2-3

<sup>80</sup> See indicator FP-2-4

<sup>81</sup> See indicator FP-2-5

<sup>82</sup> See indicator FP-2-7

<sup>83</sup> See indicator FP-2-1

<sup>84</sup> See indicator FP-2-12

<sup>85</sup> See indicator FP-2-14

<sup>86</sup> See indicator FP-2-15

including the lack of information required for designing and implementing insurance instruments for the sector.

### 3. Policy Evaluation:

#### 3.1 Monitoring, accountability and participation

The application of iGOPP has revealed the absence of control, accountability and participation conditions in place for this component —as none of the indicators have were met. This situation shows a lack of: i) provisions for assessing compliance with financial protection mechanisms, ii) use of the probabilistic risk assessment model in the rate estimative of insurance policies (because it is not mandated by the regulations), and iii) application of financial protection assessments<sup>87</sup>.

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<sup>87</sup> See indicators FP-3-1 to FP-3-3

## 6. CONCLUSIONS

1. The iGOPP overall score for Trinidad and Tobago is 11,53%, which points to a “Low” level of favorable governance conditions for DRM in the country, according to the iGOPP classification. This result is influenced by two main factors:
  - the absence of a comprehensive disaster risk management (DRM) legislation, since the Disasters Measures Act (*Ch.16:50, Act 47 of 1978*) – the only regulation governing disaster related issues at national level – is focused on disaster response; and
  - a general absence of DRM responsibilities explicitly defined on sectorial and territorial regulations.
2. Despite this low score, it is important to acknowledge the steps the country has taken towards more modern disaster risk reduction/management approaches. For instance, the Office of Disaster Preparedness and Management (ODPM) was established by Cabinet Minute in 2006, replacing the National Emergency Management Agency. Also, the country has been a participating state of the Caribbean Disaster Emergency Management Agency (CDEMA) and the Association of Caribbean States (ACS) since the inception of these organizations. However, these processes still have not been accompanied by the adoption of comprehensive DRM regulations.
3. Another important tendency observed in Trinidad and Tobago is the mainstreaming of DRM criteria into development policy. The National Development Strategy “Vision 2030” explicitly includes references to DRM and Climate Change Adaptation, although at the time of the iGOPP application, this policy was still a draft under consultation.
4. The score for DRM Governance General Framework (GF) is 8%, which rates this aspect as “Low”. Most key indicators related to best practices for DRM regulatory frameworks at central, sector and territorial level are not met.
5. In the Risk Identification and Knowledge (RI) component, also rated Low with a score of 10%, there is some compliance regarding Evidence of Progress in Implementation

(33%) and Definition of Sectorial Responsibilities (17%). For example, DRM has been included in the education curricula at both primary and secondary levels, which is a step forward towards developing a culture of prevention and sustainability. However, no indicators have been met in the other three public policy phases (Coordination and Articulation at Central Level, Definition of Territorial Responsibilities, and Policy Evaluation) for this component.

6. In terms of the Risk Reduction (RR) component, which attained the highest score (32%, incipient) it is important to highlight that the country has defined acceptable risk criteria for seismic hazard and strong winds. Also, the Energy sector regulations establish responsibilities in terms of risk reduction. Still, most sector regulations have not defined those responsibilities.
7. Surprisingly, considering the disaster response orientation of the Disasters Measures Act, the Disaster Preparedness and Response (DP) component does not have the highest score among the iGOPP policy reform components. On the contrary, it ranks “Low” with only 15% of compliance. This implies that any DRM policy reform in the country should also consider adjustments in disaster preparedness and response legal framework, as the current Act does not provide robust governance foundation for emergency-related activities.
8. The Recovery Planning (RC) component has the lowest score: 0%. This matches the general situation in the Latin American and Caribbean region, with a historical absence of RC considerations in the legal frameworks, except for recent and modern legislation in some countries. This does not mean that recovery or, at least, physical reconstruction is not a process regularly carried out by national institutions. However, recovery planning is remarkably absent in the vision of disaster risk management as a comprehensive process.
9. Finally, the Financial Protection (FP) component has a score of 3%, corresponding to a “Low” level of compliance. Evidence was found of risk transfer instruments available to the country from binding agreements with regional agencies and/or mechanisms. For instance, insurance policies covering different hazards through the CCRIF. Nevertheless, the country lacks a national fund enabled for financing

disaster response activities. Also, no evidence of the existence of a legal mandate to insure critical public infrastructure was found.

## **7. RECOMMENDATIONS FOR POLICY REFORM**

The following recommendations for policy reform in the short, medium, and long term arise from the analysis of the iGOPP results summarized above and detailed in the report:

### Short term

1. Undertaking a legal reform process to update the *Disaster Measures Act Ch.16:50, Act 47 of 1978 LRO 1/2006*, or adopt a new bill, to provide a comprehensive general framework addressing the different components of Disaster Risk Management. This reformed Act or new bill should minimally include:
  - a. The definition of responsibilities for Disaster Risk Management and Climate Change adaptation for all Ministries, Departments and Agencies, including public services companies (MDA) and local governments, in the scope of their mandates and jurisdiction;
  - b. The responsibility of all MDA for planning, budgeting and controlling of all the DRM components, in the framework of their attributions;
  - c. The articulation of the new DRM act with climate change, territorial planning and water management regulations;
  - d. Mandates related to the relocation of human settlements located in risk zones;
  - e. The responsibility for control entities to conduct monitoring, audit and evaluation of the compliance with DRM responsibilities established by the Act, as well as the quality of the implementation;
  - f. The responsibility of the Ministry of Finance for the development and coordination of a financial strategy or policy to guide the financial management of disaster risk in the country;

- g. The mandatory development and implementation of contingency, emergency and service continuity plans for every Ministry, Department and Agency;
- h. The mandatory implementation and operation of surveillance and early warning systems;
- i. The mandate to implement regulations and mechanisms to make information about risk, disaster and climate change available;
- j. The mandatory implementation of control, audit and evaluation processes during and after disaster;
- k. The designation of an entity responsible for the definition of common methodologies and guidelines for disaster risk and climate change analysis, as well as for providing technical assistance to MDA and municipalities to apply those methodologies;
- l. Explicit responsibility for the implementation of a national DRM information system and databases with information about the impacts of disaster;
- m. The definition of the compulsory responsibility of all public service provider companies to reduce disaster risk in the scope of their operations;
- n. The mandatory formulation of emergency or contingency plans at national, sectorial and territorial level, as well as the implementation of drills and simulation exercises;
- o. The establishment of specific criteria for the subsidiary support between different government levels, namely under which circumstances and procedures the central government operates in support of decentralized levels;
- p. The mandate for institutions responsible for DRM to implement specific mechanisms for civil society, social and non-governmental organization participation;
- q. The definition of specific responsibilities, functions and institutional arrangements for the planning and implementation of ex-ante and ex-post recovery actions.

2. Implementing a comprehensive DRM/CCA policy reform, to complement the *Disaster Measures Act*. Specific sectorial policy reform processes (updating or enactment of sectorial regulations) should entail:
  - a. Including DRM and CCA as part of the municipal responsibilities and functions in regulations to decentralize responsibilities regarding development planning, territorial planning, and land use;
  - b. The mandate for developing and maintaining observation and monitoring networks for all the hazards;
  - c. Mandating regular quality assessments of the technical and scientific processes, methodologies and standards, which form part of the existing regulations governing research, monitoring and dissemination of information about hazards;
  - d. Including explicit objectives, results, indicators, and targets related to DRM in Climate Change, territorial planning, and water resources management regulations;
  - e. Preparing methodological guidelines for the mandatory inclusion of disaster risk and climate change analysis and measures in all phases of the public investment process;
  - f. Establishing specific regulations for the design and adoption of risk reduction standards of essential buildings or critical infrastructure through measures of reinforcement or replacement;
  - g. A mandatory building code with supporting institutional framework to protect vulnerable households;
  - h. Implementing an inter-institutional organization at the national level responsible for the coordination of the process of preparedness and response as well as a national mechanism or instance for crisis management at the highest political level;
  - i. Defining criteria for subsidiary support between levels of government, based on the decentralization and subsidiary principles;

- j. The mandatory formulation of emergency, contingency and continuity plans at the national, sectorial, public utilities and territorial level, the implementation of drills and simulation exercises;
  - k. Specific responsibilities, functions and implementation structures for ex-ante disaster recovery planning and ex-post recovery.
- 3. Including explicit DRM and CCA objectives, results, and indicators in the updating/revision of the *National Development Strategy 2016-2030 -Vision 2030*, not approved at the time of the application of iGOPP.
- 4. Designing and implementing a budgetary instrument (budgetary label or other) to identify the allocations related to disaster risk management and climate change adaptation activities is also recommended.
- 5. Allocating resources for all DRM components in sectors and public utilities company budgets that can be identified through budgetary instruments.
- 6. Developing a financial strategy or policy to guide the financial management of disaster risk in the country, within the current mandate scope for the Ministry of Finance, informed by the growing experiences in similar undertakings in the LAC region.
- 7. Evaluating the creation of a national fund enabled for financing or co-financing ex-ante DRM measures and investments.
- 8. Evaluating the backing of a contingency credit is recommended, explicitly tied to the financing of emergent expenses in disaster situations.
- 9. Implementing mechanisms and regulations for making available the information about risk, disasters, and climate change.
- 10. Promoting and advocating for:
  - a. The adoption of mandatory national safety standards/code for earthquake resistant design of buildings;



- b. The adoption of standards for the technical DRM aspects of construction, including special design parameters for essential buildings and critical infrastructure;
- c. The implementation of mechanisms for civil society, social and non-governmental organization participation in all DRM processes.

Medium term

1. Promoting regulatory reforms for protecting DRM professional careers through Civil Service Regulations.
2. Including knowledge creation and management on disaster risk and climate change in science, technology, and innovation regulations.
3. Reforming or adopting regulations for DRM research and studies to include the frequency of occurrence of natural hazardous events and their associated levels of intensities;
4. Promoting and advocating for the inclusion of DRM and CCA responsibilities within key sectorial and territorial regulations, particularly in environmental management, watershed planning and management, land use planning.
5. Enacting specific regulations that include the insurance of critical public infrastructure.
6. Promoting reforms of the national control system to include recovery within the framework of the controlling entities:
7. Adopting methodological guidelines for public investments planning, operation, and control, that include mandatory identification of risk reduction and climate change adaptation measures, for ensuring resilience and continuity of the projects.
8. Promote the acquisition of insurance for critical public infrastructure.

Long term

1. Designing and implementing a financial protection structure for the agricultural sector.

## 8. IGOPP APPLICATION RESULTS

### Index component:General Framework of Governance [GF]

GF-1A Coordination and central articulation of the policy		
Code	Indicators	Compliance YES/NO
GF-1A-1	Are there national regulations which establish a responsibility framework on disaster risk management for all Government levels?	No
GF-1A-2	Are there Policy tools for the implementation of national regulations on Disaster Risk Management?	No
GF-1A-3	Do the national regulations on DRM establish that the coordination and articulation of the policy tools be made at a hierarchical level equal or higher than ministerial?	No
GF-1A-4	Do the national regulations on DRM coordinate with other related standards for climate change adaptation, integrated water resources management or territorial planning and land use?	No
GF-1A-5	Does the National Development Plan (or equivalent instrument), contain objectives, targets or indicators in Disaster risk management? (Note: Can also be indicators, or other DRM programmatic tolls considered in national development)	No
GF-1A-6	Does the National Development Plan (or equivalent instrument) contain objectives, targets or indicators in CCA? (Note: Can also be indicators, or other DRM programmatic tolls considered in national development)	No
GF-1A-7	Are there climate change regulations which contain disaster risk management as a target, aim, purpose or result? (Note: Also called 'climate risk management' in some countries, also applicable in such case)	Yes
GF-1A-8	Are there regulations which establish a regime of professional career in public administration applicable to the responsible entities in charge of DRM in the country?	No

GF-1B Definition of sectorial responsibilities		
Code	Indicators	Compliance YES/NO
GF-1B-1	Are there regulations for integrated water resources management which establish disaster risk management as a purpose, aim or result?	No
GF-1B-2	Are there regulations on integrated water resources management which establish climate change adaptation as a purpose, aim or result?	No
GF-1B-3	Do the regulations that standardize the carrying out of environmental impact assessment (or equivalent process), integrate disaster risk analysis?	No

GF-1C Definition of territorial responsibilities		
Code	Indicators	Compliance YES/NO
GF-1C-1	Are there regulations that decentralize the responsibilities in the matter of development planning or territorial planning and land use to territorial management units?	No
GF-1C-2	Are there regulations that establish an approach of basin eco-region for environmental management or water resources?	No
GF-1C-3	Are there regulations that empower Territorial Management Units to create networks, agreements, alliances or territorial agreements in DRM?	No
GF-1C-4	Are there regulations that empower the formation of structures of territorial management for integrated water resources management or ecosystem management?	No

GF-2 Evidence of progress in implementation		
Code	Indicators	Compliance YES/NO
GF-2-1	Is there an approved document by the Ministry of Economy and Finance (or its agent), which establishes a financial strategy or policy for financial management of disaster risk in the country?	No
GF-2-2	Has the entity responsible for functions of leadership or coordination or articulation of disaster risk management in the country, received funding for these functions in the last fiscal period?	No
GF-2-3	Is there an objective or classified spending budget (or equivalent) in the national budget to allocate resources to disaster risk management "before the event" activities?	No
GF-2-4	Is there an objective or classified spending budget (or equivalent) in the national budget to allocate resources to climate change adaptation activities?	No
GF-2-5	Is there a fund or equivalent mechanism which finances or co-finances before the event disaster risk management activities?	No
GF-2-6	Is there a fund or equivalent mechanism which finances or co-finances climate change adaptation activities?	Yes
GF-2-7	Is there a fund or equivalent mechanism at the national level that enables contracting for disaster risk transfer instruments for asset portfolio of actual fiscal responsibility of the state?	No
GF-2-8	Is at least one of the three national development funds (or equivalent) with the largest allocation of resources used to finance or co-finance disaster risk management before the event activities?	No
GF-2-9	Is there an incentive budget for territorial management units that are responsible for implementing disaster risk management activities?	No
GF-2-10	Is there an incentive budget for the different sectors (ministries) responsible for implementing ex ante disaster risk management activities?	No

GF-3 Monitoring, accountability and participation		
Code	Indicators	Compliance YES/NO
GF-3-1	Is it stated within the national regulations on Disaster Risk Management that disaster risk management must be subjected to control by the respective authorized organizations?	No
GF-3-2	Are there regulations regarding transparency of how DRM is publicly managed?	Yes
GF-3-3	Has the national controlling entity concluded at least one compliance assessment on the existing regulations in disaster risk management within the last 5 years?	No
GF-3-4	Has the responsible national coordinating organization along with any other territorial sector conducted an assessment on disaster risk management within the last 3 years?	No
GF-3-5	Is there at least a mechanism of civil society participation applicable to the disaster risk management?	No

<b>Index component: Risk Identification and Knowledge [RI]</b>
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RI-1A Coordination and central articulation of the policy		
Code	Indicators	Compliance YES/NO
RI-1A-1	Are there regulations to designate a responsible national party to provide technical assistance and guidelines at territorial and sectorial levels for the disaster risk analysis?	No
RI-1A-2	Are there regulations to designate a responsible national party to define methodologies for preparation studies on climate change effect?	No
RI-1A-3	Are there regulations ordering the creation and maintenance of Information Systems for Disaster Risk Management?	No
RI-1A-4	Are there regulations that establish the creation, systemization or updating of database on the effects of disasters?	No

RI-1B Definition of sectorial responsibilities		
Code	Indicators	Compliance YES/NO
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 and their associated levels and intensities?	No
RI-1B-2	Are there regulations which establish that threat by climate or hydrological events should consider the frequency and occurrence of such event along with the associated levels and intensities?	No

RI-1B-3	Do the National Disaster Risk Management regulations stipulate that each sector is responsible to carry out disaster risk analysis in the sectorial scope of its powers?	No
RI-1B-4	Do the National Disaster Risk Management regulations mandate that public service companies or utilities are responsible to carry out disaster risk analysis in the scope of their operations?	No
RI-1B-5	Do the sciences, technology and innovation regulations (or equivalent), include the promotion of knowledge on disaster risk in the country?	No
RI-1B-6	Do the sciences, technology and innovation regulations (or equivalent), include the promotion of knowledge on climate change in the country?	Yes
RI-1B-7	Are there regulations to continue development and maintenance of observation and monitoring networks of at least two natural hazards in the country?	No
RI-1B-8	Do the environmental sector regulations define the responsibility to carry out disaster risk analysis or adverse effects of climate change in the scope of its powers?	No
RI-1B-9	Do the agriculture sector regulations define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?	No
RI-1B-10	Do the Health sector regulations define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?	No
RI-1B-11	Do the housing sector regulations define the responsibility to carry out disaster risk analysis in the scope of its powers?	No
RI-1B-12	Do the education sector regulations define the responsibility to carry out disaster risk analysis in the scope of its powers?	No
RI-1B-13	Do the tourism industry regulations define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?	Yes
RI-1B-14	Do the transport sector regulations (or equivalent) define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?	No
RI-1B-15	Do the water or sanitation sector regulations (or equivalent) define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?	No
RI-1B-16	Do the telecommunications industry regulations (or equivalent) define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?	No
RI-1B-17	Do the energy sector regulations (or equivalent), define the responsibility to carry out disaster risk or adverse effects analysis of climate change in the scope of its powers?	No
RI-1B-18	Is there at least one rule that defines which buildings are essential, indispensable or critical infrastructures of the country?	Yes

RI-1C Definition of territorial responsibilities		
Code	Indicators	Compliance YES/NO

RI-1C-1	Do the National Disaster Risk Management regulations establish that territorial management units are responsible for disaster risk assessment in their respective territories?	No
RI-1C-2	Are there regulations to appoint a national stakeholder responsible to define the scale or resolution in which risk analysis should be carried out at different government levels?	No
RI-1C-3	Are there regulations that establish the obligation to zone threatened cities?	No

RI-2 Evidence of process in implementation		
Code	Indicators	Compliance YES/NO
RI-2-1	Is the subject of disaster risk integrated into educational curricular programs at least at the primary or secondary levels?	Yes
RI-2-2	Is the subject of climate change integrated into educational curricular programs at least at the primary or secondary levels?	Yes
RI-2-3	In the last fiscal period, were funds assigned to the Ministry of Environment to perform disaster risk analysis which could be verified through instruments of budget classification?	Yes
RI-2-4	In the last fiscal period, were funds assigned to the Ministry of Agriculture to perform disaster risk analysis which could be verified through instruments of budget classification?	Yes
RI-2-5	In the last fiscal period, were funds assigned to the Ministry of Health to perform disaster risk analysis which could be verified through instruments of budget classification?	Yes
RI-2-6	In the last fiscal period, were funds assigned to the Ministry of Housing to perform disaster risk analysis which could be verified through instruments of budget classification?	No
RI-2-7	In the last fiscal period, were funds assigned to the Ministry of Education to perform disaster risk analysis which could be verified through instruments of budget classification?	No
RI-2-8	In the last fiscal period, were funds assigned to the Ministry of Tourism to perform disaster risk analysis which could be verified through instruments of budget classification?	No
RI-2-9	In the last fiscal period, were funds assigned to the Ministry of transport to perform disaster risk analysis which could be verified through instruments of budget classification?	No
RI-2-10	In the last fiscal period, were funds assigned to the national entity responsible for water and sanitation to perform disaster risk analysis which could be verified through instruments of budget classification?	No
RI-2-11	In the last fiscal period, were funds assigned to the national entity responsible for telecommunications to perform disaster risk analysis which could be verified through instruments of budget classification?	No
RI-2-12	In the last fiscal period, were funds assigned to the national entity responsible for energy to carry out disaster risk analysis which could be verified through instruments of budget classification?	No

RI-2-13	Has the country's largest water or sanitation supplier performed at least one disaster risk analysis on its infrastructure within the last 5 years?	No
RI-2-14	Has the country's largest energy (generation, transmission and distribution) company performed at least one disaster risk analysis on its infrastructure within the last 5 years? (Note: in case they are separate companies, the same questions apply to each)	No
RI-2-15	Has the country's largest telecommunication company performed at least one disaster risk analysis on its infrastructure within the last 5 years?	No

RI-3 Monitoring, accountability and participation		
Code	Indicators	Compliance YES/NO
RI-3-1	Are there regulations that mandate the availability of information on risk analysis which also define the mechanisms or tools for their exchange?	No
RI-3-2	Are there regulations that mandate the availability of information on climate change studies which also define the mechanisms or tools for their exchange?	No
RI-3-3	Has the national entity responsible for generating information on geological phenomena, performed at least one quality assessment of their research, monitoring and dissemination process in the last 3 years?	No
RI-3-4	Has the national entity responsible for generating information on hydrological and meteorological phenomena, performed at least one quality assessment of their research, monitoring and dissemination process in the last 3 years?	No
RI-3-5	Has the national control entity performed at least one verification or assessment on information generation and its availability on disaster risk in the last 5 years?	No
RI-3-6	Do the national DRM regulations mandate the responsibility to inform the citizens about disaster risk?	No

**Index component: Risk Reduction [RR]**

RR-1A Coordination and central articulation of the policy		
Code	Indicators	Compliance YES/NO
RR-1A-1	Are there regulations that establish authority in an articulated manner between disaster risk reduction and climate change adaptation for territorial and sectorial entities?	No
RR-1A-2	Are there regulations that define example of acceptable risk for at least 2 threats in the country?	Yes
RR-1A-3	Is there at least one national standard that mandates public entities to reduce the vulnerability of essential buildings, indispensable or critical infrastructure through measures of reinforcement or replacement?	No



RR-1A-4	Are there regulations that stipulate specific penalties for the breach of regulations related to the design, construction or location of public and private infrastructure or buildings?	Yes
RR-1A-5	Are there regulations that mandate that disaster risk reduction measures are incorporated during the construction of public and private infrastructural projects?	No

RR-1B Definition of sectorial responsibilities		
Code	Indicators	Compliance YES/NO
RR-1B-1	Within the National Disaster Risk Management regulations is each sector responsible for reducing disaster risk in the areas of its sectorial competence?	No
RR-1B-2	Within the National Disaster Risk Management regulations are public service provider companies responsible to reduce disaster risk in the scope of their operations?	No
RR-1B-3	Is there at least one national safety standard (code) for earthquake resistant design of buildings, or similar (eg wind), which is mandatory for public and private projects?	No
RR-1B-4	Are there regulations that standardize the technical aspects of construction, recommend special design parameters for essential buildings, indispensable or critical infrastructure in the country?	No
RR-1B-5	Have the earthquake-resistant standards been reviewed at least once in the last 10 years?	No
RR-1B-6	Are goals or results of disaster risk reduction integrated within the objectives of the standard environmental management regulations?	Yes
RR-1B-7	Do the environmental sector regulations define the responsibility to reduce disaster risk within its powers?	No
RR-1B-8	Do the agriculture sector regulations define the responsibility to reduce disaster risk within its powers?	No
RR-1B-9	Do the health sector regulations define the responsibility to reduce disaster risk within its powers?	No
RR-1B-10	Do the housing sector regulations define the responsibility to reduce disaster risk within its powers?	No
RR-1B-11	Do the education sector regulations define the responsibility to reduce disaster risk within its powers?	No
RR-1B-12	Do the tourism sector regulations define the responsibility to reduce disaster risk within its powers?	No
RR-1B-13	Does the transport sector (or equivalent) regulations define the responsibility to reduce disaster risk within its powers?	No
RR-1B-14	Do the water or sanitation (or equivalent) regulations define the responsibility to reduce disaster risk within its powers?	Yes
RR-1B-15	Does the telecommunication sector (or equivalent) regulations, define the responsibility to reduce disaster risk within its powers?	No

RR-1B-16	Does the energy sector (or equivalent) regulations define the responsibility to reduce disaster risk within its powers?	No
RR-1B-17	Are there regulations that mandate the performing of disaster risk analysis during the pre-investment phase of the project cycle?	No
RR-1B-18	Are there regulations that mandate the integration of climate change studies during the pre-investment phase of the project cycle?	No
RR-1B-19	Are there regulations which mandate that disaster risk analysis be carried out in other phases of the project cycle outside the pre-investment phase?	No

RR-1C Definition of territorial responsibilities		
Code	Indicators	Compliance YES/NO
RR-1C-1	Does the National Disaster Risk Management regulation establish that territorial management units are responsible for disaster risk reduction in their respective territories?	No
RR-1C-2	Do the functions and competence regulations of the territorial management units in the country establish disaster risk reduction as one of its powers?	No
RR-1C-3	Are there regulations on development planning and land use (or equivalent), which establish the zoning of areas at risk as a determinant factor in the definition of use and occupation of the land?	Yes
RR-1C-4	Are there regulations for the overall improvement of human settlements?	Yes
RR-1C-5	Are there regulations for the relocation of human settlements located in risk zones?	No

RR-2 Evidence of process in implementation		
Code	Indicators	Compliance YES/NO
RR-2-1	In the last fiscal period, were funds assigned to the Ministry of Environment to perform disaster risk reduction activities that can be verified through budget classification tools?	Yes
RR-2-2	In the last fiscal period, were funds assigned to the Ministry of Agriculture to perform disaster risk reduction activities that can be verified through budget classification tools?	Yes
RR-2-3	In the last fiscal period, were funds assigned to the Ministry of Health to perform disaster risk reduction activities that can be verified through budget classification tools?	No
RR-2-4	In the last fiscal period, were funds assigned to the Ministry of Housing to perform disaster risk reduction activities that can be verified through budget classification tools?	No
RR-2-5	In the last fiscal period, were funds assigned to the Ministry of Education to perform disaster risk reduction activities that can be verified through budget classification tools?	No
RR-2-6	In the last fiscal period, were funds assigned to the Ministry of Tourism to perform disaster risk reduction activities that can be verified through budget classification tools?	No

RR-2-7	In the last fiscal period, were funds assigned to the Ministry of Transport to perform disaster risk reduction activities that can be verified through budget classification tools?	Yes
RR-2-8	In the last fiscal period, were funds assigned to the national entity responsible for water and sanitation to perform disaster risk reduction activities that can be verified through budget classification tools?	Yes
RR-2-9	In the last fiscal period, were funds assigned to the national entity responsible for telecommunication to perform disaster risk reduction activities that can be verified through budget classification tools?	No
RR-2-10	In the last fiscal period, were funds assigned to the national entity responsible for energy to perform disaster risk reduction activities that can be verified through budget classification tools?	No
RR-2-11	Has the public service providing company for water and sanitation with the largest portfolio of users in the country, implemented at least one project or programme that includes disaster risk reduction activities in their infrastructure in the last 5 years?	No
RR-2-12	Has the country's largest energy (generation, transmission and distribution) company implemented at least one project or programme that includes disaster risk reduction activities in their infrastructure in the last 5 years? (NOTE: in case they are different companies, the same question applies).	No
RR-2-13	Has the country's largest telecommunications company implemented at least one project or programme that includes disaster risk reduction activities in their infrastructure in the last 5 years?	No

RR-3 Monitoring, accountability and participation		
Code	Indicators	Compliance YES/NO
RR-3-1	Are there regulations that establish a system of penalties to public and private entities when violators cause damage to the environment?	Yes
RR-3-2	Has the national controlling entity performed at least a verification or evaluation on the performance of actions regarding disaster risk reduction in the last 5 years?	No
RR-3-3	Do the regulations that govern the formulation of development planning and land use (or similar), assign responsibilities for monitoring, evaluation and updates?	Yes
RR-3-4	Do the regulations that govern watershed planning and management (or planning tool equivalent), assign responsibilities for their monitoring, evaluation and update?	No
RR-3-5	Has the national controlling entity or sector regulator performed at least one assessment on the implementation of risk reduction measures during the construction phase of infrastructure in last 5 years?	No

**Index component: Disaster Preparedness [DP]**

<b>DP-1A. Coordination and central articulation of the policy</b>		
<b>Code</b>	<b>Indicators</b>	<b>Cpmpliance YES/NO</b>
DP-1A-1	Are there regulations that establish an inter-institutional organization at the national level for the process of preparedness and response?	No
DP-1A-2	Do the regulations that govern the preparedness and response process establish a mechanism or instance for crisis management at the highest national political level?	No
DP-1A-3	Are there regulations that govern the preparedness and response process which also establish the development of official protocols for the coordination of operations or incident commands?	No
DP-1A-4	Are there regulations that govern the implementation of temporary regime measures in the case of disaster, emergency or public calamity?	Yes
DP-1A-5	Do the regulations that govern the preparedness and response processes also establish the formulation of emergency or contingency plans at the national level?	No
DP-1A-6	Do the regulations that govern the arrangement and response processes establish that the response actions and humanitarian assistance are based on damage assessments and needs analysis?	No
DP-1A-7	Do the regulations that govern the preparedness and response processes establish that drills and simulations are carried out? ,	No
DP-1A-8	Are there regulations for the coordination of international assistance and mutual help in case of disaster?	Yes

<b>DP-1B. Definition of sectorial responsibilities</b>		
<b>Code</b>	<b>Indicators</b>	<b>Cpmpliance YES/NO</b>
DP-1B-1	Do the regulations that govern the preparedness and response processes mandate the establishment of emergency or contingency plans in the different sectors or ministries?	No
DP-1B-2	Do the regulations that govern the preparedness and response processes, foresee the implementation and operation of (monitoring, vigilance or warning systems) surveillance systems that are able to trigger an alarm when natural hazardous phenomena occur?	No
DP-1B-3	Do the environmental sector regulations define the responsibility to carry out preparedness for disaster response activities in the scope of their powers?	Yes
DP-1B-4	Do the agriculture sector regulations define the responsibility to carry out preparedness for disaster response activities in the scope of their powers?	No
DP-1B-5	Do the health sector regulations define the responsibility to carry out preparedness for disaster response activities in the scope of their powers?	No

DP-1B-6	Do the housing sector regulations define the responsibility to carry out preparedness for disaster response activities in the scope of their powers?	No
DP-1B-7	Do the education sector regulations define the responsibility to carry out preparedness for disaster response activities in the scope of their powers?	No
DP-1B-8	Do the tourism sector regulations define the responsibility to carry out preparedness for disaster response activities in the scope of their powers?	No
DP-1B-9	Do the transport sector regulations (or equivalent sector) define the responsibility to carry out preparedness for disaster response activities in the scope of their powers?	No
DP-1B-10	Do the water and sanitation sector regulations (or equivalent) define the responsibility to carry out preparedness for disaster response activities in the scope of their powers?	No
DP-1B-11	Do the telecommunication sector regulations (or equivalent) define the responsibility to carry out preparedness for disaster response activities in the scope of their powers?	No
DP-1B-12	Do the energy sector regulations (or equivalent) define the responsibility of carry out preparedness for disaster response activities in the scope of their powers	No
DP-1B-13	Do the regulations that govern public service companies that provide water and sanitation, require the formulation and implementation of plans for business continuity or disaster operations?	No
DP-1B-14	Do the regulations that govern public telecommunication companies require the development of business continuity plan of operations before a disaster event?	No
DP-1B-15	Do the regulations that govern public energy companies require the development of business continuity plan for operations before a disaster event?	No
DP-1B-16	Are there regulations that mandate development and implementation of emergency or contingency plans associated with transport, handling or processing of hazardous substances?	No
DP-1B-17	Are there regulations regarding the establishment of the development and implementation of emergency or contingency plans in the event of fuel spill or oil pollution?	Yes

DP-1C. Definition of territorial responsibilities		
Code	Indicators	Compliance YES/NO
DP-1C-1	Do the regulations that govern the preparedness and response processes provide instances of coordination in the territory?	Yes
DP-1C-2	Do the regulations that govern the preparedness and response processes establish subsidiary assistance criteria between the different government levels?	No
DP-1C-3	Do the regulations that govern the preparedness and response processes establish the formulation of emergency or contingency plans at territorial levels?	No

DP-1C-4	Are there regulations (other than the DRM or preparedness) that define competence for the territorial management units in preparedness and response?	No
DP-1C-5	Are there regulations that enable municipalities to use their own resources outside their jurisdiction in situations of emergency?	No

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DP-2. Evidence of process in implementation		
Code	Indicators	Compliance YES/NO
DP-2-1	Has the national responsible entity for preparedness and response coordination received funding for these functions in the last fiscal period?	No
DP-2-2	Has at least one national firefighter service received funding for disaster preparedness activities in the last fiscal period?	Yes
DP-2-3	Has the national responsible entity for forest fire prevention and control received funding for disaster preparedness activities in the last fiscal period?	Yes
DP-2-4	Does the environmental sector have any National Emergency, contingency or continuity of operations or equivalent plan which has been formally approved at least in the last 5 years?	No
DP-2-5	Does the agricultural sector have any National Emergency, contingency or continuity of operations or equivalent plan which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received funding for disaster preparedness activities in the last fiscal period?	No
DP-2-6	Does the health sector have any National Emergency, contingency or continuity of operations or equivalent plan which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received funding for disaster preparedness activities in the last fiscal period?	No
DP-2-7	Does the housing sector have any National Emergency, contingency or continuity of operations or equivalent plan which has been formally approved at least in the last 5 years?	No
DP-2-8	Does the education sector have any National Emergency, contingency or continuity of operations or equivalent plan which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received funding for disaster preparedness activities in the last fiscal period?	No
DP-2-9	Does the tourism sector have any National Emergency, contingency or continuity of operations or equivalent plan which has been formally approved at least in the last 5 years?	No
DP-2-10	Does the transport sector (or equivalent) have any National Emergency, contingency or continuity of operations or equivalent plan which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received resources for disaster preparedness activities in the last fiscal period?	No

DP-2-11	Does the water and sanitation sector have any National Emergency, contingency or continuity of operations or equivalent plan which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received resources for disaster preparedness activities in the last fiscal period?	No
DP-2-12	Does the energy sector have any National Emergency, contingency or continuity of operations or equivalent plan which has been formally approved at least in the last 5 years, and has the coordinator or guiding entity received funding for disaster preparedness activities in the last fiscal period?	No
DP-2-13	Does the country's largest national water supply and sanitation company have any emergency, contingency or continuity operation plans in case of disaster?	No
DP-2-14	Does the country's largest energy (generation, transmission and distribution) company have any emergency, contingency or continuity operation plans in case of disaster? (Note: in case of multiple companies, the same question apply to each)	No
DP-2-15	Does the country's largest telecommunication service provider have any emergency, contingency or continuity operation plans in case of disaster?	Yes

DP-3. Monitoring, accountability and participation		
Code	Indicators	Compliance YES/NO
DP-3-1	Are there regulations that establish mechanisms in which civil society, social and non-governmental organization to participate in the disaster preparation?	No
DP-3-2	Has the national controlling entity performed at least one assessment on disaster preparedness in the last 5 years?	No
DP-3-3	Has the national controlling entity carried out at least one 'After event' assessment on the government performance in relation to its recovery after the last 5 major disasters were declared at the national level or when international assistance was requested?	No
DP-3-4	Has the national entity responsible for coordinating disaster preparedness and response carried out at least one assessment on the quality of their process in the last 3 years?	No
DP-3-5	Has the national entity responsible for preparedness and response adopted quality standards in humanitarian assistance at least in relation to the water, sanitation, nutrition and temporary shelter?	No
DP-3-6	Was any mechanism of community participation activated in response to at least one of the last 5 nationally declared disasters or when international assistance was requested?	No

#### Index component: Recovery Planning [RC]

#### RC-1A. Coordination and central articulation of the policy



Code	Indicators	Compliance YES/NO
RC-1A-1	Are there regulations on post-disaster recovery which define the responsibility of the State facing this process?	No
RC-1A-2	Are there regulations that establish the recovery of livelihoods as a purpose of post-disaster recovery?	No
RC-1A-3	Are there regulations that mandate institutional arrangements for coordinating post-disaster reconstruction?	No
RC-1A-4	Are there regulations that mandate the conduct of studies on the causes of disasters to guide recovery that would prevent the rebuilding of risk associated with the pre-existing conditions?	No
RC-1A-5	Are there regulations mandating the development of post-disaster recovery plans that explicitly seek to reduce pre-existing vulnerability?	No
RC-1A-6	Are there regulations mandating the development of before event post-disaster recovery plans?	No
RC-1A-7	Are there regulations which mandate that post-disaster recovery plans should define the duration of the stage that will support the restoration of during the transition between the response and reconstruction?	No
RC-1A-8	Are there regulations which mandate that post-disaster recovery plans should define the period in which affected homes are repaired or rebuilt?	No

RC-1B. Definition of sectorial responsibilities		
Code	Indicators	Compliance YES/NO
RC-1B-1	Are the responsibilities for carrying out Post-disaster recovery preparation activities defined under the environmental sector regulations?	No
RC-1B-2	Are the responsibilities for carrying out Post-disaster recovery preparation activities defined under the agriculture sector regulations?	No
RC-1B-3	Are the responsibilities for carrying out Post-disaster recovery preparation activities defined under the health sector regulations?	No
RC-1B-4	Are the responsibilities for carrying out Post-disaster recovery preparation activities defined under the housing sector regulations?	No
RC-1B-5	Are the responsibilities for carrying out Post-disaster recovery preparation activities defined under the education sector regulations?	No
RC-1B-6	Are the responsibilities for carrying out Post-disaster recovery preparation activities defined under the tourism sector regulations?	No
RC-1B-7	Are the responsibilities for carrying out Post-disaster recovery preparation activities defined under the transport sector regulations (or equivalent)?	No
RC-1B-8	Are the responsibilities for carrying out Post-disaster recovery preparation activities defined under the water and sanitation sector regulations (or equivalent)?	No



RC-1B-9	Are the responsibilities for carrying out Post-disaster recovery preparation activities defined under the telecommunication sector regulations (or equivalent)?	No
RC-1B-10	Are the responsibilities for carrying out Post-disaster recovery preparation activities defined under the energy sector regulations (or equivalent)?	No

RC-1C. Definition of territorial responsibilities		
Code	Indicators	Compliance YES/NO
RC-1C-1	Are there regulations that govern the assessment, review or update of development plans after a disaster has affected the territorial management units?	No
RC-1C-2	Are there regulations that standardize the assessment, review or update of development plans for the territorial planning and land use after a disaster has affected the territorial management units?	No

RC-2. Evidence of process in implementation		
Code	Indicators	Compliance YES/NO
RC-2-1	Does the Ministry of Environment (or guiding entity or environmental coordinator) have a post-disaster recovery before event plan for the sector that has been formally approved at least in the last 5 years?	No
RC-2-2	Does the Ministry of Agriculture (or equivalent) have a post-disaster recovery before event plan for the sector that has been formally approved at least in the last 5 years?	No
RC-2-3	Does the Ministry of Health (or equivalent) have a post-disaster recovery before event plan for the sector that has been formally approved at least in the last 5 years?	No
RC-2-4	Does the Ministry of Housing (or equivalent) have a post-disaster recovery before event plan for the sector that has been formally approved at least in the last 5 years?	No
RC-2-5	Does the Ministry of Education (or equivalent) have a post-disaster recovery before event plan for the sector that has been formally approved at least in the last 5 years?	No
RC-2-6	Does the Ministry of Tourism (or equivalent) have a post-disaster recovery before event plan for the sector that has been formally approved at least in the last 5 years?	No
RC-2-7	Does the Ministry of Transport (or equivalent) have a post-disaster recovery before event plan for the sector that has been formally approved at least in the last 5 years?	No
RC-2-8	Does any government entity or water and sanitation sector have a post-disaster recovery before event plan that has been formally approved at least in the last 5 years?	No
RC-2-9	Does any government entity or telecommunication sector have a post-disaster recovery before event plan that has been formally approved at least in the last 5 years?	No
RC-2-10	Does any government entity or energy sector have post-disaster recovery before event plan that has been formally approved at least in the last 5 years?	No

RC-3. Monitoring, accountability and participation		
Code	Indicators	Compliance YES/NO
RC-3-1	Are there regulations which establish mechanisms for participation of civil society or social and non-governmental organizations in post-disaster recovery?	No
RC-3-2	Has any national controlling entity carried out at least one assessment on how the government managed the recovery process in the last 5 major disaster nationally declared or when international assistance was requested?	No
RC-3-3	Were any information mechanisms activated which affected recovery in at least one of the last 5 nationally declared disaster or when international assistance was requested?	No
RC-3-4	Were any community mechanisms activated which affected recovery in at least one of the last 5 nationally declared disaster or when international assistance was requested?	No

**Index component: Financial Protection [FP]**

FP-1A. Coordination and central articulation of the policy		
Code	Indicators	Compliance YES/NO
FP-1A-1	Do the national regulations on Disaster Risk Management establish national funds to finance emergent expenses in disaster situations?	No
FP-1A-2	Do the national regulations on Disaster Risk Management establish the annual percentage of resources to allocate to the national fund for emergent expenses in disaster situations?	No
FP-1A-3	Are there regulations that establish the creation of disaster risk retention and transfer structure in the country?	No
FP-1A-4	Do the regulations governing the technical provisions of the insurance sector mandate that the estimation of catastrophic risk reserves for non- homogenous/special assets be sustained by probabilistic risk assessment models defined or certified by the sector's regulating entity?	No
FP-1A-5	Do the regulations governing the technical provisions of the insurance sector mandate that the estimation of catastrophic risk reserves for homogenous/uniform assets be sustained by probabilistic risk assessment models defined or certified by the sector's regulating entity?	No
FP-1A-6	Are there regulations that establish development funds for financing disaster management activities?	No

FP-1B. Definition of sectorial responsibilities		
Code	Indicators	Compliance YES/NO

FP-1B-1	Are there regulations that establish the State's fiscal responsibility surrounding disaster risk?	No
FP-1B-2	Are there regulations that assign competencies to the Treasury, Finance or Economy sector, for financial protection from disaster risk?	No
FP-1B-3	Are there regulations that establish that sectorial entities must cover their public assets with insurance policies or another type of equivalent mechanism?	No
FP-1B-4	Are there regulations on incentives for private housing insurance against disaster risk?	No

FP-1C. Definition of territorial responsibilities		
Code	Indicators	Compliance YES/NO
FP-1C-1	Are there regulations that establish that territorial entities must cover their public assets with insurance policies or another type of equivalent mechanism?	No
FP-1C-2	Are there regulations that mandate the implementation of structures for financial protection from disasters in cities with more than 100,000 inhabitants?	No
FP-1C-3	Does the country's capital city have a fund or equivalent mechanism for financing or co-financing disaster management activities?	No
FP-1C-4	Does the capital city's fund or equivalent mechanism for financing or co-financing disaster management activities have the capacity to accumulate resources over time?	No
FP-1C-5	Is the capital city's fund or equivalent mechanism for financing or co-financing disaster management activities, based on an optimal rule of accumulation and expenditure based on the Anticipated Annual Loss and on the information recorded on the losses from disasters in previous years?	No

FP-2. Evidence of process in implementation		
Code	Indicators	Compliance YES/NO
FP-2-1	Has the Ministry of Treasury, Finance or Economy determined the resources needed to cover Probable Maximum Loss (PML) from catastrophic events for different return periods?	No
FP-2-2	Has the Ministry of Treasury, Finance or Economy determined the resources needed to cover Probable Maximum Loss (PML) from catastrophic events for different return periods?	Yes
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 smaller and frequent events?	Yes
FP-2-4	Has the Ministry of Treasury, Finance or Economy (or other competent entity) approved standards for insuring public constructions in the event of disaster?	No
FP-2-5	Has the Ministry of Treasury, Finance or Economy (or other competent entity), approved standards for insuring the concessions of at least one basic service or critical infrastructure in the event of disaster?	No
FP-2-6	Has the Ministry of Treasury, Finances or Economy (or other competent entity), approved minimum requisites for the participation of the insuring and reinsuring agents in insurance and reinsurance contracts for at least one asset of the State fiscal responsibility?	No
FP-2-7	Has the Ministry of Treasury, Finance or Economy (or other competent entity), developed guidelines for the territorial entities for the financial protection against disaster risk?	No
FP-2-8	Is there a fund or equivalent mechanism in place to finance or co-finance risk management activities?	No
FP-2-9	Does the fund or equivalent mechanism for financing or co-financing disaster management activities have the capacity to accumulate resources over time?	No
FP-2-10	Is the fund or equivalent mechanism for financing or co-financing disaster management activities, based on the golden rule of accumulation and expenditure based on the Anticipated Annual Loss and the recorded information on the losses from disasters in previous years?	No
FP-2-11	Has the country underwritten at least one contingent credit explicitly tied to the financing of emergent expenses in disaster situations?	No
FP-2-12	Does at least one municipality of the country's capital city have a current instrument of disaster risk transference for a portfolio of assets of State fiscal responsibility?	No
FP-2-13	Has at least one risk transference mechanism to collectively cover the portfolio of fiscal assets of at least a sector been implemented?	No

FP-2-14	Does the Ministry or Secretariat of National Development Planning; or the Ministry of Treasury, Finance or Economy; or the Entity in charge of Disaster Risk management; or the Agriculture sector; have at least one financial instrument designed ex-ante to stimulate economic reactivation in areas affected by disasters?	No
FP-2-15	Does the Ministry of Agriculture have a structure for the financial protection of the agriculture sector (or equivalent) against disaster risk?	No

FP-3. Monitoring, accountability and participation		
Code	Indicators	Compliance YES/NO
FP-3-1	Has the national controlling entity carried out at least one evaluation of compliance with current regulations on financial protection mechanisms in the last 5 years?	No
FP-3-2	Has the governing body of the insurance sector carried out at least one verification or assessment of the use of the probabilistic evaluation model of the risk for the estimation of catastrophic risk reserves of the insurance companies in the last 3 years?	No
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?	No