

# DIPECHO Action Plan for the Caribbean 2011-2012



## Common Format for the Preparation of Country Documents

Office of the United Nations for Disaster Risk Reduction (UNISDR)  
Regional Office for the Americas

English version, June 2012

## Common Format for the Preparation of Country Documents

### Introduction

The Common Format for the Preparation of Country Documents was developed in a consultation process led by the secretariat of the United Nations International Strategy for Disaster Reduction (UNISDR). The goal of the Common Format for the Preparation of Country Documents is to provide guidance to countries about the presentation of information relevant to disaster risk at national level.

The Common Format is the result of a consultative process that included the participation of the main stakeholders in disaster risk reduction (hereafter DRR) in the Caribbean. The Common Format for the Caribbean is a contextualised version of the Common Format that was developed in South America.

It is expected that the Common Format will be used by relevant national authorities, DIPECHO partners and stakeholders involved in DRR for the development or the updating of their respective country documents. It aims to become the national reference document promoting policies and decision making for interventions for DRR by representatives of the national system and international cooperation agencies and to achieve sustainable development. It furthermore can guide the planning and funding of actions and activities, and can facilitate the establishment of channels of cooperation.

The focus of the Common Format is to provide a holistic profile of DRR at national level. It is expected that countries will be able to identify the suggested information, in accordance with their capacities and circumstances, to reflect the national situation in this area.

Two major parts comprise the Common Format:

- (a) structure and content of the Country Document, and
- (b) the corresponding methodological guide.

## Part A: Structure of the Country Document

- Message from government authorities
  - Table of Contents
  - Introduction
1. Executive Summary
  2. Acronyms
  3. International and Regional Disaster Risk Reduction Context
  4. National Context
    - 4.1 Physical Environment
      - 4.1.1. Geographic location
      - 4.1.2 Physiography
      - 4.1.3 Climate
    - 4.2 Socio-Economic Context
      - 4.2.1 Population and demographics
      - 4.2.2 The economy
      - 4.2.3 Poverty and unemployment
      - 4.2.4 Most vulnerable groups
    - 4.3 Governance Structure
      - 4.3.1 Political structure and organisation
      - 4.3.2. Local government and levels of decentralisation
      - 4.3.3. Coordination mechanisms between State and non-governmental actors
    - 4.4 Development Context
      - 4.4.1 National development objectives
  5. The Country's Disaster Risk Reduction Legal, Normative and Institutional Profile
    - 5.1 Legal framework
      - 5.1.1 Constitution
      - 5.1.2 Laws and legally binding provisions
    - 5.2 Normative framework
      - 5.2.1 Normative instruments for disaster risk reduction technical and political decision making
      - 5.2.2 Public policies
    - 5.3 Institutional framework
      - 5.3.1 Organization of the national system and mechanisms at all levels

## Common Format for the Preparation of Country Documents

### 5.3.2 National plans and their implementation

## 6. The State of Disaster Risk in the Country

### 6.1 Historical disaster analysis

### 6.2 Hazards / Threats

#### 6.2.1 Natural

#### 6.2.2 Anthropogenic/Man-made

#### 6.2.3 Emergencies affecting Public Health and Safety

### 6.3. Vulnerability

#### 6.3.1 Analytical criteria and methodology

#### 6.3.2 Components

#### 6.3.3. Vulnerability analysis based on selected criteria

### 6.4. Capacities

#### 6.4.1. Analytical criteria and methodology

#### 6.4.2. Institutional and coordination mapping

#### 6.4.3. Mapping of disaster risk reduction programmes, initiatives and plans

#### 6.4.4. Tool inventory

### 6.5. Reduction of underlying risk factors

## 7. Disaster Risk Analysis of the Country

### 7.1. Definition of analytical criteria and methodology

### 7.2. Definition of risk scenarios

### 7.3. Prioritization of risk scenarios and areas for intervention

## 8. Strategic Directions for Disaster Risk Reduction in the Country

## 9. Conclusions and Recommendations

❖ Annexes of this guide

❖ References

## Part B: Methodological Guide for the Preparation of Country Documents

### Table of Contents

I. About this Methodological Guide .....	6
Methodological Aspects.....	6
Disaster Risk Reduction Terminology .....	8
II. Guidance on the Process of Preparing or Updating the Country Document .....	10
Message from government authoritiesTable of Contents .....	10
Introduction.....	10
1. Executive Summary .....	11
2. Acronyms.....	11
3. International and Regional Disaster Risk Reduction Context .....	11
4. National Context.....	14
5. The Country ´s Disaster Risk Reduction Legal, Normative and Institutional Framework.....	16
6. The State of Disaster Risk in the Country .....	17
7. Disaster Risk Analysis of the Country .....	27
8. Strategic Directions for Disaster Risk Reduction in the Country .....	29
9. Conclusions and Recommendations .....	29
❖ Annexes of this Guide.....	29
❖ References.....	48

### I. About this Methodological Guide

This methodological guide for the preparation of a Country Document was undertaken as part of the UNISDR project "Strengthening the Disaster Risk Reduction in the Caribbean at the regional, national and local levels", within the DIPECHO Action Plan 2011-2012 for the Caribbean.<sup>1</sup> It is the result of a joint effort by UNISDR and DG ECHO to harmonize and link existing DRR information in countries in the region, both for the preparation and the updating of Country Documents, as well as to fill the need for documentation on the current state of DRR in the countries as an element of sustainable development.

It is recommended that the Common Format will be used for the preparation and/or updating of Country Documents and as a tool for national systems, Hyogo Framework for Action (HFA) focal points, agencies and actors linked to DRR. It is suggested that it becomes the national reference document that guides the formulation of policies, strategies, plans, programming and funding of actions and activities to increase the resilience of countries and communities and attain sustainable development.

The focus of the Common Format is to provide a holistic profile of DRR at national level. It is recommended that countries will be able to identify the suggested information, in accordance with their capacities and circumstances, to reflect the national situation in this area.

The Common Format is the result of a participatory process that involved national authorities, DIPECHO partners, the international community, intergovernmental organizations and other DRR stakeholders in the Caribbean with a view to its application in other parts of the region.

The objective of the methodological guide is to provide guidance to national authorities and technical teams in charge of the preparation or the updating of the Country Document, as well as on the conceptual and methodological elements necessary for implementing the process. The methodological guide provides support for the development of the Country Document's contents by following the structure in "Part A, Structure and Contents of the Country Document".

This introductory section of the guide identifies the purpose of the Country Document and provides information about the guide, such as its goal, audience, DRR terminology used and the methodological aspects of preparing and updating.

#### Methodological Aspects

The goal of developing this Common Format was to use a regional standardized structure for Caribbean countries in the preparation of their Country Document as well as to facilitate comparative analysis between them and enable the development of Regional Documents.

---

<sup>1</sup> [http://www.eird.org/dipecho-action-plan-caribbean/presentations/ECHO\\_presentations/ECHO\\_Overview\\_dipecho\\_actionPlan2011\\_2012.pdf](http://www.eird.org/dipecho-action-plan-caribbean/presentations/ECHO_presentations/ECHO_Overview_dipecho_actionPlan2011_2012.pdf)

## Common Format for the Preparation of Country Documents

It should be noted that the topics considered in this guide are guidelines that each country may adapt according to its own criteria and priorities, importance or preference, pertinence or applicability, and as feasible given available information at the time of the Document's preparation or updating.

In reference to the structure defined in "Part A: Structure and Contents of the Country Document", the parameters outlined in this section will assist in delineating the scope of the process of preparing and/or updating the Country Document. To facilitate this process, this guide provides for each section and subsection: 1) technical guidelines, first defining their own scope and highlighting their importance; 2) a brief introduction if appropriate; and 3) the information requirements for each topic including some suggestions toward their development, 4) footnotes, 5) annexes and website references are likewise included to provide further details, broaden topics or concepts. 6) Some sections also include reference information to guide their development.

As the Country Document aims to be dynamic, flexible and sustainable, those responsible for its preparation in the country may decide to exclude certain aspects that may be included or considered for inclusion when updating it. National agencies are to decide on the development or inclusion of studies, specialized reports, maps or any other additional action that strengthens the document. The information should be backed up with figures as much as possible to enhance its validity and credibility.

### Target Audience

The guide is targeted to representatives of the following agencies:

---

National	Regional
<ul style="list-style-type: none"><li>▪ National DRR/DRM system and focal agency for the Hyogo Framework and for the UNISDR,</li><li>▪ Authorities at all government levels and sectors,</li><li>▪ National Platform for DRR<sup>2</sup> or similar,</li><li>▪ DIPECHO partners,</li><li>▪ Resident Coordinator offices and United Nations System agencies,</li><li>▪ Non-Governmental Organizations (NGOs),</li><li>▪ National Red Cross and Red Crescent Societies,</li><li>▪ Public and private sectors,</li><li>▪ Universities, scientific and technical institutions,</li><li>▪ Community-based organizations,</li><li>▪ Others.</li></ul>	<ul style="list-style-type: none"><li>▪ Caribbean Disaster Emergency Management Agency (CDEMA),</li><li>▪ Caribbean Community (CARICOM),</li><li>▪ The Organisation of Eastern Caribbean States (OECS),</li><li>▪ Association of Caribbean States (ACS),</li><li>▪ Risk, Emergency, and Disaster Task Force Inter-Agency Workgroup for Latin America &amp; The Caribbean (REDLAC),</li><li>▪ Community of Latin American and Caribbean States (CELAC),</li><li>▪ United Nations System agencies,</li><li>▪ Bilateral and multilateral agencies,</li><li>▪ International community and cooperation agencies,</li><li>▪ Eastern Caribbean Donor Group for Disaster Management (ECDGDM),</li><li>▪ Caribbean Community Climate Change Centre (CCCCC),</li><li>▪ Others.</li></ul>

---

<sup>2</sup> "National Platform for DRR" is a term adopted by the UNISDR that refers to nationally owned and led multi-stakeholder forums or committees working on disaster risk reduction. They reflect the commitment of its government to implement national and local disaster risk reduction activities while linking up to international efforts.

## Common Format for the Preparation of Country Documents

### Disaster Risk Reduction Terminology

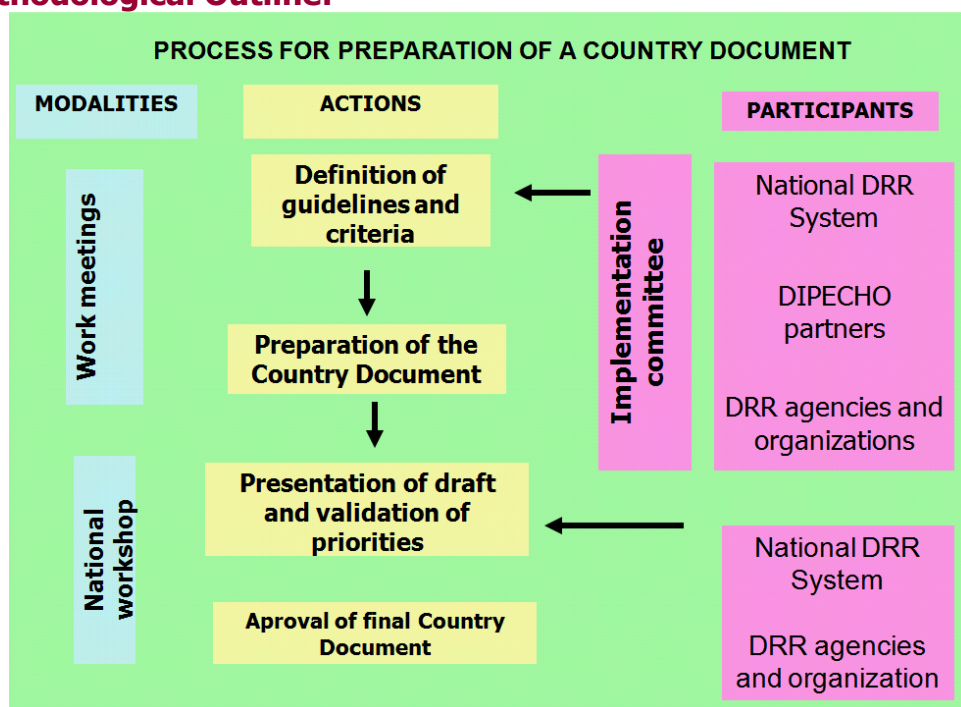
The terminology used for the preparation of this document is UNISDR's terminology and definitions and/or terminology established in the national legal framework. The aim is to promote understanding and use of common DRR concepts, as well as support DRR efforts undertaken by the government, experts and the public.

More information: [http://www.unisdr.org/files/7817\\_UNISDRTerminologyEnglish.pdf](http://www.unisdr.org/files/7817_UNISDRTerminologyEnglish.pdf)

Disaster = Hazard Exposure x Vulnerability

Disaster Risk Reduction = Reduced hazard exposure and lessened vulnerability

### Methodological Outline:



### Participants

The process of preparing the Country Document is inclusive and participatory. It is led by the entity that manages or coordinates the national disaster risk management (DRM) system and includes national authorities responsible for DRR implementation in the country, key stakeholders working on DRR in all relevant sectors (such as health, education, planning, housing and development, economic affairs and finance, etc.), universities as well as technical and scientific institutions, the private sector, civil society, international cooperation agencies, DIPECHO partners, and members of existing DRR platforms, among others.

### Modalities

The process of preparing the Country Document is best undertaken in work meetings and/or national workshops that include all sectors, agencies, stakeholders and mechanisms linked to DRR. Nevertheless, every country should choose the most appropriate modalities for the process.



## Common Format for the Preparation of Country Documents

### **Information Needs**

The Country Document should respond to information requirements about the state of disaster risk and the management of risk reduction at national level. The knowledge, experience, and perceptions of key stakeholders of the national system, platforms or committees participating in the process form the basis for the information's development. The information to be included should be available at the time of the Country Document's elaboration; this means a process for collecting information should be thus necessary before the organization of the country's national workshop (for example collection at field level).

The information to be included should be relevant and available at the time of the Document's preparation.

### **Phases of the process**

Three phases are proposed for the development of the process:

- 1° Planning,
- 2° Joint development or updating of the Country Document, and
- 3° Consultation and approval.

Nevertheless each country should define its own process.

### **Actions to be undertaken**

The following actions are proposed for each phase:

#### **First phase, planning:**

- Definition of criteria and guidelines for the process,
- Identification and contact with participants and key stakeholders,
- Preparation of the work plan and schedule, and
- Definition of methodological aspects: items for analysis and the design of tools for compiling information.

#### **Second phase, joint preparation or updating of the Country Document:**

- Gathering of information from direct and indirect sources,
- Organization of the information compiled,
- Analysis of the information, and
- Preparation or updating of the Country Document.

#### **Third phase, consultation and approval:**

- Presentation of the draft Country Document,
- Consultation to gather additional information and suggestions,
- National workshop to validate and gather final inputs, and
- Validation and approval of the Country Document.

## **II. Guidance on the Process of Preparing or Updating the Country Document**

### **Message from government authorities**

It may include the country's perspective.

### **Table of Content**

#### **Introduction**

This section lists and thanks the stakeholders and agencies involved or consulted in the process of preparing and/or updating the Country Document; states the date of preparation; provides methodological information about the process; and specifies the purpose, objectives and scope, and audience, among others.

#### **Purpose of the Country Document**

The Country Document's purpose is to provide a comprehensive overview of the status of DRR in the country, the progress made in reducing risk, the definition of priorities and strategies, the major challenges faced in reducing the loss of lives, as well as the economic, social and environmental impacts risks generate.

It is expected that the Country Document is useful to DRR national systems, HFA focal points, national and local authorities, agencies and actors linked to DRR as a national reference document to guide the formulation of actions and activities, to promote policies and decision making for DRR and to develop sustainably.

The Country Document allows objective assessment of progress made and of the processes implemented for the reduction of vulnerability and the strengthening of resilience to risks caused by natural hazards. The assessment identifies risk scenarios, at-risk populations and the public institutions that seek to protect them by strengthening the community-centred DRR platform and as a means to reach the most isolated vulnerable communities. It is also an important reference document for the design of policies and strategies, the planning and implementation of DRR activities, and decision making for action by representatives of national systems, organizations and institutions that work on DRR in the country and international cooperation agencies. It is expected that the document will be used to influence authorities at various levels of national management, as well as to facilitate the establishment of channels for mutual help and cooperation.

Using the original information as a foundation, the document should be continuously updated with value-added information. The update frequency of the Country Document will depend on each country's needs and on the information content; the country should for example update the document before its information becomes out of date. This requires that the instrument be flexible, adaptable to changing circumstances and to the continuous inclusion of improvements and innovations. Thus it can become the institutional DRR memory of the country.

The Country Document is meant to be a joint guide, validated by authorities, scientific bodies, cooperation agencies and communities, which identifies the major hazards,

## Common Format for the Preparation of Country Documents

vulnerabilities and capacities at national, sub-national and local levels, and guides the organization of coordinated and complementary action for DRR in priority intervention sectors.

By using this standardized structure in the region, Caribbean countries will be able to compare analysis between them and use the information for benchmarking purposes across all the countries, identifying best practices, gaps and approaches for addressing the gaps.

### 1. Executive Summary

The executive summary synthesizes the main points of the document, objectives, scope, conclusions and recommendations. It also describes the criteria considered, emphasizing the analysis of disaster risk in the country (hazards, vulnerabilities and capacities), priorities and strategic interventions for DRR. The information should be backed up with figures as much as possible to enhance its validity and credibility. It is recommended that this section not exceeds three pages.

### 2. Acronyms

This section spells out the acronyms used in the document.

### 3. International and Regional Disaster Risk Reduction Context

#### Main Agreements, Strategies and International and Regional Platforms for DRR

Year	Strategy, Agreement and Platform
1989	International Decade for Natural Disaster Reduction
1994	Yokohama Strategy and Plan of Action for A Safer World
2000	International Strategy for Disaster Reduction Millennium Declaration/Millennium Development Goals <sup>3</sup>
2001	Comprehensive Disaster Management Strategy (2001-2006)
2002	Johannesburg Plan of Implementation/World Summit on Sustainable Development
2005	World Conference on Disaster Reduction/Hyogo Framework for Action (HFA) <sup>4</sup>
2007	Enhanced Comprehensive Disaster Management Strategy (2007-2012)
2007	First Session of the Global Platform for Disaster Risk Reduction
2009	First Session of the Regional Platform for Disaster Risk Reduction for the Americas
2009	Second Session of the Global Platform for Disaster Risk Reduction
2011	Second Session of the Regional Platform for Disaster Risk Reduction for the Americas

<sup>3</sup> UN Millennium Development Goals: <http://www.un.org/millenniumgoals/>

<sup>4</sup> UNISDR HFA: <http://www.unisdr.org/hfa>

## Common Format for the Preparation of Country Documents

**2011** Third Session of the Global Platform for Disaster Risk Reduction

**2012** Third Session of the Regional Platform for Disaster Risk Reduction for the Americas

**2013** Fourth Session of the Global Platform for Disaster Risk Reduction

Source: UNISDR

### **Background Information:**

In recent years, countries and the international community have gathered significant experience in DRR through the International Decade for Natural Disaster Reduction and activities undertaken by the UNISDR. Risk is increasing, however, especially in the Caribbean, exacerbated by climate change and climate variability, which has led to disasters characterized by high mortality and large economic, social and environmental impact.

During this time, it has become evident that there is a close link between development and disasters, and that development processes play a major role in the configuration of socially constructed risk. For this reason, it has been recognized that reducing disaster risk is necessary to achieve the Millennium Development Goals of the Millennium Declaration<sup>5</sup>.

The worsening scenario led countries to consider the usefulness of making commitments and developing international frameworks in various spheres for DRR and to increase the resilience of nations and communities. It likewise made evident the urgent need for a DRR tool that enabled a strategic and systematic approach for the reduction of vulnerability to hazards and the risks they generate. In this context, 168 Member States of the United Nations met at the World Conference on Disaster Reduction in Kobe, Hyogo, Japan, in January 2005 and adopted the *Hyogo Framework for Action 2005–2015: Building the Resilience of Nations and Communities to Disasters (HFA)*<sup>6</sup>. The goal of the HFA is “the substantial reduction of disaster losses, in lives as well as the social, economic and environmental assets of communities and countries” and is the reference framework for DRR public policy.

In this regard, many countries have made significant progress in understanding DRR through social research, the exchange of experiences and the participation of social and political sectors not previously included. They have undertaken important efforts in the implementation of the HFA and toward the achievement of the Millennium Development Goals by promoting forums, platforms and mechanisms for coordination, collaboration and the exchange of knowledge and experiences in DRR. This is evident in concrete actions such as the establishment of DRR platforms, promoted by UNISDR, which have the goal of raising the political profile of DRR in all sectors and to contribute to the achievement of the Millennium Development Goals, particularly those related to poverty reduction and environmental sustainability. World Disaster Risk Reduction Campaigns such as “Disaster risk reduction begins at school” 2006-2007, “Hospitals safe from disaster” 2008-2009, “Making Cities Resilient – My city is getting ready!” 2010-2015, which also follows up on

---

<sup>5</sup> The United Nations Millennium Declaration, signed in September 2000, commits world leaders to combat poverty, hunger, sickness, illiteracy, environmental degradation and discrimination against women. The Millennium Development Goals, which stem from the Declaration, define objectives and specific indicators.

<sup>6</sup> <http://www.unisdr.org/hfa>

## Common Format for the Preparation of Country Documents

the themes of the previous campaigns through the global advocacy initiative called “One Million Safe Schools and Hospitals”, are also important contributions to DRR.

The DRR work undertaken by intergovernmental bodies is also noteworthy, such as that of the Organization of American States (OAS), the Community of Latin American and Caribbean States (CELAC), the Caribbean Disaster Emergency Management Agency (CDEMA), the Ibero-American General Secretariat (SEGIB), the Union of South American Nations (UNASUR), Andean Committee for Disaster Prevention and Response (CAPRADE), the Coordination Centre for the Prevention of Natural Disasters in Central America (CEPRENAC), the Civil Defence, Civil Protection and Humanitarian Aid (REHU) and the Iberoamerican Association of Governmental Organizations of Civil Defence and Protection, among others. These bodies promote information exchange through, for example, the OAS Working Group CEPICIDI (Permanent Executive Committee of the Inter-American Council for Integral Development – CIDI-) to Strengthen (CIDI) (and the Inter American Network for Disaster Mitigation (INDM), the Inter-American Network on Disaster Mitigation (RIMD), the Meeting of Mechanisms for Emergencies from Natural Disasters led by SEGIB, the Forum for the Coordination and Cooperation of Sub-regional Mechanisms for Disaster Risk Management in the Americas, the Working Group on Risk, Emergencies and Disasters in Latin America and the Caribbean—REDLAC, Regional Meetings about International Humanitarian Mechanisms in Latin America and the Caribbean—MIAH, among others.

The Caribbean Community (CARICOM) adopted in 2001 a Strategy and Results Framework for Comprehensive Disaster Management (CDM) in the region, led by CDEMA. The revised and enhanced Framework (2007-2012)<sup>7</sup> emphasizes on disaster loss reduction through risk management.

Sectoral work can be also highlighted in this section. PAHO, for example, conducted an evaluation of the key aspects of disaster risk management, providing a comprehensive description of the state or level of the various aspects of mitigation and preparedness in the health sector (see the Health Sector Self Assessment Tool for Disaster Risk Reduction<sup>8</sup>).

International support to the region must also be recognized. Experience to date indicates the need for greater effort to improve coordination between organizations and cooperation agencies to develop synergies and a more holistic understanding of risk, sustainable development, environmental management and their interaction.

To develop content for this section the following is suggested:

- Identify international and regional contexts for DRR, climate change (CC) and climate change adaptation (CCA), and include a general overview on key players in DRR and CC/CCA as relate to DRR in this section.
- Describe the DRR processes the country has implemented or engages in, mapping initiatives and their impact nationally or internationally.

---

<sup>7</sup> <http://www.cdema.org/publications/CDMFrameworkInfoSheet.pdf>

<sup>8</sup> [http://new.paho.org/disasters/index.php?option=com\\_content&task=view&id=1443&Itemid=807](http://new.paho.org/disasters/index.php?option=com_content&task=view&id=1443&Itemid=807)

## Common Format for the Preparation of Country Documents

- Identify major progress achieved in the country in the implementation of the HFA, using the country's National HFA Progress Reports<sup>9</sup> as a basis.
- Clarify the linkage among international frameworks and how they guide DRR/DRM in the country. Include transboundary initiatives and work with neighbouring countries.
- Identify the treaties, agreements and other international instruments related to DRR of relevance to the country. Identify whether these have been ratified, the legal tools used for national effect and who are the focal points.
- Review progress made by the Caribbean Disaster Emergency Management Agency (CDEMA) in the implementation of its action plans, as appropriate.
- Detail the country's efforts and contributions toward DRR initiatives and processes, such as policies, programmes, projects and practices developed globally, regionally and sub-regionally.
- Highlight issues of particular relevance at national and local levels.
- Include specific initiatives such as the Children's Charter for Disaster Risk Reduction<sup>10</sup> and the relevance of its participation in DRR, and the Panama Declaration on Disaster Risk Reduction in the Education Sector in Latin America and the Caribbean<sup>11</sup>, among others.
- Highlight projects and good practices for DRR from other countries and sub-regions that promote disaster resilience in the country and vice versa.
- Enhance the validity of the information included with statistics and by using reliable sources.

For more information about the Hyogo Framework for Action and regional mechanisms, see "**Annex 1**, International and Regional Framework for Disaster Risk Reduction".

### 4. National Context

*This section details the country's characteristics, such as: territorial and political organization, demography and population aspects, socioeconomic situation, physical aspects (in terms of topography and morphology, climate, hydrology, ecosystems, etc.) as well as the socio-economic context in terms of population and demographics, the economy, poverty and the most vulnerable groups.*

*In regards to governance the section details its political structure and organization, local government and levels of decentralization, coordination mechanisms between the State and non-state actors. The development context details national government objectives in this area.*

<sup>9</sup> <http://www.preventionweb.net/english/hyogo/progress/reports/?pid:222>

<sup>10</sup> The Children's Charter for Disaster Risk Reduction was launched during the Global Platform for Disaster Risk Reduction held in May 2011 in Geneva. See:

[http://www.childreninachangingclimate.org/database/CCC/Publications/children\\_charter.pdf](http://www.childreninachangingclimate.org/database/CCC/Publications/children_charter.pdf)

<sup>11</sup> [http://portal.unesco.org/geography/en/ev.php-URL\\_ID=14806&URL\\_DO=DO\\_TOPIC&URL\\_SECTION=201.html](http://portal.unesco.org/geography/en/ev.php-URL_ID=14806&URL_DO=DO_TOPIC&URL_SECTION=201.html)

## Common Format for the Preparation of Country Documents

To develop content for this subsection the following is suggested:

- Provide only summary information about geographic location, territorial and political organization, include in the climate section a discussion on climate variability. Analyse natural dynamics between water systems, geomorphology, geology, hydrology and the climate, among other key physical aspects.
- In the section of socio-economic context, identify in the sub-sections of population and demographics and the most vulnerable groups, aspects such as the number of inhabitants, population pyramid, population density, growth rate, rural and urban distribution, urban-rural population indicator and major cities, urbanization processes, distribution by region, migration and internal displacement patterns<sup>12</sup>, cultural groupings and their interactions, gender roles' distribution, indigenous people, minorities, persons with disabilities, the elderly, the homeless and others.
- If the information is available and it is possible, include detailed information on population: numbers of adults, youth, adolescents, children (0-5 years and 6-11 years), the elderly (60 years and over) disaggregated by gender, as well as number of persons or families dependant on agriculture and livestock, so as to prioritize impacts, objectives and interventions.
- Include a note on the literacy rate of the country; this is important as it may guide how awareness-raising on DRR should be addressed.
- Highlight population growth, particularly in urban areas and the implications for the provision of services and adequate housing so as the implications of the population ageing for health and social care services.
- When discussing elements like economy, poverty and unemployment, present information on GDP per capita, unemployment rate, indicators about health, housing and education, among others. Emphasize the country's major economic activities, and if possible, up to sub-national levels<sup>13</sup> and zones<sup>14</sup>. It can also be interesting to make linkage with the impacts that climate change has on the socio-economic context.
- Reference the Human Development Index (HDI)<sup>15</sup>, developed by UNDP, which considers several social indicators (such as, life expectancy at birth, average age of schooling and expected years of schooling and family income or per capita consumption, etc.). It prioritizes elements of human development such as participation, gender equality, safety, sustainability, human rights and others. This indicator emphasizes the right to a healthy environment, in which DRR is a key component.
- Provide summary on governance structure such as political structure and organization, local government and levels of decentralization. Describe the level of collaboration and interaction between the State and non-governmental actors within joint networks for public and private decision making.
- Reference indicators proposed by IDB (**see Annex 5**)

---

<sup>12</sup> Detail about migratory flows: human movement of long duration from a place of origin to a destination generated by disaster or internal conflict. If the population crosses international borders, the movement is termed migration; if it remains within the country, it is internal displacement. The legal implications differ.

<sup>13</sup> The sub-national level, political and administrative units of the country, where the intermediate level is between national and local/municipal.

<sup>14</sup> Can be watersheds, affected areas, among others.

<sup>15</sup> UNDP Human Development Index (HDI): <http://hdr.undp.org/en/statistics/hdi/>

## Common Format for the Preparation of Country Documents

- When discussing development objectives, refer to the national progress made on reaching the millennium development goals<sup>16</sup>.

### 5. The Country's Disaster Risk Reduction Legal, Normative and Institutional Framework

*This section describes the country's DRR legal, normative and institutional frameworks, and provides some analysis about each of them to identify limitations, challenges and gaps to improve them.*

*Particular attention is given to the constitution, laws and decrees, normative instruments for political and technical decision making for DRR, and public policies. It also addresses the inclusion of DRR in national development plans and public policy, as well as DRR plans and strategies under implementation in the country.*

*The "institutional aspects" subsection describes the organization of the national system for DRR, the leading agency, its members, the national platform and intersectoral coordination mechanisms, among others that work in DRR, such as in planning and land use/zoning, financial resources and public investment in DRR, the transfer of risk and major groups and networks that promote DRR.*

#### **Legal framework:**

- Describe the system of laws, decrees and other legal provisions that delineate the reach, structure, functions, roles and responsibilities of all those involved in DRR. This includes the regulatory political vision, the definition of instruments and administrative and institutional proceedings. See **Annex 2** for reference information about legal provisions, norms and public policies.

#### **Normative framework:**

- Identify the major normative instruments that guide the definition of responsibilities of national and sub-national authorities engaged in DRR, the participation of stakeholders, activities of technical institutions and funding agencies, as well as administrative mechanisms for the issuance of emergencies, disaster areas and others.
- Describe the normative framework for planning, land use and zoning, local governments and urbanization as well as major initiatives undertaken.
- Analyse the normative framework governing risk transfer and financial mechanisms, and identify existing instruments and their implementation.
- Identify the country's DRR public policies and the strategic actions undertaken by the State and/or sub-national governments to reduce disaster risk. Incorporate information on frameworks for CC/CCA in context of DRR.

<sup>16</sup> <http://www.undp.org/content/undp/en/home/mdgoverview/>



### **Institutional framework:**

- Describe the organization of the DRR national system, its lead agency and members. Analyse briefly the roles and responsibilities of each, including public and private entities, civil society organizations, scientific and technical institutions, international cooperation agencies, public-private partnerships, community-based organizations, humanitarian networks, advocacy groups and networks, among others.
- Describe the objectives, work methods and mechanisms for action of the DRR national platform and/or national system, sectoral committees and intersectoral platforms that work on DRR, if they exist.
- Assess whether the budget and resources allocated to implement DRR plans and activities are adequate. These may include a participatory budget, budget by results, public investment projects, incentive plans to improve DRM that includes prevention of disaster risk, strategies to access resources in the country to respond to emergencies, among others. This section may also make mention of the Caribbean Catastrophe Risk Insurance Facility<sup>17</sup> - CCRIF - at regional level. Explain as well if the financial analysis of public investment considers DRR and the instruments or mechanisms developed to do so.

The final section provides an evaluation of the legal, normative and institutional framework, identifying its major strengths, gaps, and barriers, and the most pressing needs to consider, as well as management capacity. This analysis should consider that the most vulnerable populations are the main targets of disaster risk reduction.

The outputs of this final section should be the results of a consensus-approach analysis involving all stakeholders. This section can also address issues regarding regional frameworks either as background for / or by making linkages to national frameworks.

Note: The information provided in this section is linked with the mapping in section 6.4.1 "Mapping of institutions and coordination levels."

## **6. The State of Disaster Risk in the Country**

*This section addresses disaster risk in the country, both current and expected, including hazards, vulnerabilities and capacities.*

To develop content for this section the following is suggested:

- Use and reference concepts presented in the UNISDR DRR Terminology, as suggested earlier.<sup>18</sup>
- Note that countries use various approaches and concepts, such as DRR or DRM, dangers or hazards, etc. Each country should use the terms that best apply to its needs.

<sup>17</sup> <http://www.ccrif.org/>

<sup>18</sup> 2009 UNISDR DRR Terminology: [http://www.unisdr.org/files/7817\\_UNISDRTerminologyEnglish.pdf](http://www.unisdr.org/files/7817_UNISDRTerminologyEnglish.pdf)

## Common Format for the Preparation of Country Documents

- Assess regional and transboundary risk with a view to developing regional collaboration for its reduction.
- Review information sources such as the UNISDR Global Assessment Report on Disaster Risk Reduction (GAR), DesInventar, the Caribbean Disaster Information Centre - CARDIN<sup>19</sup> of the University of West Indies / DRR Centre, post disaster assessments and national communications for international agreements such as climate change, drought and biodiversity, among others.
- Consider highlighting differences and issues that modify risk perception and management, such as: gender, ability, age, intercultural relations, ethnic groups, indigenous groups, traditional and ancestral knowledge, access to technology and capacity for innovation, among others.
- Reflect on the issue of climate change and climate variability in the context of DRR and make reference to the "Regional Framework for Achieving Development Resilient to Climate Change"<sup>20</sup>.

As countries use various approaches and concepts, the definition for reference on disaster risk is that developed by UNISDR: "The potential disaster losses, in lives, health status, livelihoods, assets and services, which could occur to a particular community or a society over some specified future time period."

### 6.1. Historical disasters analysis

*This subsection describes and analyses major events that impacted the country.*

To develop the content for this subsection the following is suggested:

- Provide a historical narrative of the major events that have affected the country, so as to serve as an inventory and registry that can be updated each time the Country Document is revised. Consider recurring events and those with the greatest magnitude and potential impact.
- Assess the availability of information: existence of a disaster inventory for the country, access to such information, whether it is up to date, responsibility for updating it, and the source of the information, including post disaster assessments.
- The database DesInventar<sup>21</sup> and CARDIN are recommended among other DRR databases.
- Review lessons learned and good practices from these events, highlighting the factors that led to the impact. State the correlation between the increase of disasters and climate change / climate variability if possible.
- If possible identify the areas of greater disaster occurrence in the country, presenting the information through maps and/or graphics.
- Mention, where possible, the costs of disasters as a percentage of GDP.

<sup>19</sup> <http://www.mona.uwi.edu/cardin/>

<sup>20</sup> [dms.caribbeanclimate.bz/M-Files/openfile.aspx?objtype=0&docid=4714](http://dms.caribbeanclimate.bz/M-Files/openfile.aspx?objtype=0&docid=4714)

<sup>21</sup> <http://www.desinventar.org>

## 6.2. Hazards<sup>22</sup> / Threats

*This subsection describes the major hazards to which the country is exposed.*

To develop the content for this subsection the following is suggested:

- Consider key components such as geographic location, intensity, impact potential, frequency, triggers, spatial distribution, warning signals, seasonal nature, etc.
- In the case of hydrometeorological hazards, analyse both current and future scenarios, considering worsening conditions as a result of climate change. Use those scenarios available in the country.
- Involve representatives of technical and scientific institutions and universities to address progress made in tracking and monitoring hazards, to use as a basis for updating such as at regional level the Centre for DRR of the University of West Indies<sup>23</sup>, the Caribbean Institute for Meteorology and Hydrology<sup>24</sup>, the Intergovernmental Coordination Group on the Caribbean and Adjacent Regions Tsunami and Other Coastal Hazards Early Warning System<sup>25</sup> - ICG-Caribe, the Caribbean Community Climate Change Centre<sup>26</sup>, among others.
- If possible include hazard maps at a scale that enables adequate observation of their location (that is, at the level of province, district, canton, etc.). The aim is to visually identify the most frequently recurring and intense hazards and the geographic areas exposed to multi-hazards.
- Include if possible transboundary and regional hazards.
- Undertake analysis of the data revealed through the maps and statistics.

### Hazard Background Information:

<b>Natural</b>	<ul style="list-style-type: none"> <li>▪ <b>Geological hazards:</b> earthquakes, volcanic activity and emissions, and seismic related geophysical processes, such as mass movements, landslides, rockslides and surface collapses, debris or mud slides, and tsunamis. Hydrometeorological factors are important contributors to some of these processes.</li> <li>▪ <b>Hydrometeorological hazards:</b> include tropical cyclones (also known as typhoons and hurricanes), thunderstorms, hailstorms, tornados, blizzards, heavy snowfall, avalanches, coastal storm surges, floods including flash floods, drought, heatwaves and cold spells, El Niño Southern Oscillation (ENSO) and La Niña.</li> </ul>
----------------	--

<sup>22</sup> "Natural hazard: natural process or phenomenon that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage". UNISDR Terminology 2009.

<sup>23</sup> <http://www.uwi.edu/drrc/default.aspx>

<sup>24</sup> <http://www.cimh.edu.bb>

<sup>25</sup> [http://wergency.org/tsunami/index.php?option=com\\_content&view=article&id=17&Itemid=22](http://wergency.org/tsunami/index.php?option=com_content&view=article&id=17&Itemid=22)

<sup>26</sup> <http://caribbeanclimate.bz/>

## Common Format for the Preparation of Country Documents

<b>Anthropogenic/Man-made</b>	<ul style="list-style-type: none"> <li>▪ <b>Socio-natural hazards:</b> High population density in urban areas with inadequate basic-service provision (water, electricity, health, education, transportation).</li> <li>▪ <b>Technological hazards:</b> Pollution, fires, explosions, toxic spills, deforestation, mining and oil/gas extraction in highly sensitive environmental areas, among others.</li> <li>▪ Pollution from unexploded arms and munitions.</li> <li>▪ Armed conflict and related consequences, especially internal displacement and migrations.</li> </ul>
<b>Emergencies affecting Public Health and Safety</b>	<ul style="list-style-type: none"> <li>▪ Illnesses and epidemics of major occurrence. Examples include: avian flu, traditional and haemorrhagic, malaria, yellow fever, cholera, among others.</li> <li>▪ Phytosanitary emergencies.</li> <li>▪ Identify links to climate change where they exist, such as the incidence of nonendemic illnesses in subregions, as well as provide analysis of the country's vulnerability to future pandemics.</li> </ul>

### 6.3. Vulnerability

*This subsection addresses conditions determined by physical, social, economic, environmental and political factors and processes that increase the susceptibility and exposure of a community to hazards.*

To develop the content for this subsection the following is suggested:

#### *About criteria:*

- Vulnerability can be approached from a variety of angles and methodologies, based on relevant studies and the results of their application. In the Caribbean region, the Vulnerability Assessment Benchmarking Tool (B-Tool)<sup>27</sup> developed by the OECS Secretariat has been adopted by some countries (OECS Member States plus others) and agencies (CDEMA). Nevertheless, countries will adopt the criteria they find most useful for analysis. This section therefore does not recommend one particular methodology for vulnerabilities analysis; rather it identifies some criteria. It is important that this subsection identifies the major factors that affect risk in the country enabling better analysis for DRR.
- Vulnerability stems from physical, social, economic and environmental factors.
- UNISDR Terminology defines vulnerability as “the characteristics and circumstances of a community, system or asset that make it susceptible to the damaging effects of a hazard”.
- Select analysis criteria and methodology to be used that the country considers key in contributing to DRR, based on the reference information provided below.
- It is important that the selection of the criteria for analysis and methodology is undertaken in a participatory manner with relevant sectors and led by the leading agency or national system.

<sup>27</sup> The Vulnerability Assessment Benchmarking Tool (B-Tool) was developed by the OECS Secretariat. See: [http://www.oecs.org/doc-lib/cat\\_view/28-environment-and-sustainable-development/56-btool-documents](http://www.oecs.org/doc-lib/cat_view/28-environment-and-sustainable-development/56-btool-documents)

## Common Format for the Preparation of Country Documents

- **Annex 3** "Classification of Vulnerability" provides reference information on ways to approach vulnerability. **Annex 4** contains the indicators of risk reduction and response of the International Federation of the Red Cross and Red Crescent. **Annex 5** lists the Inter-American Development Bank Indicators of Disaster Risk and Risk Management <sup>28</sup>.

### *About the components:*

- Link vulnerability to the **underlying risk factors** (related to poverty and development) that generate them, such as the increase in displacement or the continuous increase in population density and resources. These are explored in section 6.5. Include among other indicators, the GINI index<sup>29</sup>, which measures inequality in the distribution of income, access to education, health and basic services.
- Whenever possible and given available information, use **disaggregated data** that reveals variables such as gender, age, ethnicities, etc. so as to make visible existing differences and consider them in implementation measures. Revealing how disasters affect the right to health, education, basic infrastructure and other is recommended.
- Include an **urban risk**<sup>30</sup> component and identify its linkage to the increase in population, as well as public policy, legal provisions, implications on provision of services and housing conditions and DRM.
- State the national communications to the United Nations Framework Convention on Climate Change - UNFCCC which address countries' climate change vulnerabilities and adaptation plans.
- Assess progress and challenges in meeting the ten essential points defined by the world disaster reduction campaign "Making Cities Resilient"<sup>31</sup> to increase cities' disaster resilience.
- Consider the initiative "One Million Safe Schools and Hospitals"<sup>32</sup> as well as the indicators for safer schools and hospitals.
- Identify structural and non-structural vulnerabilities and their link to specific hazards. For instance, structural vulnerability for seismic risk (such as construction materials) or vulnerability to flooding (siting of housing and health centres, for example.)
- Present information about vulnerability that enables the identification of the most critical areas, highlighting the sub-national level. The inclusion or development of specific maps on priority topics is recommended.
- Use a variety of governmental and non-governmental sources. If the data is unavailable, it should be developed, to be used as a benchmark.

<sup>28</sup> <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=1056825>

<sup>29</sup> Gini Index: measures inequality in income (or consumptions) between individual or the households of a country against a perfectly equal income distribution. Perfect equality in income distribution is represented by 0 and total inequality by 100. <http://data.worldbank.org/indicator/SI.POV.GINI>

<sup>30</sup> [http://www.eird.org/wikien/index.php/Urban\\_risk\\_platform](http://www.eird.org/wikien/index.php/Urban_risk_platform)

<sup>31</sup> <http://www.unisdr.org/campaign/resilientcities/toolkit/essentials>

<sup>32</sup> <http://www.safe-schools-hospitals.net/en/Home.aspx>

## Common Format for the Preparation of Country Documents

Note: It is recommended to include an analysis of specific cross-cutting issues of particular relevance to the country such as gender, intercultural relations, rights, the disabled, the elderly, among others.

### 6.4. Capacities<sup>33</sup>

*This subsection addresses the level of progress reached in developing institutional and community capacity for DRR.*

*It also includes an institutional mapping of the organizations that work on DRR, the level of coordination among them, as well as a mapping of DRR programmes, initiatives, plans and an inventory of tools.*

To develop the content for this subsection the following is suggested:

#### *About criteria:*

- *Capacity* can be approached from a variety of angles and methodologies, based on relevant studies and the results of their application. Countries have adopted the criteria they have found most useful for risk analysis. This section, therefore, does not recommend one particular methodology; rather it identifies some criteria. It is important to include this component and that it leads to better analysis of the state of DRR in the country.
- Define the analysis criteria and methodology to be used that the country considers key and that contribute to DRR. The information contained in "Capacity Development for Disaster Risk Reduction"<sup>34</sup> developed by UNDP may be of reference.
- It is important that the selection of the criteria for analysis and methodology is undertaken in a participatory manner with relevant sectors and led by the leading agency or national system.

#### *About the components:*

- Given the complexity of compiling the data, it is important to select key indicators proposed by the HFA or the HFA Monitor that enable assessment of progress made in DRR in the country.<sup>35</sup> The self-assessments or progress reports on implementation of the HFA are undertaken at local, national and regional levels. To guide the assessment at local level the tool LG-SAT<sup>36</sup> can be used, as well as the methodology developed by UNDP in Dominican Republic "Indicative diagnostic on local capacities, disaster prevention, mitigation and response committees"<sup>37</sup>.

<sup>33</sup> "Capacity development: the process by which people, organizations and society systematically stimulate and develop their capacities over time to achieve social and economic goals, including through improvement of knowledge, skills, systems, and institutions". UNISDR Terminology 2009.

<sup>34</sup> UNDP, 2010: "Capacity Development for Disaster Risk Reduction".

<http://www.undp.org/content/dam/undp/library/crisis%20prevention/disaster/5Disaster%20Risk%20Reduction%20-%20Capacity%20Development.pdf>

<sup>35</sup> <http://www.preventionweb.net/english/hyogo/hfa-monitoring/national/?pid:73&pih:2>

<sup>36</sup> Local Government Self-Assessment Tool (LG-SAT): A tool for self-assessment progress in implementing the HFA at local level. See: <http://www.unisdr.org/applications/hfa/assets/lgsat/documents/Overview-of-the-LGSAT-English.pdf>

<sup>37</sup> Source not yet available.

## Common Format for the Preparation of Country Documents

These reports at local, national and regional levels are available on PreventionWeb<sup>38</sup> through UNISDR.

- Identify capacities of **key stakeholders** (such as government and public sectors) and by levels (national, sub-national and local).
- Consider **risk perception** and **local knowledge and/or ancestral knowledge** about DRR.
- Assess the level of **resources** available (technical, human and financial for DRR), ability to manage these and existing coordination mechanisms.
- Assess the extent to which sustainable **technology, information** exchange, the development of **networks** and management improvements have been promoted, among other resources to strengthen capacities.
- Examine the thematic capacities of authorities at local and sub-national levels to include DRR in development management, such as in: development plans, budgeting, developing risk maps, including information and producing data on major hazards and vulnerabilities, making information accessible and disseminating it.
- Evaluate **response capacity** at local to national levels, including: knowledge, equipment, the state of Emergency Operation Centres and early warning systems, among others.
- Refer to DRR indicators used in the region to evaluate response capacities. Evaluating the capacities of Municipal Committees for Prevention, Mitigation and Response and realising a municipal capacity mapping at national level could be crucial for this section (experience being developed by UNDP in Dominican Republic with the methodology “Indicative diagnostic on local capacities, disaster prevention, mitigation and response committees”).
- Analyse **mechanisms for coordination** and information exchange between the national response system and international assistance system in emergency situations. Including progress and challenges faced in implementing the recommendations of the United Nations Disaster Assessment and Coordination (UNDAC) teams is recommended, if these were undertaken.
- Assess existing sectoral capacities (education, health, housing, economics and finance, planning). Include progress and challenges faced in this area. For the health sector for example, the Self-Assessment Tool for Disaster Risk Reduction<sup>39</sup> can be used.

<sup>38</sup> [www.preventionweb.net/english/hyogo/progress/](http://www.preventionweb.net/english/hyogo/progress/)

<sup>39</sup> PAHO, 2010. Health Sector Self-Assessment Tool for Disaster Risk Reduction. See: [http://centrovirtual.imss.gob.mx/COED/home/normativos/DPM/archivos/HDRM/disaster\\_risk\\_managemenet/self\\_assessment\\_tool\\_paho.pdf](http://centrovirtual.imss.gob.mx/COED/home/normativos/DPM/archivos/HDRM/disaster_risk_managemenet/self_assessment_tool_paho.pdf)

## Common Format for the Preparation of Country Documents

- Review as well information available in national reports on the implementation of the HFA.
- Identify, and if possible, develop a mapping of opportunities for capacity development.

Reference the information included in Chapter 5 about the institutional framework.

### **Institutional and coordination mapping**

*This subsection identifies organizations working on DRR and details their work modality, such as, preventive, corrective or reactive management at national and/or sub-national levels.*

*It likewise identifies levels of coordination between government and civil society, highlighting the importance of the local level, such as efforts that match social demand and institutional supply. It is important to describe the interests of the various institutions so as to identify the level of complementarity of their activities.*

To develop the content for this subsection the following is suggested:

- Describe the institutions comprising the national DRM system or civil protection/defence of the country, the public and private sectors, scientific and technical institutions, community based organizations, universities, United Nations agencies, international cooperation agencies, Red Cross and Red Crescent societies, nongovernmental organizations, DIPECHO partners, among others.
- Develop a matrix that classifies the levels of coordination, pointing out political administrative entities and the strategic partners involved.
- Detail the level of interaction between the leading/coordinating agency, DRR implementing agencies, sectors, local and regional governments and civil society. Detail also the inter-institutional coordination, so as the one existing between the different levels of the system (local, sub-national and national).
- Analyse progress in the formation and functioning of national humanitarian aid networks.
- Describe existing international coordination among organizations and initiatives at sub-regional, regional and global level, providing detail on preparatory coordination mechanisms. For instance, CARICOM for guidance for the reception of international assistance from ministries of foreign service office, or with the International Search and Rescue Advisory Group (INSARAG), with United Nations Office for the Coordination of Humanitarian Affairs (OCHA), with UNISDR for HFA implementation and with the regional and global platforms for DRR.
- Undertake the analysis on progress and challenges in interagency coordination jointly with key DRR stakeholders.



## Mapping of disaster risk reduction programmes, initiatives and plans

*This subsection details DRR plans, programmes and initiatives of various national and international stakeholders.*

To develop the content for this subsection the following is suggested:

- Identify **programmes and projects** implemented at national, sub-national and local levels, as well as the level of sustainability achieved for those currently being implemented.
- Identify activities developed by **networks** linked to DRM and DRR (if they exist) and by donor agencies, multilateral banks, international organizations, inter-governmental organizations and non-governmental organizations, among others.
- **Annex 6** provides information about the Directorate-General of the European Commission for Humanitarian Aid and Civil Protection (DG ECHO) and the DIPECHO Action Plans.

## Tool inventory

*This subsection provides an inventory of DRR tools available in the country. Progress should be highlighted and requirements for improvement identified.*

To develop the content for this subsection the following is suggested:

- Use the "Methodological Guide on the Systematization of Tools for Disaster Risk Management" developed by the Regional Disaster Information Centre of Latin America and the Caribbean (CRID) as part of the UNISDR - DIPECHO South America 2011-2012<sup>40</sup> regional project. The guide defines tools as "a guide, a product or instrument that stemmed from a project, initiative, programme, experience or intervention, and that serves to improve capacity to design, develop or implement actions to manage disaster risk".
- Develop a table listing tools for DRR, including brochures, lessons learned and other resources. **Annex 7** identifies some basic elements to consider. Reference tools such as the Vulnerability Assessment Benchmarking Tool (B-Tool) developed by the OECS Secretariat, the Health Sector Self-Assessment tool for Disaster Risk Reduction developed by PAHO.
- Use available DRR tools, such as virtual libraries such as the Caribbean Disaster Information Centre – CARDIN of the University of West Indies / DRR Centre, the platform Desaprender<sup>41</sup>, the information centres BiVa-PaD, the CRID portal, national platforms for DRR and PreventionWeb, among others.

<sup>40</sup> See:

[http://www.eird.org/wikiesp/images/Gu%C3%ADa\\_Metodol%C3%B3gica\\_para\\_la\\_Sistematizaci%C3%B3n\\_de\\_Herramientas\\_para\\_la\\_Gesti%C3%B3n\\_del\\_Riesgo\\_Noviembre\\_2011.pdf](http://www.eird.org/wikiesp/images/Gu%C3%ADa_Metodol%C3%B3gica_para_la_Sistematizaci%C3%B3n_de_Herramientas_para_la_Gesti%C3%B3n_del_Riesgo_Noviembre_2011.pdf) (only available in Spanish)

<sup>41</sup> Desaprender platform: <http://www.desaprender.org/tools?locale=en>

## Common Format for the Preparation of Country Documents

- Assess the value of the tools, highlighting those that could be useful or for further development or local dissemination.
- Assess the accessibility to DRR tools (e.g. maps might be the exclusive property of some institutions) and identify limitations, gaps and solutions to access to them (eg. creation of a national DRR information platform).

### 6.5. Reduction of underlying risk factors<sup>42</sup>

*This subsection is related principally to HFA Priority 4, which states: "Disaster risks related to changing social, economic, environmental conditions and land use, and the impact of hazards associated with geological events, weather, water, climate variability and climate change, are addressed in sector development planning and programmes as well as in post-disaster situations."*

The following identifies some components, based on the basic indicators of the HFA Monitor, which are considered important in reducing the underlying risk factors. If appropriate, countries may wish to incorporate these in the Country Document.

- Disaster risk reduction is an integral objective of environment related policies and plans, including for land use natural resource management and adaptation to climate change.
- Social development policies and plans are being implemented to reduce the vulnerability of populations most at risk.
- Economic and productive sectoral policies and plans have been implemented to reduce the vulnerability of economic activities.
- Planning and management of human settlements incorporate disaster risk reduction elements, including enforcement of building codes.
- Disaster risk reduction measures are integrated into post-disaster recovery and rehabilitation processes.
- Procedures are in place to assess the disaster risk impacts of major development projects, especially infrastructure.

The basic indicators for measuring progress in implementing the HFA, as well as the key questions and verification methods of the HFA Monitor are a useful reference for the above. They are available on the HFA Monitor page and in HFA-Pedia, as well as on PreventionWeb.

Including the following is also recommended:

- Progress and challenges in social protection plans particularly for the most vulnerable.
- The development of financial/economic instruments and their relationship with the private sector.

---

<sup>42</sup> <http://www.preventionweb.net/english/hyogo>

## Common Format for the Preparation of Country Documents

It is suggested that **environmental management, adaptation to climate change** issues are particularly addressed.

“A changing climate leads to changes in the frequency, intensity, spatial extent and duration of extreme weather and climate events. Irrespective of the magnitude of any anthropogenic change in climate over the next century, a wide variety of natural weather and climate extremes will occur [...]. The severity of the impacts of extreme and non-extreme weather and climate events depends strongly on the level of vulnerability and exposure to these events.” (IPCC SREX 2012, Summary for Policy Makers.)

To develop this point the following is recommended:

- Reference the UNISDR DRR Terminology and the Caribbean Community Climate Change Centre<sup>43</sup>.
- Refer to studies developed in the Caribbean region.
- Describe progress and challenges in land use planning and implementation.
- Identify impact level and projections for geographic areas that are more exposed to climate change impacts, considering various scenarios.
- Include scenarios prepared by specialized scientific institutions.
- Analyse their impact on the livelihoods of the most vulnerable populations.
- Identify progress and challenges in the coordination and the sharing of experiences toward better environmental management, disaster risk reduction and adaptation to climate change.
- Include progress and gaps in knowledge on this topic.

## 7. Disaster Risk Analysis of the Country

*This section examines risk conditions in the country and establishes criteria for analysis that enable prioritization. This requires the **development of scenarios** that overlays most recurrent hazards, vulnerability and capacity indicators.*

This section includes the following:

### 7.1 Definition of analytical criteria and methodology

Since a variety of methodologies exist to define indicators, each country will select those most relevant and applicable. Some recommended methodologies are

<sup>43</sup> <http://caribbeanclimate.bz/>

## Common Format for the Preparation of Country Documents

proposed by: the International Federation of the Red Cross and Red Crescent<sup>44</sup> (**Annex 4**), by the Inter-American Development Bank<sup>45</sup> (**Annex 5**).

To develop the content for this subsection the following is suggested:

- Use as reference the “Diagnosis of the national DRR situation reports of interagency missions”<sup>46</sup>. Refer as well to biennial national reports of progress on implementation of the HFA<sup>47</sup>, which identifies trends and major areas of progress in the implementation of the five priorities for action, based on indicators, as well as progress, challenges and gaps in the national context. **Annex 8** presents information about the indicators to measure progress in DRR and in implementing the HFA, developed through a global online consultation and included in the HFA Monitor<sup>48</sup>.
- Define the risk indicators jointly with major DRR stakeholders and led by the lead agency or coordinator of the national system.

### 7.2 Definition of risk scenarios

To develop the content for this subsection the following is suggested:

- To develop the risk scenarios use information about hazards, multi-hazards, vulnerabilities, capacities and underlying risk factors (using the previously selected indicators). Prioritize risks with a greater probability of recurrence or impact in the future.
- For the definition and prioritization exercise, assess existing experience and capacities in the scenarios. These should be defined based on the analysis and mapping undertaken in chapter 6.

### 7.3 Prioritization of risk scenarios and areas for intervention

To develop the content for this subsection the following is suggested:

- The prioritization of risk scenarios and areas for intervention is undertaken based on the conclusions and assessments of the previous chapters. It is thus important to undertake the work jointly with DRR stakeholders and lead agency.
- Define the criteria needed to jointly prioritize actions for DRR with all key sectors.
- The focus should be the most vulnerable groups.

<sup>44</sup> International Federation of the Red Cross and Red Crescent. Indicators of Disaster Risk Reduction and Preparedness, 2007. (see Annex 4)

<sup>45</sup> IDB Indicators of Disaster Risk and Risk Management. Summary Report. Program for Latin America and the Caribbean, 2007. <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=1056825>

<sup>46</sup> [http://www.eird.org/wikiesp/index.php/DIPECHO\\_Am%C3%A9rica\\_del\\_Sur\\_2011-2012#Diagn.C3.B3sticos\\_de\\_la\\_situaci.C3.B3n\\_nacional\\_en\\_cuanto\\_a\\_la\\_RRD\\_-\\_Informes\\_de\\_las\\_misiones\\_interagenciales](http://www.eird.org/wikiesp/index.php/DIPECHO_Am%C3%A9rica_del_Sur_2011-2012#Diagn.C3.B3sticos_de_la_situaci.C3.B3n_nacional_en_cuanto_a_la_RRD_-_Informes_de_las_misiones_interagenciales) (Link not available in English)

<sup>47</sup> [http://www.eird.org/wikiesp/index.php/DIPECHO\\_Am%C3%A9rica\\_del\\_Sur\\_2011-2012#Documentos\\_de\\_inter.C3.A9s](http://www.eird.org/wikiesp/index.php/DIPECHO_Am%C3%A9rica_del_Sur_2011-2012#Documentos_de_inter.C3.A9s) (Link not available in English)

<sup>48</sup> <http://www.preventionweb.net/english/hyogo/hfa-monitoring/national/?pid:73&pih:2>

## Common Format for the Preparation of Country Documents

- Limit the number of risk scenarios by focusing on the most likely to recur and have greatest impact.
- Establish priorities: temporal, thematic, by geographic area etc.
- Some work methods for prioritization include:
  - Definition of guidelines for the preparation and implementation of international cooperation programmes,
  - Mechanisms for coordination, follow up and knowledge management,
  - Mechanisms for public consultation (perception of beneficiaries), and
  - Mechanisms for updating the document.
- The presentation of risk scenarios should be realised through maps and graphics in order to have an easy and global overview of the DRR situation in the country.

**Annex 9** provides some examples of prioritization criteria that countries have used, for reference.

## 8. Strategic Directions for Disaster Risk Reduction in the Country

*This section addresses the definition of strategic directions or critical areas to reduce disaster risk in the country. Key stakeholders will define the strategic directions and use them to target interventions in the country.*

To develop the content for this subsection the following is suggested:

- Led by the lead agency or national system coordinator, define the criteria for jointly establishing the strategic directions considered critical to reduce disaster risk in the country.
- The process includes stakeholders from key government sectors (agriculture, transport, health, housing, planning, economy and finance, environment, among others), non-governmental organizations and international cooperation agencies, sub-national governments, and from specific ecosystems (such as watersheds, glaciers, wetlands, dry-lands, among others).

Draft the directives that will orient and guide DRR interventions, the development of programmes and activities to implement nationally, the improvement of the architecture for DRR if not clearly articulated, in order to feed into existing initiatives at governmental or agencies level.

## 9. Conclusions and Recommendations

Conclusions and recommendations should be classified according to their nature.

❖ **Annexes**

❖ **References**

## Annexes of this guide

### Annex 1: International and Regional DRR Framework

#### 1.1. Millennium Declaration

<http://www.un.org/millennium/declaration/ares552e.htm>

#### 1.2. Hyogo Framework for Action

Every two years, countries review their progress on the implementation of the Hyogo Framework for Action (HFA). The so called HFA Monitoring and Progress Review process facilitates monitoring, evaluating and reporting on the implementation of disaster risk reduction measures at the national, regional and global levels. The objective is to capture key trends and areas of progress and challenges at all levels with regard to achieving the strategic goals of the HFA.

More information on the progress review:

<http://www.preventionweb.net/english/hyogo/hfa-monitoring/?pid:222&pil:1>

The regional progress reports are available under:

<http://www.preventionweb.net/english/hyogo/progress/?pid:73&pil:1>

Caribbean Implementation of the HFA: Mid-term review:

<http://www.undp.org/crmi/docs/crmi-hfamtrcarib-rt-2011-en.pdf>

Strategic goals:

- (a) The more effective integration of disaster risk considerations into sustainable development policies, planning and programming at all levels, with a special emphasis on disaster prevention, mitigation, preparedness and vulnerability reduction;
- (b) The development and strengthening of institutions, mechanisms and capacities at all levels, in particular at the community level, that can systematically contribute to building resilience to hazards;
- (c) The systematic incorporation of risk reduction approaches into the design and implementation of emergency preparedness, response and recovery programmes in the reconstruction of affected communities.

Priorities for Action:

1. Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation.
2. Identify, assess and monitor disaster risks and enhance early warning.

## Common Format for the Preparation of Country Documents

3. Use knowledge, innovation and education to build a culture of safety and resilience at all levels.
4. Reduce the underlying risk factors.
5. Strengthen disaster preparedness for effective response at all levels.

Implementation requires the full participation of all stakeholders: governments at all levels, the private sector, civil society, scientific and academic communities and international financial institutions.

- <http://www.unisdr.org/we/coordinate/hfa>

### Intergovernmental Organizations:

#### 1.3. The Organization of American States (OAS)

The OAS established the Interamerican Network on Disaster Mitigation (RIMD) as a permanent hemisphere-wide mechanism to strengthen practical collaboration between intergovernmental agencies in DRR, particularly through the exchange of technical information and good practices.

- <http://www.oas.org>

#### 1.4. Latin American and Caribbean Economic System (SELA)

The Iberoamerican Summits and the Rio Group created specific mandates to improve mechanisms and provisions for emergency preparedness and contingencies for disaster occurrences.

- <http://www.sela.org>

#### 1.5. Community of Latin American and Caribbean States (CELAC)

It is a regional integration and political consensus mechanism, created on 23 February 2010, which includes all Latin American and Caribbean countries. Its objective is to promote regional integration and political consensus, promote the Latin American and Caribbean agenda in international forums, and strengthen collaboration. The Montego Bay Action Plan, which identifies nine priority actions includes disasters and climate change among them.

- <http://www.cancilleria.gov.co/en/international/consensus/clacs>

### **1.6. Organization of Eastern Caribbean States (OECS)**

The OECS is a nine member grouping comprising Antigua and Barbuda, Commonwealth of Dominica, Grenada, Montserrat, St Kitts and Nevis, St Lucia and St Vincent and the Grenadines. Anguilla and the British Virgin Islands are associate members of the OECS. The Mission of the Organization of Eastern Caribbean States is to be a Centre of Excellence contributing to the sustainable development of OECS Member States by supporting their strategic insertion into the global economy while maximizing the benefits accruing from their collective space.

- [www.oecs.org](http://www.oecs.org)

### **1.7. The Caribbean Community (CARICOM)**

It is an organization of fifteen Caribbean nations and dependencies. CARICOM's main purposes are to promote economic integration and cooperation among its members, to ensure that the benefits of integration are equitably shared, and to coordinate foreign policy.

#### CARICOM Regional Programming Framework 2005-2015

In the light of the priorities identified for World Conference on Disaster Reduction outcomes, and against the background of experiences in the region, CARICOM proposed to focus its programming around the critical actions needed to advance implementation of the five (5) Intermediate Results (IRs) of the 2001 CDM Strategy and Framework, which itself was also explicitly connected to the Bridgetown Programme of Action. Following review and participatory discussion the following thematic areas were selected for priority attention within CARICOM over the 2005-2015 period.

- Hazard mapping and vulnerability assessment
- Flood management
- Community disaster planning
- Early warning systems
- Climate change
- Knowledge enhancement

Building Resilience of nations and communities to hazard impacts was determined as the overall focus for the Caribbean region, and it was proposed that resources would be sought to expand and replicate several on-going best practices throughout the region.

The principal issue for CARICOM at this time, therefore, appears to be how to effectively link national and regional actions to existing and projected resource support. At the national level, governments and civil society will be encouraged to include disaster loss reduction principles in development decisions and project design so as to increase the likelihood of access to technical assistance programmes. It is proposed that this resilience can be advanced through the pursuit of courses of action in line with the following themes:

1. Governance: Institutional and Policy Frameworks for Risk Reduction.
2. Knowledge Management.



## Common Format for the Preparation of Country Documents

3. Community Disaster Planning.
4. Flood Management.
5. Adaptation to Climate Change

- [www.caricom.org](http://www.caricom.org)

### **1.8. Caribbean Disaster Emergency Management Agency (CDEMA)**

The Caribbean Disaster Emergency Management Agency (CDEMA) is an inter-regional supportive network of independent emergency units throughout the Caribbean region. Member states are the following: Anguilla, Antigua and Barbuda, Bahamas, Barbados, Belize, British Virgin Islands, Dominica, Grenada, Guyana, Haiti, Jamaica, Montserrat, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago and Turks and Caicos Islands.

It seeks to reduce the risk and loss associated with natural and technological hazards and the effects of climate change to enhance regional sustainable development.

In 2001, the Caribbean Community (CARICOM) adopted a Strategy and Results Framework for Comprehensive Disaster Management (CDM) in the region, led by CDEMA. The goal was to link CDM to development decision-making and planning. CDM was orchestrated as a medium for harnessing Stakeholder contribution to a common agenda of disaster loss reduction and for creating an enabling environment for Stakeholder programming consultation and coordination. The revised and enhanced Framework, is intended to emphasize disaster loss reduction through risk management, and to follow a more programme based approach (PBA) with an emphasis on Results Based Management (RBM).

Four Priority Outcomes have been determined and associated outputs suggested to cover a five-year period, that is 2007-2012:

- Priority Outcome 1: Enhanced institutional support for CDM Programme implementation at national and regional levels.
  - Priority Outcome 2: Effective mechanisms and programmes for management and sharing of CDM knowledge are established and utilized for decision making
  - Priority Outcome 3: Disaster Risk Management has been mainstreamed at national levels and incorporated into key sectors of national economies (including tourism, health and agriculture)
  - Priority Outcome 4: Enhanced community resilience in CDERA states/territories to mitigate and respond to the adverse effects of climate change and disasters
- [www.cdema.org](http://www.cdema.org)

### 1.9. Association of Caribbean States (ACS)

The Association of Caribbean States comprises twenty-five member states and four associate members. It was formed with the aim of promoting consultation, cooperation, and concerted action among all the countries of the Caribbean. The primary purpose of the ACS is to develop greater trade between the nations, enhance transportation, develop sustainable tourism, and facilitate greater and more effective responses to local disasters.

- [www.acs-aec.org](http://www.acs-aec.org)
- <http://www.undp.org/cu/crmi/en/index.asp>

### 1.10. Eastern Caribbean Donor Group for Disaster Management (ECDGDM)

The Eastern Caribbean Donor Group (ECDG) is a mechanism for cooperation by development partners operating in Barbados and the Eastern Caribbean and is comprised of six thematic areas, one of them being Disaster Management.

A recognition of the need for a coordinated and coherent approach to disaster preparedness and response within the multi-country SIDS context of Barbados and the Eastern Caribbean led to the establishment of an operational/response sub-group to address disaster management – the Eastern Caribbean Donor Group for Disaster Management (ECDGDM).

The ECDGDM facilitates an effective, timely and coordinated response operation, in the event of a rapid onset emergency and request from an affected Member State and in support of existing regional mechanism.

Objectives of the ECDGDM:

- To carry out initial assessments after the occurrence of a hazard
- To assist affected governments in coordinating the assistance in response to an emergency situation
- To enhance and support CDEMA as the regional mechanism for disaster response

Composition of the ECDGDM:

- United Nations Resident Coordinator (Chair)
  - CDEMA is co-chair
  - Other members include international non-governmental organisations, bilateral assistance agencies, regional agencies and national government agencies
- <http://www.bb.undp.org/index.php?page=ecdg>

### 1.11. Caribbean Development Bank (CDB)

The Caribbean Development Bank (CDB) is a regional financial institution which was established on October, 1969, in Kingston, Jamaica, and entered into force on January, 1970.

The Bank came into existence for the purpose of contributing to the harmonious economic growth and development of the member countries in the Caribbean and promoting economic cooperation and integration among them, having special and urgent regard to the needs of the less developed members of the region.

Since 1974, the Caribbean Development Bank (CDB) has been responding to requests from its member countries for assistance with post-disaster rehabilitation. The Disaster Management Strategy and Operational Guidelines, 2009, provide a comprehensive approach to disaster risk management and climate change adaptation.

Disaster risk management and environmental sustainability are identified as cross-cutting themes in CDB's 2005-2009 Strategic Plan. Supporting environmental sustainability and advancing the climate change agenda has been identified as a core theme for the Seventh Cycle of the Special Development Fund (2009-2012).

- <http://www.caribank.org/>

### 1.12. Caribbean Community Climate Change Centre (CCCCC)

The Caribbean Community Climate Change Centre coordinates the Caribbean region's response to climate change. Officially opened in August 2005, the Centre is the key node for information on climate change issues and on the region's response to managing and adapting to climate change in the Caribbean.

It is repository and clearing house for regional climate change information and data and provides climate change-related policy advice and guidelines to the Caribbean Community (CARICOM) Member States through the CARICOM Secretariat.

- <http://caribbeanclimate.bz>

### 1.13. International Coordination Forums

#### 1. DRR Platforms and UNISDR

Platforms are the main consultative forum for DRR at global, regional and national levels. They bring together a broad group of stakeholders including: governments, UN agencies, regional organizations, civil society, the private sector, scientific and technical communities and academia.

The **Global Platform for Disaster Risk Reduction** is a biennial forum established in 2007 for information exchange, discussion of latest development and knowledge and partnership building across sectors, with the goal to improve implementation of disaster risk reduction through better communication and

## Common Format for the Preparation of Country Documents

coordination amongst stakeholders. It is for government representatives, NGOs, scientists, practitioners, and UN organizations to share experiences and formulate strategic guidance and advice for the implementation of the HFA.

The Global Platform is managed by the UN International Strategy for Disaster Reduction. It is the world's foremost gathering of stakeholders committed to reducing disaster risk and building the resilience of communities and nations. A core function of the Global Platform is to support the implementation of the Hyogo Framework of Action.

**The Regional Platform for Disaster Risk Reduction in the Americas** celebrated its first-ever session in Panama City, Panama in March, 2009 and its second session in Nuevo Vallarta, Nayarit, Mexico, 2011.

Specifically, the Regional Platform is intended to:

- Increase the profile of disaster risk reduction as an integral aspect of sustainable development and adaptation to climate change, recognizing that it is “everybody's business” and must be a multi-stakeholder undertaking with governments playing a central role;
- Reiterate the commitment of policy and decision-makers to implement the Hyogo Framework for Action;
- Strengthen the cross-fertilization between the national platforms and the global platform, supporting greater coordination at the various levels.
- Learn from good practice;
- Provide practical suggestions for regional and sub-regional initiatives in support of national and community efforts to reduce disaster risk; and
- Assess progress made in implementing the HFA, and identify obstacles, critical problems and emerging issues that must be addressed to speed up national and local implementation of disaster risk reduction including the priorities of the ISDR system.

<http://www.eird.org/index-eng.htm>

### **2. Forum for the Coordination and Cooperation of Sub-regional Mechanisms for Disaster Risk Management in the Americas**

It is a platform coordination and collaboration comprised by specialized sub-regional organizations focused on DRR, such as CDEMA, CEPREDENAC, CAPRADE, and REHU. It implements a strategic agenda to promote the exchange of knowledge and experience, as well as joint progress in DRR in the region through the implementation of the HFA and prioritizing the strengthening of DRR national systems.

<http://www.indeci.gob.pe>

### **3. Working Group on Risk, Emergencies and Disasters in Latin America and the Caribbean (REDLAC)**

## Common Format for the Preparation of Country Documents

This interagency group was created in Panama in 2004 to strengthen collaboration in disaster preparedness, reduction and response. It aims to provide a platform for the exchange of information, reflection and organization of joint efforts to optimize preparedness and response, so as to prevent and mitigate the suffering of the most vulnerable to disasters in Latin America and the Caribbean.

<http://ochaonline.un.org/rolac/CoordinationTools/REDLAC/tabid/5679/language/en-US/Default.aspx>

### **4. Regional Meetings about International Humanitarian Mechanisms in Latin America and the Caribbean (MIAH)**

These meetings are organized by the Regional Office for the Americas of the United Nations Office for the Coordination of Humanitarian Affairs (OCHA) jointly with some countries such as Argentina, Brazil, Canada, Ecuador and Mexico. Their goal is to strengthen coordination for humanitarian assistance to disasters and identify collaboration mechanisms, develop tools and common elements that result in alliances and collaboration among governments, as well as with other members of the international humanitarian community. Twenty-three Latin American and Caribbean countries participate in these meetings, as well as organizations and international agencies working on humanitarian assistance, sub-regional mechanisms, and the Forum for the Coordination and Cooperation of Sub-regional Mechanisms for Disaster Risk Management in the Americas, among others.

[http://redhum.org/archivos\\_actividad/pdf/ID\\_1159\\_BE\\_Plan\\_de\\_Accion\\_Final\\_V\\_MIAH\\_ESP.pdf](http://redhum.org/archivos_actividad/pdf/ID_1159_BE_Plan_de_Accion_Final_V_MIAH_ESP.pdf) (Only available in Spanish)

**Annex 2: Background Information on Legal Provisions, Norms and Public Policies**

For methodological reasons, difference is made between the legal and normative frameworks, according to the following criteria:

**Legal Framework**

The set of general provisions enacted by the legislative branch, as well as those enacted by the executive branch in cases where it has legal power. It is the body of laws and legal provisions that regulates a specific issue or all the country's laws.

**Normative Framework**

The set of provisions, criteria, methodologies, strategic directions and systems established by organizations or institutions to manage its own functioning, and which establishes the modalities for developing actions to reach agreed objectives.

<b>PROVISIONS</b>	<b>TYPE - ORIGEN</b>
<b>Laws</b>	Organic
	Ordinary
<b>Legislative Resolution</b>	Enacted by the legislative branch
<b>Legal Decrees</b>	Enacted by the executive branch
<b>Emergency Decrees</b>	Enacted by the executive branch
<b>Decrees, Laws</b>	Enacted by de facto government*
<b>Supreme Decree</b>	Enacted by the Executive
<b>Supreme Resolution</b>	Subscribed by the President of the Republic and countersigned by the sectoral minister
<b>Ministerial Resolution</b>	Enacted by sector minister
<b>Other</b>	

**Background Information on Public Policies:**

<b>By temporal scope</b>	State policy
	Government policy
<b>By coordination level</b>	Sectoral policy
	Multisectoral policy
	Transectoral policy
<b>By government level</b>	National policy
	Regional policy
	Local policy

### Annex 3: Classification of Vulnerability

a) Wilches-Chaux defines vulnerability as the “incapacity of a community to absorb through self-adjustment the effect of a specific change in its environment; that is, its lack of flexibility or capacity to adapt to that change” and identifies vulnerability types.<sup>49</sup>

Wilches-Chaux suggests various approaches to vulnerability, which he has divided “with the specific aim of classifying, as each of these types represents a window through which to analyse the issue globally, and that the various “vulnerabilities” are closely interconnected”.

- Physical vulnerability: refers to the location of population in an area of physical risk.
- Economic vulnerability: refers to income levels, unemployment, exploitation, work instability, difficulty in accessing education services, health and leisure.
- Social vulnerability: level of organization and internal cohesion of the society at risk.
- Political vulnerability: concentration of decision-making power, centralization in governmental organization and weakness in the autonomy of regional, local and community levels, which poses obstacles to facing problems (autonomy in decision making and problem solving).
- Ideological and cultural vulnerability: refers to worldview and readiness to face problems: passivity, fatalism, belief in myths, etc.
- Educational vulnerability: lack of educational programmes, inadequate instructor capacity and materials, unavailability of education programmes that include DRR at local and regional levels, level of understanding of the community members of their vulnerabilities and the capacity to get involved in the reduction of the risk.
- Environmental vulnerability: related to coexistence with the environment without domination and destruction. Vulnerability of ecosystems to direct and indirect human action, and high risk of communities that exploit or inhabit them.
- Institutional vulnerability: obsolete and rigid institutions in which bureaucracy, political power games and personal gain appropriate and flexible responses and delay action regarding risk and its effects.

b) Institutions such as Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)<sup>50</sup> view vulnerability as comprising the following components:

#### **(V) = f (Exposure x Sensitivity x Resilience or Adaptive Capacity)**

- **Exposure:** “people, assets, systems or other elements present in hazard zones and which are thereby subject to potential losses. Measures of exposure can include the number of people or types of assets in an area. These can be combined with the specific vulnerability of the exposed elements to any particular hazard to estimate

<sup>49</sup> Wilches-Chaux y la Red de Estudios Sociales en Prevención de Desastres en América Latina.

<http://www.desenredando.org/public/libros/1993/ldnsn/html/cap2.htm> (Link not available in English)

<sup>50</sup> From: UNISDR, GIZ and Peru Ministry of Economy and Finance. 2010. Peru Country Document 2010: “*Methodological guide for the inclusion of risk analysis of natural hazards in the formulation and assessment of projects in the Public Investment System*”.

## Common Format for the Preparation of Country Documents

the quantitative risks associated with that hazard in the area of interest (UNISDR 2009).

**Examples:** groups of people, location of housing, zoning, land use, assets, infrastructure, related public policy, among others.

- **Fragility:** refers to “the level at which a system is affected both positively and negatively when facing the impact of a hazard or danger; that is, the relative disadvantage or weakness of a social unit because of socioeconomic conditions. In practice this translates into structural weakness in buildings as a result of inadequate construction practices” (GIZ –MEF, 2006).

**Examples:** construction materials, building codes for public and private infrastructure, zoning, construction licenses, urban planning, municipal plans, income levels, schooling, basic service provision, protective infrastructure (such as sea walls). In rural settings: risk infrastructure, seed storage, animal care, etc. Other aspects of vulnerability include access to basic rights, appropriate conditions for particular groups such as the elderly, children, disabled, others.

- **Resilience**<sup>51</sup>: The ability of a system, community or society exposed to hazards to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions” (UNISDR 2009).

▪ **Examples:** level of organization, social networks, abilities, leadership, diversified economy, contingency plans, financial mechanisms.

---

<sup>51</sup> Another definition was used by UNISDR during May 2012 Working Party on Humanitarian Aid and Food Aid (COHAFA); it states resilience as followed: “Capacity to adapt, by resisting or changing in order to reach and maintain an acceptable level of functioning”.



**Annex 4: Indicators for Disaster Risk Reduction and Preparedness<sup>52</sup>**

This model, developed by the International Federation of the Red Cross and Red Crescent as part of the regional DIPECHO project "Reducing Risks: Better Prepared and Safer Communities", provides a set of indicators focusing on the **community level**.

The method used to develop the indicators is SPIR (state, pressure, impact and response). This model establishes a link between the components and the factors to be observed (that is, cause and effect) and which should answer at least the following questions:

1. What is happening? (State)
2. Why is this happening? (Pressure – including dangers and hazard factors)
3. What are the consequences? (Impact)
4. What has been done about it? (Response)

---

<sup>52</sup> International Federation of the Red Cross and Red Crescent, 2007. *Indicators for Disaster Risk Reduction and Preparedness*. See: <http://www.desaprender.org/tools/indicadores-de-reduccion-de-riesgo-y-preparacion-ante-desastres?locale=en> (available only in Spanish).

**Annex 5: Indicators Proposed by the Inter-American Development Bank (IDB)<sup>53</sup>**

The system has four components or composite indicators. It addresses the major elements of vulnerability and the achievements of each country in disaster risk reduction, as follows:

1. The Disaster Deficit Index measures country risk from a macroeconomic and financial perspective according to possible catastrophic events. It requires the estimation of critical impacts during a given period of exposure, as well as the country's financial ability to cope with the situation.
2. The Local Disaster Index identifies the social and environmental risks resulting from more recurrent lower level events (which are often chronic at the local and sub-national levels). These events have a disproportionate impact on more socially and economically vulnerable populations, and have highly damaging impacts on national development.
3. The Prevalent Vulnerability Index is made up of a series of indicators that characterize prevalent vulnerability conditions reflected in exposure in prone areas, socioeconomic weaknesses and lack of social resilience in general.
4. The Risk Management Index brings together a group of indicators that measures a country's risk management performance. These indicators reflect the organizational, development, capacity and institutional actions taken to reduce vulnerability and losses, to prepare for crisis and to recover efficiently from disasters.

---

<sup>53</sup> IDB. Indicators of Disaster Risk and Risk Management. 2010. Program for Latin America and the Caribbean; Summary Report. See: <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=35443899>

## Annex 6: DG ECHO and the DIPECHO Action Plans

### DIPECHO Action Plans

These are the group of plans supported by the European Commission's Directorate-General for Humanitarian Aid and Civil Protection (DG ECHO) through the Programme for Disaster Preparedness, DIPECHO. The aim is better prepared communities and strengthened local, regional and national institutions to face disasters; thus reducing the vulnerability of the most vulnerable population. Funding is periodically provided to encourage countries and regions to reach this objective. Approved projects are characterized by high participation of local and national authorities.

The guidelines for each region's Action Plan are established through the DIPECHO programme with the objective of disaster preparedness for all activities implemented under the Plan. These interventions are divided in five priority areas:

- a. Local disaster management components, targeting local actors in disaster prone areas: early warning system, mapping and data computerization, local capacity building, training.
- b. Institutional linkages and advocacy, targeting institutions involved in disaster management/disaster risk reduction, in particular at regional, national and sub-national levels: advocacy, facilitation of coordination, institutional strengthening.
- c. Information, Education and Communication, targeting direct and indirect beneficiaries: awareness raising among the general public, education and dissemination.
- d. Small scale infrastructure and services, at community level: infrastructure support and mitigation works, reinforcing critical infrastructure, operation and maintenance systems; non structural mitigation activities, and support to specific adaptation initiatives.
- e. Stock building of emergency relief items, targeting the reinforcement of the response capacity of local actors and institutions in disaster-prone areas with the aim of contributing to ensuring an adequate response to natural disaster by strengthening the response capacity in the early hours and days of a disaster.

It is noteworthy that among the recommendations for the DIPECHO Action Plan for the Caribbean 2011-2012, the contribution of the DIPECHO Programme to the implementation of the HFA was highlighted.

- [http://ec.europa.eu/echo/files/funding/decisions/2011/HIPs/caribbean\\_dipecho\\_en.pdf](http://ec.europa.eu/echo/files/funding/decisions/2011/HIPs/caribbean_dipecho_en.pdf)
- <http://www.eird.org/dipecho-action-plan-caribbean/index.html#Home>

**Annex 7: Inventory of DRR Tools**

The following elements are recommended for inclusion in the inventory:

- The tool's classification
- Name of the tool
- Institution
- Name of the project/geographic area
- Date of implementation
- Status (in use, completed or in process)
- Validated by: national, regional, local levels.

### **Annex 8: Indicators of Progress to Measure Disaster Risk Reduction and Implementation of the Hyogo Framework**

#### **National Reports on Progress in the Implementation of the Hyogo Framework**

National reports, promoted by the UNISDR and prepared in a participatory manner by country stakeholders, provide information on progress in DRR through the implementation of the HFA and its strategic priorities. The document identifies trends and major areas of progress, as well as challenges and gaps in various areas and at national through local levels.

Governments identified in the HFA the importance of close monitoring, assessment and reporting, as main characteristics of HFA implementation. Those responsible for monitoring and reporting are primarily governments, as well as organizations and regional institutions, international organizations and partners and the UNISDR secretariat.

In this respect and leading global coordination, the UNISDR secretariat began in 2008 to facilitate a biennial cycle of monitoring and reporting on progress in the implementation of DRR priorities with support from major partners at all levels.

These reports are prepared using the format and methodological guidance of the online tool HFA Monitor.

#### **Monitoring the Implementation of the HFA: the HFA Monitor**

The 'HFA Monitor' is an online tool of the ISDR system used to closely monitor, assess and report on progress made and challenges identified in the implementation of DRR and recovery activities undertaken nationally, as prioritized in the HFA.

The UNISDR secretariat has designed and coordinates this tool, which is available on PreventionWeb (<http://www.preventionweb.net>). Inputs received by the Monitor can be revised during the specific monitoring period. This enables countries to easily access their own disaster risk information and closely follow trends in progress achieved over time. The process produces the national reports on HFA implementation as well.

#### **Basic Indicators to Measure Progress in DRR**

The HFA Monitor's 22 basic indicators defined for the five HFA priorities can be particularly useful for the Country Document risk analysis. The indicators assist in monitoring and assessing progress made and challenges identified in implementation. Some priority areas of the basic indicators are emphasized through "key questions".

The 'key question' in each indicator is only one of the important areas that need to be emphasized. All other areas of the core indicator carry equal importance and hence should be reflected in the narrative 'description' part of each core indicator sub-sections. The 'means of verification' provide a lead to the level of progress achieved and also provide evidence of progress in some of the specific areas.

## Common Format for the Preparation of Country Documents

The complete list of indicators, as well as key questions and means of verification, are available on the HFA Monitor page of PreventionWeb ([www.preventionweb.net/english/hyogo/hfa-monitoring](http://www.preventionweb.net/english/hyogo/hfa-monitoring)).

### **Set of Criteria for the Prioritization of DRR Actions at National Level**

UNISDR, as part of the DIPECHO South America and Caribbean 2011-2012 programme and based on the experience of UNISDR and DG-ECHO/DIPECHO, is also developing a set of criteria for prioritizing action for DRR at national level.

### **Annex 9: Proposed Criteria for Prioritization**

The experience of preparing earlier Country Documents has been rich and varied and can therefore be helpful in establishing some criteria for prioritization, which have been successfully used. The use of these criteria will depend on national context and on progress to date in DRR. It should be clear that these criteria are only suggested and do not attempt to be exhaustive.

#### **Criterion 1:**

- Hazards: records, probability of recurrence, potential impact—human, economic, environmental, other.
- Vulnerability: according to selected criteria.
- Programming: undertaken, requiring completion or programme proposals.
- Trends: such as in seismic activity/quietness, climate change impact, ENSO, deforestation, desertification.

#### **Criterion 2:**

- Strategic interventions.
- Priority areas for intervention: based on identification of hazards and assessment of vulnerabilities.
- Coordination levels: national, departmental/provincial, municipal and community and highlight that prioritized by the country.
- Institutional stakeholders and potential beneficiaries that will enable implementation of strategic priorities.

#### **Criterion 3:**

First, the methodology that was used prioritized the definition of geographic areas, for which the following steps were undertaken:

- Analysis of the information of the Country Document highlighting disaster rate, social and economic conditions that contribute to levels of exposure, response capacity and vulnerability to hazards in the country.
- Vulnerability analysis.
- Jointly established criteria for geographic prioritization.
- Previous interventions of DIPECHO projects.
- Cross-cutting issues of climate change and adaptation.

Second, thematic priorities were established, for which the following steps were taken:

- Analysis of the information of the Country Document highlighting the national strategy for risk management, the action lines proposed and the thematic areas for intervention, including national and local levels.
- The country's legal and institutional frameworks for risk management/DRR.
- Thematic areas proposed by the lead agency.
- Consultative process.
- Previous interventions of DIPECHO projects.
- Crosscutting issues of climate change and adaptation.
- Current disaster rates.

## References

- UN. Millennium Goals.  
<http://www.un.org/millenniumgoals/>
- UNISDR. Hyogo Framework for Action.  
<http://www.unisdr.org/hfa>
- UNISDR. Disaster Risk Reduction Terminology, 2009.  
[http://www.unisdr.org/files/7817\\_UNISDRTerminologyEnglish.pdf](http://www.unisdr.org/files/7817_UNISDRTerminologyEnglish.pdf)
- Wilches-Chaux y la Red de Estudios Sociales en Prevención de Desastres en América Latina. <http://www.desenredando.org/public/libros/1993/ldnsn/html/cap2.htm>
- UNDP. Capacity Development for Disaster Risk Reduction.  
<http://www.undp.org/content/dam/undp/library/crisis%20prevention/disaster/5Disaster%20Risk%20Reduction%20-%20Capacity%20Development.pdf>
- International Federation of the Red Cross and Red Crescent (IFRC). Indicators of Disaster Risk Reduction and Preparedness, 2007.  
<http://www.desaprender.org/tools/indicadores-de-reduccion-de-riesgo-y-preparacion-ante-desastres?locale=en>
- IDB, 2007. Indicators of Disaster Risk and Risk Management. Summary Report. Program for Latin America and Caribbean.  
<http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=1056825>
- “Regional Framework for Achieving Development Resilient to Climate Change”  
<http://caribbeanclimate.bz/news-feed/iisd-seeking-new-earth-negotiations-bulletin-enb-writers.html>  
[dms.caribbeanclimate.bz/M-Files/openfile.aspx?obitype=0&docid=4714](http://dms.caribbeanclimate.bz/M-Files/openfile.aspx?obitype=0&docid=4714)
- OECS Vulnerability Assessment Benchmarking Tool (B-Tool), 2007.  
[http://www.oecs.org/doc-lib/cat\\_view/28-environment-and-sustainable-development/56-btool-documents](http://www.oecs.org/doc-lib/cat_view/28-environment-and-sustainable-development/56-btool-documents)
- PAHO. Health Sector Self-Assessment Tool for Disaster Risk Reduction, 2010.  
[http://new.paho.org/disasters/index.php?option=com\\_content&task=view&id=1443&Itemid=807](http://new.paho.org/disasters/index.php?option=com_content&task=view&id=1443&Itemid=807)
- DG ECHO Humanitarian Implementation Plan, Caribbean/DIPECHO, 2011.  
[http://ec.europa.eu/echo/files/funding/decisions/2011/HIPs/caribbean\\_dipecho\\_en.pdf](http://ec.europa.eu/echo/files/funding/decisions/2011/HIPs/caribbean_dipecho_en.pdf)
- Previous Country Documents in the Caribbean region:  
Dominican Republic:  
<http://www.eird.org/publicaciones/doc-pais-rep-dominicana-2011.pdf>  
(only available in Spanish available)