Guidelines for the Application of Criteria for Identifying Key Actions for Disaster Risk Reduction (DRR) Planning in Latin America and the Caribbean

Revised version in the framework of the DIPECHO Action Plan 2013-2014 South America

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1 FOREWORD

Established in December 1999, the United Nations Office for Disaster Risk Reduction and secretariat of the International Strategy for Disaster Reduction (UNISDR), is the designated focal point in the United Nations system for the coordination of disaster risk reduction, ensuring synergies between UN disaster reduction activities and regional organizations, and socio-economic and humanitarian activities.

The disaster preparedness programme of the Department of Humanitarian Aid and Civil Protection (ECHO), known as DIPECHO (Disaster Preparedness ECHO), seeks to limit the negative impact of disasters through prevention and strengthening the responsiveness of the authorities and affected populations.

Since 1994, ECHO has allocated € 65.5 million to disaster preparedness in South America and € 112.5 million to respond to disasters and emergencies in the region. Humanitarian aid is a concrete expression of the fundamental values of the European Union: solidarity with the most vulnerable populations, respect for human dignity, equality and tolerance.

The DIPECHO Action Plan 2013-2014 for South America focuses on reducing vulnerability, increasing the local responsiveness and contributing to community-based preparedness to influence institutions for them to be able to face future extreme events, so that they do not become disasters. It also includes activities such as protecting the livelihoods of disaster-prone communities, creating early warning systems, mapping of hazards, and contingency planning and coordination between institutions and stakeholders before, during and after an emergency, among other aspects.

One of the main challenges facing the region is the generation of advocacy processes that successfully **permeate the regional public investment policies and the decision-making processes**. For this purpose, reports, criteria and indicators have been consolidated to improve the understanding of risk and generate baselines of a more suitable scale for national and local management.

The first version of the Set of Criteria and Guidelines, developed in 2012 by the consultant team through FundaCrid and known as 'Criteria for prioritizing actions for disaster risk reduction at the national level in Latin America and the Caribbean' was prepared through the UNISDR in the framework of the DIPECHO projects for South America and the Caribbean and submitted to a consultation process with the participation of DIPECHO partners and national systems in South America, Central America and the Caribbean.

The current version reflects a change of approach based on lessons learned through the development of Country Documents produced in the three sub-regions, led by national risk management systems in Latin America and the Caribbean. These Country Documents arebased on a Common Format and intended as guiding documents about the current situation of DRR in each country, as a core element of sustainable development.

In this context, these Guidelines are directed to the technical staff and decision makers and seek to facilitate the identification of priority areas for planning DRR programme actions in Latin America and the Caribbean, as a tool of special interest because of its direct link with documents generated by countries in the framework of DIPECHO.

The design of these instruments is the **final output of a process of consultation and follow-up** by different stakeholders in Latin America and the Caribbean through forums, interviews and workshops that contributed to a multi-sectoral dialogue that inform and refine the contents.

The current edition is the product of the joint work of the liaison officers in the DIPECHO framework and is based on the identification of lessons learned through the development of Country Documents under the leadership of national systems and with the participation of the DIPECHO partners, representatives of relevant sectors and other stakeholders based on the criteria of each country and the DIPECHO framework between 2011 and 2013.

This tool, which includes the Set of Criteria and Guidelines for Application, has been made possible through funding from the European Union's Disaster Preparedness Programme of the Humanitarian Aid and Civil Protection Directorate General (ECHO), known as DIPECHO

Please contact the UNISDR Regional Office for the Americas at eird@eird.org for queries and to share your experiences using the tool.

2 INTRODUCTION: Foundations for decision-making in Disaster Risk Reduction (DRR) planning

The increasing intensity and recurrence of catastrophic events in the context of sequential global crises have made prioritization of the needs more complex in terms of decision-making for resource planning/allocation/distribution for Disaster Risk Reduction. It is common for there to be doubts about whether 'visible priorities' divert attention from the issues that become 'invisible priorities' because of a lack of information.

This situation has led to cases in which the impact of major disasters, or the use of isolated macro-criteria, such as the national Gross Domestic Product (GDP) or the Human Development Index (HDI), has generated support policies that leave behind large sectors of highly vulnerable population. The impact of recent disasters has shown how countries, territories or zones considered to be non-priority areas for reasons of historical hazard impact or economic indicators, among others, have been severely affected. This revealed the lack of previous risk reduction work based on prioritization criteria or situational profiles of areas at risk.

Exploring this situation, we find that the information gaps, the variety of methodologies and rigidness (temporal and geographical) of some instruments fall short of reaching their goal of guiding decision-making in the face of an 'intersection of uncertainty'.

Additionally, supporting systems and national and local DRR platforms which compete for limited international resources, demand increased assertiveness in communicating their needs and greater clarity in identifying their priorities.

2.1 Rationale for the need to refine DRR planning

A planning profile is defined here as the set of individual traits that characterize the planning arena. Broadening this definition to the area of DRR, it may be defined as the group of specific interrelated traits that characterize DRR needs in the planning processes.

Planning profiles are designed to provide an overview of existing or absent resources, means and capacities, therefore, providing a suitable tool for medium- and long-term planning or for the planning of priorities.

The analysis carried out by people who have developed, formulated and/or supported the construction of Country Documents[1], identified the absence of a tool that provides information about the initial conditions of risk in a given territory and key actions for its reduction. Having this information or 'profile' prior to planning or programming allows to:

- Reduce the use of material, human and financial resources, since areas or sectors in need of a DRR intervention have been identified without needing to invest those resources in a more thorough identification process;
- Save time in the planning process;
- Identify the guidelines for the assessment process that require more depth;
- Focus the relationship of environmental and climatic processes with DRR.

[1] Descriptive and guiding documents for DRR including specific analysis of risk conditions in the countries, in order to facilitate the planning process.

2.2 Who are the intended users of the tool?

This tool is aimed at decision makers and technical teams responsible for developing planning and investment processes for Disaster Risk Reduction and whose geographical area of intervention is concentrated in Latin America and the Caribbean.

This includes not only officials or decision makers from international organizations or national public institutions, but also NGOs that act as counterparts to these agencies and institutions, either as partners or as managers of private humanitarian and development cooperation.

Using the guidelines, particularly the Set or Matrix of Criteria, may also be useful in profile identification processes and the negotiation of international cooperation programmes.

2.3 What is —and what is not— the Matrix of Criteria for prioritizing Disaster Risk Reduction (DRR) actions?

The Set or Matrix of Criteria —the implementation of which is addressed in this guide— is an instrument designed to accompany *ex-ante* analysis processes to build Disaster Risk Reduction (DRR) planning profiles, based on observation and rapid analysis of relevant information available from national and international information sources. The Matrix establishes categories and key questions about particular situations and risk management processes and provides criteria relevant to the responses, using a traffic light scheme. Each question is accompanied by key variable(s) for which information is required. Thus, decision makers will have specific signals that allow them to prioritize their planning process for DDR.

The instrument does not seek a high degree of synthesis, which could be confused with some of the existing aggregate indicators such as those developed by the Inter American Development Bank (IDB), the World Bank, DARA or the Organization of Eastern Caribbean States (OECS), among others. Similarly, it is designed for medium-term programme *ex-ante* processes and, therefore, is not suitable for project monitoring, performance measurement or *ex-post* assessments.

The set, known as the Matrix of Criteria, is built to quickly use available information, which may be qualitative and quantitative. As such, it does not seek to generate aggregations or define specific measures comparable between areas or countries, but the identification of relevant aspects to be considered during planning.

In summary, the Matrix is:

- ☒ **Not** a DRR index.
- ☒ **Not** a criterion for selecting the type of DRR actions to be carried out in programmes or projects.
- ☒ **Not** a means to rate DRR actions.
- ☒ **Not** a means for evaluating programmes or projects.
- ☑ **It is** a document that helps generating an initial profile that provides a roadmap to guide the priorities that should be considered in DRR processes.

2.4 What is the added value of this instrument to the decision-making process?

The criteria are structured in the form of questions about key issues in the construction of risk over time and in the territory, and the actions of social systems and political structures.

The questions should be weighed based on evidence and experience prior to strategic decision-making about the planning of resources and disaster risk reduction programmes.

Starting from the basic premise that the lack of reliable information is one of the main vulnerabilities of a social system in the territory', the Matrix assesses this type of gap as the first prioritization criterion for a territory.

As a general example and anticipating the content of the Guidelines, it can be assured the proven existence or absence of information about some of the categories included in this instrument, respectively leads to a review phase of existing information, or conversely, an immediate assignment of priorities, since the lack of information reflects a structural vulnerability in the country or territory under review. This situation will be analysed in greater detail below.

2.5 Building the Guidelines

The Guidelines were built following the stages below:

a. Review of existing information

   Existing instruments related to DRR were analysed such as the HFA Monitor, the IADB Disaster Risk and Risk Management Indicators, the OECS Vulnerability Benchmarking Tool, among others.

b. Definition of conditions for indicator criteria timeliness

   The following conditions were identified:

   - Information currently available, given that these are ex-ante decisions where comprehensive studies cannot be conducted.
   - Relevance for programme-type, medium-term processes.
   - Input criteria, given that the information will not be oriented to *ex-post* monitoring, control or evaluation, but towards initial decision-making information.
   - Oriented towards strengthening decision-making processes in establishing action and investment priorities.
   - Quantitative or qualitative criteria that does not seek numeric aggregation. Criteria are signs or warnings about relevant issues in the decision-making process.

c. Development and validation of the package of criteria and indicators

   Development and validation of the first Matrix, following 'expert advice' through forums, interviews and targeted observation. At least 70 people participated from national systems, NGOs, International agencies from Central and South America, as well as the Caribbean.

d. Proposals for common indicators

   Upon the conclusion of the consultation process, the final Matrix was developed, considering:

   - Structure based on: categories, guiding questions, variables for decision-making and relevance.

- Threefold answers: ideal condition; condition in progress or intermediate process; critical condition.
- Relevance for decision-making, based on a traffic light format: High relevance (red), to be considered and monitored (yellow), low relevance (green).

e. Development of the Methodological Guide

It guides and supports the application of the criteria, and explains the development process of the Matrix based on a fictional scenario.

f. Final recommendations

- Exercise of implementation for the Country Document. While the Matrix and Guide are not designed for a specific use or a particular donor, it would be advisable to implement the tool during the development of Country Documents within the framework of the DIPECHO programmes.
- Reporting the results of its implementation to donors and agencies that conduct priority-identification processes, such as the World Bank, IADB, European Commission, among others.

g. Dissemination and advocacy in DIPECHO projects

Based on their participation in the development of the Country Documents, as well as the commitment to support, update, strengthen and/or restructure them with the DIPECHO partners and through the process led by the national systems, the experience of the Liaison Officers in South America —responsible for the current edition of these Guidelines— provides a suitable space for the implementation of the Guidelines in the territory. The added value of the use of the Guide at the sub-national and local levels is defined through the lessons learned in previous processes.

2.6 Categories and relevance of the criteria

The categories used in the Matrix of Criteria correspond to a classification of the basic explanatory macro-variables of risk. The identification and selection were based on the analysis of existing systems of indicators, considering the availability of information for rapid use as the main criterion for observation.

2.6.1 Categories

FOCUS OF ANALYSIS	CATEGORIES
RISK	**1. Apparent and immediately recognizable signs of hazard and exposure.** This category focuses on the obvious manifestations of disasters, without entering into a more complex risk analysis. The criterion is essential as it provides a first insight into the country situation and its sub-national and local levels. This criterion should be considered as an element of decision-making in the short term.

	2. Drivers of risks in the country and their configuration in the territory This refers to political, social and economic conditions underlying the social construction of risk. This concept stems from two central ideas: (i) the understanding of risk as a process, i.e. with a specific background and therefore not a spontaneous or casual situation, but rather a phenomenon that occurs when certain conditions of territorial sustainability are ignored in the development process; and (ii) that the processes underlying the construction of risk are essentially social, despite the fact that physical phenomena associated with disasters may be natural.
MANAGEMENT	**3. Current capacities for risk management** This category is extremely important since it prioritizes observations about hazard and exposure: for example, a country with less hazard but unprepared compared with another with high risk of hazards but highly prepared. These conditions are observable through national and international reports and refer to how a country has or has not developed capacities at the national and sub-national level.
	4. Enabling regulations This refers to the existence of a regulatory framework for action on imminent risk conditions that facilitates and strengthens the capacity to manage risk. These regulations must be found within the legislation on disaster risk, but above all, in sector-specific and municipal regulations, customs codes, health legislation, building regulations and others.
	5. Trends and future prospects This category is designed to identify risk trends, particularly through the availability and management scenarios and forecasts on issues such as climate change.

2.6.2 Guiding questions

This is a proposal of key elements/variables that may be classified/prioritized and should be considered by a financial authority or an institution/entity (Fund, national budget, private sector creditor, donor) at the time of establishing priorities in DRR planning. They are presented as questions to facilitate analysis.

2.6.3 Key variables

This is a set of important properties in the identification process for each question. The variables are the basis for adapting the questions, if necessary, while maintaining the essence through their proper use. It also enables a better visualization of the objective of each question and, therefore, the understanding by teams or groups responsible for the profiling and prioritization.

2.6.4 Categories/criteria to be considered for decision making

These include pre-defined threefold responses:

a. an ideal situation
b. a situation in process
c. a critical situation

Note that this ranking has been established based on 'expert advice', considering what may be ideal or critical in a highly heterogeneous set of countries. Thus, these assessments could be more or less applicable, depending on country peculiarities. For this reason, as discussed below, the first period should be a validation of these criteria/categories. It must be remembered that the Guidelines do not seek to generate a ranking or numerical comparisons between countries, therefore criteria can be adapted.

2.6.5 Relevance

This includes an assessment and rating or qualitative parameter that determines —for the purposes of the Guidelines— the 'priority', 'observable' or 'non-priority' status of a criterion. The logic of this analysis is based on the use of the colours of a traffic light as a 'relevance ranking' where:

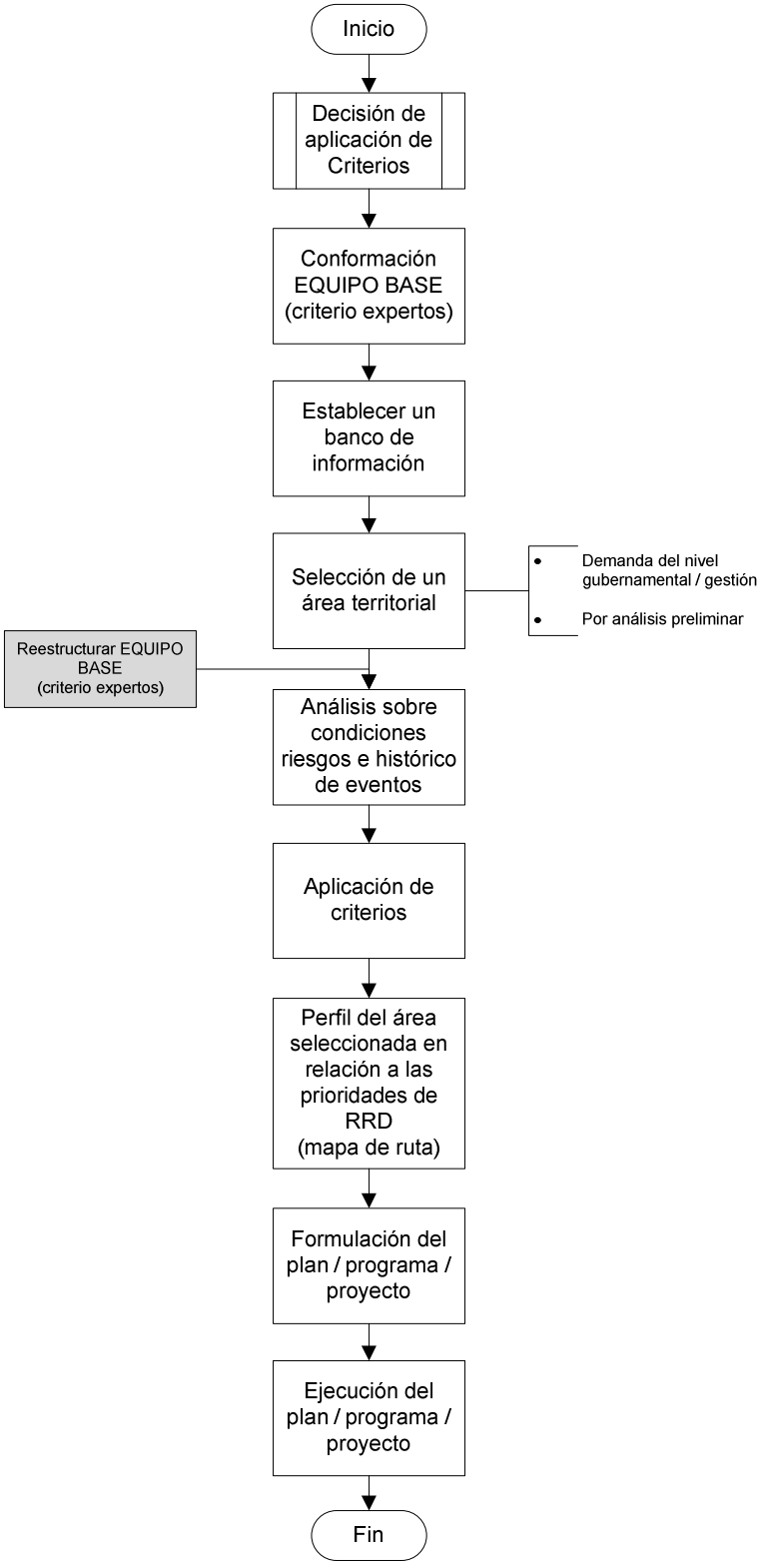
Red (highly relevant or priority level): implies a determining state or condition for programmatic intervention for this area or criterion in the territory under review.

Yellow (relevant or observable): represents a condition that must be carefully observed and compared with other inputs in order to make a final decision on whether to intervene.

Green (low relevance or non-priority): implies an ideal or acceptable condition for the criteria evaluated in the territory, i.e. there is not a priority condition for programmatic intervention in the medium term.

3 PROCESS FOR THE IMPLEMENTATION OF CRITERIA

Figure: General diagram of the process for the implementation of criteria



	Start	
	Decision to apply criteria	
	Establishment of CORE TEAM (expert advice)	
	Establishment of an information bank	
	Selection of territory	Request from governmental/management level Resulting form preliminary review
Re-structuring of CORE TEAM (expert advice)		
	Analysis of risk conditions and event records	
	Application of criteria	
	Profile of selected area according to DRR priorities (Roadmap)	
	Drafting of plan/programme/project	
	End	

3.1. Establishment of the core team

The availability of a group of people with expertise in DRR issues and situational knowledge facilitates the implementation of the criteria. This group must be established with the approval of those responsible for the planning or programming.

The following minimum structure is recommended for the group:

- 1 person with knowledge of the planning model to be implemented;
- 1 person with knowledge of the territory where the Criteria will be implemented;
- 1 person with Risk Management experience (if not available, this can be replaced by experience in humanitarian response, environmental management or land use planning);
- 1 person with access to the territorial information required.

Following the selection of the territorial area, the group may be restructured as needed for the implementation of the criteria.

3.2. Establishment of an information bank

The Core Team is responsible for the collection of the key documentation for the implementation of the criteria. All the documents shall be attached as a reference file to final report on the implementation of the Matrix.

3.3. Selection of the territory

The territorial area for the implementation of the criteria is selected based on the following premises:

1. On request from government/management authority responsible for the territory.

   In this case, those responsible for the approval of planning will define the territorial coverage for the implementation of the criteria.

2. As a result of a preliminary analysis of risk conditions (demand based on existing risk).

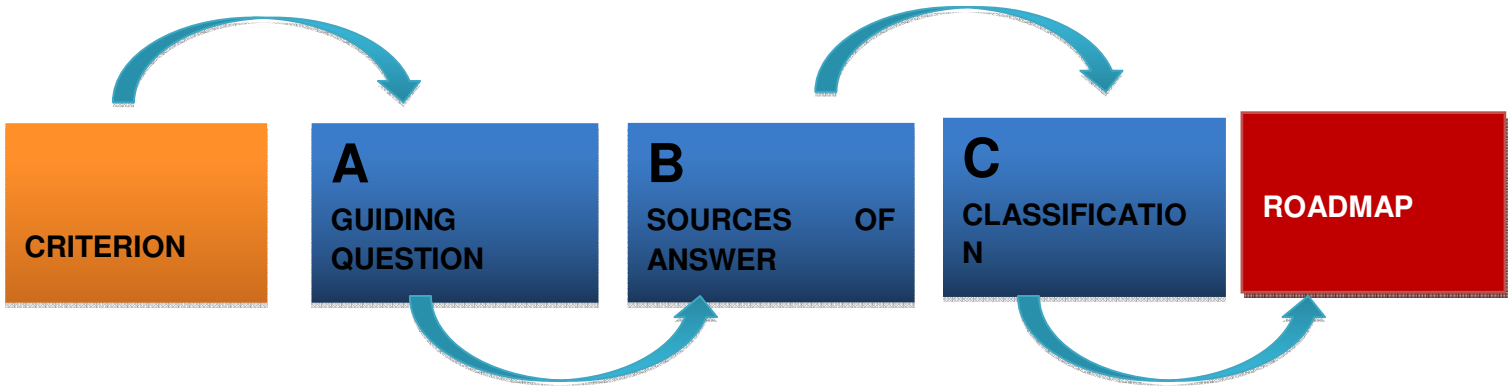
   The preliminary analysis will enable the identification of those zones with a higher probability of disaster occurrence, and the territorial coverage for the implementation criteria will be determined. This analysis should be supported by documents about Risk Management, hazard-vulnerability studies. If these tools are not available, the selection would be made by implementing the expert criteria.

3.4. Analysis of the risk conditions and historical records of events in the selected area

Once the area is selected, it is necessary to identify the associated population, the exposure to hazards, the vulnerability status, the synergies that exist between the risks and the possible interactions with other territorial areas. It is also necessary to review the historical data about disasters and emergencies that have occurred in the territory, including impacts and effects, and to identify, in general, the warning and response schemes and systems.
The selected area is characterized with this data, which serves as the main basis for the application of the Matrix of Criteria.

3.5. Application of criteria

The following diagram displays the logic of a general prioritization based on three steps that will be derived from the set of criteria defined by the methodology. These may be applied to any assessment tool that has been developed with a local or national approach and will seek to identify if the basic elements are present for decision-making with a view to the introduction of a Disaster Risk Management programme.



STEP A. Guiding question: Initial questioning predetermined by the methodology on the current condition or the information available on the criteria under review.

STEP B. Source of answer: Exercise to identify and compile the sources of information needed to answer the guiding question.

STEP C. Relevance ranking: The rating of the answers according to the traffic light colours (red, yellow, green), based on the analysis of the information available for the prioritization or assessment of the criteria.

Roadmap of priorities/profile of the territorial area in relation to DRR priorities: Final consolidation of highly relevant criteria (red) in a single instrument with recommendations for the design of a DRR programme, and monitoring of moderate relevance (yellow) criteria. It is not applied to each particular question but as the last step to finalize the analysis process.

4 EXAMPLE OF IMPLEMENTATION: 'AMERISK' COUNTRY PROFILE

AMERISK is a low-income Latin American country, bordering the Atlantic Ocean. It has a population of 20 million; 40 % of the population is of indigenous or African descent and exhibit lower income conditions and access to services than the rest of the population.

At the national level, 36.5 % of households live in poverty; 11.2 % of these live in extreme poverty, while 25.3 % live in overall poverty, with an infant mortality rate of 13 per 1,000 births, and an illiteracy rate of 5 % of the population, which places AMERISK at the level of regional averages. The annual per capita income is $1,080 ($1,200 in urban areas and $820 in the rural area), life expectancy is 72 years and literacy reaches 80% of the adult population, which is why the United Nations Development Programme places it at a medium development level.

Floods are considered as the main hazard in the country, which is confirmed by the records of the National University of AMERISK, which register events for the period 2000-2010 including three large-scale floods. As such, the Association for the Development of Coastal Municipalities perceives floods as the main hazards to which communities are exposed during the rainy season.

In rural areas or the west of the country, desertification affects part of the population of AMERISK, mainly caused by deforestation, forest fires and illegal agricultural practices, with sporadic conflicts over land use. The aforementioned, together with rains (about 1,800 mm annually) leads to increased surface runoff. The reduction of the tree cover has been accelerated since the entry into force of the new tax law that raised the tax on gas sales, since more of the rural and part urban population has stopped using gas stoves and have returned to cooking with firewood. In urban areas, about 5 % of the population lives in areas at risk of landslides, which has led to the initiation of relocation processes.

The National Platform of AMERISK is coordinated by the National Risk Management Authority (NRMA), a body that has worked over the last five years to build an analysis of geographical risk scenarios with a special emphasis on hazards and vulnerabilities, strategic and operational aspects for each geographical area (central-urban area and peripheral-coastal-rural area). A second five-year phase is expected to include scenarios based on different ongoing studies about the impact of climate change in the country.

AMERISK has a National Plan jointly designed by NRMA and two major national institutions. The National Plan defines the actions, responsibilities and coordination mechanisms in the face of potential emergencies in the national territory, including emergency preparedness plans for floods, landslides and other hazards nationwide. The country has strengthened monitoring systems for hydro-meteorological, geological, hydrological and oceanographic events. According to its mandate, NRMA is in charge of emergency declarations and warnings .

Despite the above, the inter-agency relations and sectoral planning processes are an emerging practice in AMERISK. For example: the lack of institutional presence at sub-national levels affects coordination between the Ministry of the Environment and Natural Resources, the Ministry of Urban Development and municipalities, and in most rural communities, there are no plans —neither Emergency (57 %), nor Risk Management (61.1 %)—, since community initiatives generally respond to processes framed in internationally funded projects and concentrated in urban areas. The lack of qualified

human resources, communications infrastructure and limited availability of financial resources prevent the implementation of Early Warning Systems (EWS) at the local level.

Additionally, the country has four-year political-electoral cycle for the central government. As such, each time a new government takes office, there are transfers, layoffs and hiring of new staff, which does not allow for the creation of the necessary capacities for continuity on the issue of risk management.

This situation has led the National Congress of AMERISK to drive and recently approve draft Law No. 911-2012 establishing the creation of four large risk management bodies at the national level: 1) the National Platform for Disaster Prevention, Mitigation and Response, 2) the National Risk Management Policy and Plan; 3) a National Information System; and 4) a National Fund for Prevention, Mitigation and Response, which will be financed by specific taxes from the construction sector. In turn, the National Platform involves three levels of management: the National Council for Disaster Prevention, Mitigation and Response; the National Emergency Commission (CNE); and the Regional, Provincial and Municipal Committees for Disaster Prevention, Mitigation and Response, which have yet to be established.

The latter are headed by mayors as key entities of the platform. They are responsible for disaster prevention, preparedness and relief in their respective jurisdictions. Their work includes training, technical inspections, risk assessment, supply management in emergency and post-disaster planning.

Both the strategic guidelines of the National Policy and the National Plan of AMERISK must incorporate the Regional Policy on Integrated Disaster Risk Management and the priorities of the Hyogo Framework for Action (HFA) in their strategic areas. The National Fund for Disaster Prevention, Mitigation and Response of AMERISK has $4 million available for the current year for line institutions and bodies for prevention, risk mitigation and disaster response actions. In an emergency, financial resources may be increased through an extraordinary budgetary allocation by different State ministries.

4.1 Instructions for analysing apparent and immediately recognizable traits of hazard and exposure

STEP A. Guiding question

- Read each guiding question included in this category carefully (column 1);
- For the answer, consider the variable(s) that needs to be measured (column 2);
- Identify the thematic, temporal and geographic scope of potential answers (column 3);
- Note how the temporal variable is determining or incorporating not only historical records but also recurrence and seasonality to the risk mapping in the territory.

STEP B. Source of the answer

To answer the questions of this category or set of criteria, refer to their sources:

- **Question 1:** Refer to information in official records (national or, lack thereof, international) of events and damages, or socio-historical mappings (such as DesInventar). Based on available technical-scientific studies developed by academic institutions or recognized national institutes, enter information on the

recurrence with special attention to non-seasonal recurrences that are overdue and are traceable in the territory. The absence of probabilistic studies that provide this type of information should be considered as a reason for priority rating, since it may be hiding the existence of high impact probability.

- **Question 2:** Determine the existence of territorially-disaggregated information, either through mapping or records, and assess sub-national territories that have a higher recurrence of events.

- **Question 3:** Verify that the action plans, risk, hazard or vulnerability atlases or maps of the territory incorporate a multi-hazard approach and climate change scenarios. It is recommended that they not exceed five years since their design or update.

STEP C. Relevance ranking

Having reviewed the questions and possessing the aggregated information needed to answer, we will analyse and justify the priority level of intervention that we will apply to the case of AMERISK, in accordance with the qualitative variables or parameters of column 3.

- **Question 1:** The only information available for AMERISK is a historical record of its national university, but it does not include probabilistic forecasts, which is why the relevance ranking applied is **A (red)**.

- **Question 2:** It is mentioned that the National Risk Management Authority (NRMA) provides an analysis of scenarios for the two geographic areas of the country, which is consistent with what is established for relevance ranking **C (green)**.

- **Question 3:** Although the risk scenarios constructed by NRMA have been updated satisfactorily, they do not yet incorporate climate change scenarios, and therefore are assigned a relevance ranking of **A (red)**.

Guiding question	Variables	Criteria to be considered for decision making	Relevance
1. In the selected geographical areas, where there is a potential for destructive impact and/or a record of impacts, what are conditions that best describe the hazard and their monitoring?	*a. Hazard/danger* b. *Record of impacts* *c. Monitoring of the hazard/danger*	*a.* There are areas with recurring events, and there are records of previous impacts that have caused damages and losses, but do not have a map of the hazard (and/or danger) or forecasts based on probabilistic criteria.	✓
		b. There are areas with recurring events, and there are records of previous impacts that have caused damages and losses, there is a mapping of hazards and multi-hazards (and/or danger) or forecasts based on probabilistic criteria, but this information is outdated. An expert assessment is required to determine current conditions.	

		c. The historical and instrumental records do not show potentially destructive events, corroborated by the hazard (and/or danger) studies. There are zones with recurring events, and there are records of previous impacts that have caused damages and losses. There is a mapping of the hazard (and/or danger) or forecasts based on probabilistic criteria and with updated information.	
2. In the territorial areas selected, are there geo-referenced and territorially disaggregated records of frequent impacts of hazards related to seasonal events (droughts, floods or landslides)?	a. Geo-referenced records of impacts associated with seasonal events	a. There are zones without records of recurring impacts from seasonal phenomena. Recurring impacts are considered critical and high priority, although still without detailed studies.	
		b. Existing information but without territorially disaggregated information on the impact of disasters. The existence of this type of information is essential to improve the quality of decision-making.	
		c. There is territorially disaggregated data, and work is being carried out with risk management scenarios.	✓
3. In selected territorial areas, are there studies and action plans on multi-hazard or trans-border hazard conditions, including extreme climate variability events such as the impacts of climate change?	a. Exposure to trans-border hazards, multi-hazards and impacts of climate change b. Impact scenarios c. Action Plans	a. Historical information and hazard studies show the existence of multi-hazard zones or areas, but integrated scenarios and studies are not conducted for multi-hazard, trans-border hazards and/or impacts of climate change. There are no action plans.	✓
		b. There are clearly identified trans-border hazards (hurricanes, floods in major basins, droughts, volcanoes, and others), as well as risk scenarios and impacts of climate change, but has no actions plans that respond to the identified hazards and studies.	
		c. The multi-hazard, trans-border hazards and impacts of climate change are well identified both at trans-boundary and national and local levels, with corresponding scenarios and action plans.	

4.2 Instructions for analysing Drivers of Risk present in the country and their configuration in the territory

STEP A. Guiding question

- Read each guiding question included in this category carefully (column 1);
- For the answer, consider the variable(s) that need to be measured (column 2);
- Identify the thematic, temporal and geographic scope of potential answers (column 3);
- Note that the answers to this category should be based on pre-existing data from the sets of indicators, national and international indexes and other sources validated for entities performing the analysis.
- This category or set of criteria based on drivers of environmental degradation, land use, socioeconomic conditions, resilience and governance, must be linked to the areas that have been identified in the questions included category A (apparent and immediately recognizable features of hazards and exposure).

STEP B. Source of the answer

To answer the questions of this category or set of criteria, identify and agree on sources to be used, as indicated in the previous step:

- **Question 4:** Identify sources that include characterizations of ecosystems and environmental conditions for sub-national territorial units and analyse if there is a linkage —whether as a cause or consequence— of historical events. Indicators such as (i) deforestation rate, (ii) land degradation, (iii) water stress and (iv) the (inverted) environmental performance index could provide objective information in this case.

- **Question 5:** Indicators such as the Human Development Index (HDI),[2] that incorporates per capita income, literacy and life expectancy variables, and has sub-national disaggregation in many countries that complement the national measurement, will be used to contrast the socio-economic conditions of the territories threatened by extreme events in this question. A sub-national analysis may include the country indexes. It is important to indicate which indexes are used.

- **Question 6:** Access assessments that incorporate data on decentralization and distribution of institutional risk management networks and basic services in the territory, including cooperation agencies and non-governmental organizations that perform subsidiary functions in both areas. Other measurements such as unsatisfied basic needs (UBN), Social Gap Indicators, among others, are aggregate indicators that incorporate some useful variables for this ranking.

- **Question 7:** Based on the provisions of enabling regulations for DRM (land use planning, watershed and water resource management and protection, building and planning codes, risk assessment in essential buildings and utilities), the existence of accountability mechanisms is assessed.

[2] Prepared by the United Nations Development Programme (UNDP) for each country.

- **Question 8:** Evaluated using indicators to estimate the population living in slums; provisions and compliance of zoning regulations, planning codes and safety regulations, among others; urban processes with a high level of uprootedness and dislocation (spontaneous human settlements without adequate planning); and physical control mechanisms relating to occupation, use and transformation of urban spaces.

STEP C. Relevance ranking

Having reviewed the questions and possessing the information required for the answer, the relevance is analysed and justified according with the qualitative variables or parameters of column 3, based on the situation of each country and/or territory selected. It is important to remember that the Matrix of Criteria incorporates a predetermined relevance level for the entire region, but given the heterogeneity of countries and territories in terms of size, population and territorial structure, the assessment must be validated or adapted for each specific case.

- **Question 4:** In the case of AMERISK, extensive agricultural and environmentally degrading practices are identified in the rural area to the West, related to desertification processes in the territory, which is why it is given a classification of **A (red)**.

- **Question 5:** Indicators such as income, life expectancy and illiteracy reflect the accumulation of human capacities in the social system, which directly affect the chances of preparedness and response of the population. According to social data of the country and qualitative parameters, it is possible to assign an average value of **B (yellow).** .

- **Question 6:** Institutional presence, resource availability and media access in AMERISK show significant gaps in the country assessment, which leads to a ranking of **A (red)**.

- **Question 7:** The regulation recently approved by the Congress of AMERISK has filled the regulatory gap in DRM, but since it has only just recently come into force, it must be rated as a relevant or observable condition **B (yellow)**.

- **Question 8:** The implementation of territorial regulation has been concentrated in the urban zone of AMERISK, and 15 % of the urban population lives in at-risk areas. This, coupled with the lack of institutional support for this issue in rural municipalities, leads to apply the qualitative parameter of **B (yellow)**.

Guiding question	Variables	Criteria to be considered for decision making	Relevance
4. In the selected areas, what are the characteristics of environmental degradation in areas with historical impacts or influenced by hazards?	a. Interaction of environmental degradation (*) and hazards (*) For the purposes of these Guidelines, environmental degradation will be	a. Environmental degradation (*) presents high indicators of impairment that generate severe impacts and can interact with the hazards, increasing the exposure and vulnerability of the population.	✓
		b. Environmental degradation (*) can be severe but management measures are applied that reduce the negative impacts and interaction with hazards (decreased exposure and vulnerability), or	

Guiding question	Variables	Criteria to be considered for decision making	Relevance
	understood as the actions that produce impacts such as deforestation; inadequate watershed, wetland and slope management; water stress (including water for irrigation and livestock); soil erosion, poor waste and pollution management.	environmental degradation is not severe and its interaction does not generate increased exposure and vulnerability.	
		c. Environmental degradation (*) produces low impacts, indicators are below national/regional averages. There is no interaction between the impacts of environmental degradation and the hazards. There is a significant investment to improve environmental conditions, producing a decrease in exposure and vulnerability.	
5. What is the composition of the population in terms of their socio-economic conditions and their exposure to hazards in the selected area?	a. Socio-economic situation of the exposed population	a. Socio-economic indicators (**) are predominantly low in exposed populations (over 50 % of the population in the selected area). (**) Indicators will be selected based on those identified in the Development Plan in force in each country, considering at least some indicators of poverty, health and education.	
		b. The socio economic indicators selected (**) are low for 20 % to 50 % of exposed populations.	✓
		c. The socio-economic indicators (**) are low for less than 20 % of the exposed population.	
6. In the selected territorial area, what are the essential conditions and access to services, and which are exposed to hazards?	a. Access to basic services (***) b. Exposure of essential services (***) (***For the methodological purposes of these Guidelines, the essential services will be defined by consensus of the participants in the evaluation, however the following should be considered:	*a.* The population without access to essential services (***) exceeds 50 % in areas exposed to hazards from the selected areas. Essential services are highly vulnerable and have high exposure to identified hazards.	✓
		b. The population without access to essential services (***) Is between 20% and 50% of the population in areas exposed to hazards from the selected areas. Essential services are vulnerable and exposed to the identified hazards, but actions are being developed for their management. The percentage of the population without access to improved sanitation infrastructure, to improved water sources and communication channels is equal to or less than the national/regional average.	

Guiding question	Variables	Criteria to be considered for decision making	Relevance
	water, health, sanitation, communication and road network)	c. The population without access to essential services (***) is less than 20% of the population in areas exposed to hazards from the selected areas. Essential services are less vulnerable and exposure to the identified hazards is less.	
7. In the selected territorial area, what are the conditions and the implementation of the regulatory framework related to the Risk Management and Environmental Management, especially in those areas exposed to hazards?	a. Implementation of the Regulatory Framework b. Accountability mechanisms for DRM and Environmental Management	a. There is no enabling regulatory framework for DRM or for Environmental Management in the selected territorial area (or national, regional or local regulatory framework), especially when: (I) there is no legislation governing the use and safe and orderly occupation of the urban and rural territory, (Ii) not regulated protection and watershed management, ecosystems, slopes and overall atmosphere, (Iii) the building and planning codes for reducing risks are not applied There are no formal accountability mechanisms by State agencies for Risk Management and Environmental Management.	
		b. There are enabling regulations for Risk Management (safe and orderly use and occupancy of urban and rural territory, protection and management of watersheds, slopes, ecosystems and environment, building and planning codes to reduce risks), but low or emerging implementation. Formal accountability mechanisms by State agencies are not implemented for Risk Management and Environmental Management.	✓
		c. There are enabling regulations for Risk Management (safe and orderly use and occupancy of urban and rural territory, protection and management of watersheds, slopes, ecosystems and environment, urban planning and building codes to reduce risks) and for environmental management implementation is effective in the selected territorial area. Formal accountability mechanisms by State agencies are implemented for Risk Management and Environmental Management.	
8. How are the processes of use, occupation and transformation of land in urban areas	a. Use, occupation and transformation of territory at the urban level in	a. There is a high and increasing occupation of urban areas at risk (over 30% of the population of the analysis area) without planning processes or control over the implementation of the urban and rural land use planning regulations. Lack of	

Guiding question	Variables	Criteria to be considered for decision making	Relevance
exposed to hazards in the selected territorial areas?	areas exposed to hazards b. Control mechanisms for the occupation, use and transformation	physical control mechanisms for the occupation, use and transformation of urban landscape.	
		b. Moderate occupation of at-risk urban areas (between 5 % and 30 % of the population in the selected area) without planning processes or control with an increasing trend towards (unsafe) squatting in hazard-prone urban and suburban areas subject. Regulations and monitoring mechanisms are only partially implemented.	✓
		c. Little occupation of at-risk urban areas (less than 5 % of the population in the selected area) and with effective control processes and mechanisms for urbanization and future population settlement.	

4.3 Instructions for analysing *Capacities for Disaster Risk Management*

STEP A. Guiding question

- Read each guiding question included in this category carefully (column 1);
- For the answer, consider the variable(s) that need to be measured (column 2);
- Identification of the thematic, temporal and geographical scope of potential answers (column 3);
- In this category or set of criteria, a more specific assessment of the operating structure of the institutional platforms and/or systems responsible for risk management in the territory is performed.

STEP B. Source of the answer

To answer the questions of this category or set of criteria, refer to sources that include:

- **Question 9, 10, 11**: Detailed information on the institutional structure of the national risk management platform or system, reports of national development plans, external evaluations, HFA Monitor reports and institutional proceedings are primary reference sources.
- **Question 12:** This should rely on documentation about the existence of specific projects and programmes on the implementation and coverage of EWS. Use primary sources such as coordination systems and/or mechanisms, such as the National Platform, of the non-governmental organizations, cooperation agencies, international community representatives, among others, that retrieve the country's experience in the subject.

STEP C. Relevance ranking

Having reviewed the questions and possessing the aggregated information required to answer, we will analyse and justify the priority level of intervention we will apply to AMERISK, in accordance with the qualitative variables or parameters in column 3.

- **Question 9**: While AMERISK has a National Plan and a new regulatory body for DRM, the fact is that the local capacity of the new structures has not been established, which is why it belongs to relevance ranking **A (red)**.

- **Question 10**: The assessment available for AMERISK indicates the presence of municipal organizations (Commonwealth for the Development of Coastal Municipalities). Furthermore, Law No. 911-2012 provides for the establishments of Regional Committees. However, these have not been formed yet, which leads a relevance ranking of **B (yellow)**.

- **Question 11**: The effective creation of the National Fund for Disaster Prevention, Mitigation and Response with a sustainable source of public funding, allows the country to be rated with a relevance ranking of **C (green)**.

- **Question 12:** AMERISK profile shows that the lack of financial, technical and human resources made it impossible to implement EWSs at the local level, so the relevance ranking matched the qualitative parameter **A (red)**.

Guiding question	Variables	Criteria to be considered for decision making	Relevance
9. Are there capacities and decentralized structures for emergency and disaster response appropriate for existing hazards in the selected area?	a. Emergency and disaster response capacities	a. Areas with recurrent events and/or at high risk of disaster lack structures for preparedness and response, or these are emerging and have limited capacities (there are no integrated response plans or institutional and community-based preparedness plans).	
		b. Institutional response structures are present but lack plans, their capacity is limited to certain institutions but not integrated into the system. Community and institutional preparedness for emergencies and/or disasters exist in some institutions and communities.	
		c. A coordinated and participatory structure operates as part of the national system with deconcentrated and decentralized structures, community and institutional preparedness for emergencies and/or disasters is part of the system.	
10. Mechanisms for coordination of local governments (consortia, associations and commonwealths)	a. Coordination Mechanisms of local governments for DRM and Environmental Management	a. There are no coordination mechanisms of local governments in place for DRM and Environmental Management.	
		b. Coordination mechanisms of local governments	

Guiding question	Variables	Criteria to be considered for decision making	Relevance
based on basins, ecosystems productivity, etc. are in place in the selected area?		are in place but not include DRM and Environmental Management among their priorities.	
		c. There are municipal associations or commonwealths in place that have coordination mechanisms for DRM and Environmental Management.	
11. What are the conditions of the resources for preparedness and emergency or disaster response/ management of relevant governments in the selected territorial areas? (Processes may be implemented by the central government)	a. Resources for response b. Structured processes for response	a. Governments do not have the funds, resources and/or streamlined and timely administrative processes for the preparedness and management of/response to disasters or emergencies.	
		b. There are legal frameworks in place that enable the allocation or reallocation of resources once a disaster or emergency has occurred; access to resources is not streamlined or administrative processes are ineffective.	
		c. Governments have funds and streamlined and timely administrative processes for preparedness and management/response to disasters or emergencies.	✓
12. What is the status of early warning and monitoring systems that enable the analysis, monitoring and generation of timely information for decision-making and notifying communities about hazard conditions in the selected area?	a. Status of early warning and monitoring systems (EWSs)	a. Areas of recurring impact or high exposure do not have early warning and monitoring systems in place; gaps in coverage and information delivery delays.	✓
		b. There are early warning and hazard monitoring system(s) in place, but they lack a multi-hazard approach and/or they are not linked to the National Early Warning System, if any; no clear criteria for management and territorial prioritization for proper and timely dissemination of warning or appropriate and timely information.	
		c. There are multiple coordinated warning and monitoring systems and/or a consistent and proper warning system, providing full coverage in the selected area that includes multi-hazard criteria and is integrated to the National Early Warning System with effective mechanisms for disseminating	

Guiding question	Variables	Criteria to be considered for decision making	Relevance
		appropriate and timely warnings and information.	

4.4 Instructions for analysing *Enabling Regulations*

STEP A. Guiding question

- Please read each guiding question included in this category carefully (column 1);
- For the answer, consider the variable(s) that need to be measured (column 2);
- Identification of the thematic, temporal and geographical scope of potential answers (column 3);
- This category or set of criteria assesses the functional conditions available to the institutional Platform or system for the fulfilment of its purposes.

STEP B. Source of the answer

To answer the questions of this category or set of criteria, refer to sources that include:

- **Question 13 and 16**: In addition to updating regulatory bodies or integrated laws on risk management, confirm or compile other sectoral regulations such as decrees, rules or laws that could address the absence of a general law and the allocation of mandates and responsibilities.

- **Question 14 and 15:** This type of information may be found in the country's general laws on risk management and complemented by the regulations that govern the national, sub-national and sectoral planning systems in each country.

STEP C. Relevance ranking

Having reviewed the questions and possessing the aggregated information required to provide an answer, we will analyse and justify the priority level of intervention to be applied to AMERISK, in accordance with the qualitative variables or parameters in column 3.

- **Question 13**: The information available for AMERISK shows a new regulatory framework that deserves a relevance ranking of **C (green).**

- **Question 14**: Despite the existence of a National Authority and a National Plan, the adoption of Law 911-2012 will provide AMERISK with a comprehensive planning framework composed of a Policy, a National Risk Management Plan, a National Information System and a National Fund, with a relevance ranking of **B (yellow)**.

- **Question 15**: While the new AMERISK Platform includes three levels of management, time is required to consolidate and adjust the coordination mechanisms, a condition that must be monitored, thus ensuring a relevance ranking of **B (yellow)**.

- **Question 16:** The participation and leadership of mayors in local committees advances the clarification of responsibilities, and the existence of the National Fund

will provide contents to the programming of interventions of these new entities; relevance ranking of **C (green)**.

Guiding question	Variables	Criteria to be considered for decision making	Relevance
13. Are there appropriate legal frameworks for DRM? What is the state of implementation of these national, sub-national or local instruments (laws, regulations, decrees, etc.)?	a. Validity of the legal frameworks b. Implementation of legal instruments for DRM	***a.*** Non-existent regulations and legal instruments for DRM or their validity is not consistent with national and international legal frameworks. Legal frameworks may exist in the said conditions, but they are not implemented.	
		b. Regulations and legal instruments exist for DRM, consistent with national and international legal frameworks, but they are not implemented.	
		c. Regulations and legal instruments exist for DRM, consistent with national and international legal frameworks and are duly implemented.	✓
14. What are the characteristics and conditions of inter-agency structures (platforms, management committees, coordination meetings, etc.) for coordination and decision-making in the selected area?	a. Characteristics of the coordination structures for DRM	a. There are no inter-agency structures linked to form a coordination and participation system, platform or body.	
		b. There are inter-agency structures linked to form a coordination and participation system, platform or entities, but its activation, capacity and work are limited and temporary (often activated only in case of emergency) .	✓
		c. There are inter-agency structures linked to form a coordination and participation system, platform or entities with sound institutional capacities and ongoing operations.	✓
15. What are the characteristics of the sectoral capacity (regulation, technical and resources) in the selected area? (Sectoral is understood as the ministries, public companies, institutions, etc.)	a. Sectoral capacity for DRM	a. Critical sectors have not assumed roles and responsibilities for DRM.	
		b. There are some sectoral institutions with internally assigned Risk Management responsibilities and specific planning but limited in terms of DRM as an comprehensive process of territorial development or focused primarily on the to disasters or emergencies.	✓
		c. Sectoral bodies have assumed their roles and responsibilities with a vision of DRM as a key and integrated component and have the structure, experience and good practices for Disaster Risk Management.	

Guiding question	Variables	Criteria to be considered for decision making	Relevance
16. What are the characteristics of the legal bodies for the deconcentration of DRM towards territorial governments?	*a.* Legal deconcentration of responsibility towards local governments	a. There is no legal framework for DRM, or policy instruments that allocate responsibilities and resources to territories or local governments.	
		b. There are legal bodies that clearly define the responsibilities and powers of territorial authorities, however, they are unknown to the authorities, are not implemented and/or resources are not allocated.	
		c. Advanced level of decentralization including the responsibilities of sub-national governments in risk management and the allocation of resources.	✓

4.5 Instructions for analysing *Future trends and perspectives*

STEP A. Guiding question

- Read each guiding question included in this category carefully (column 1);
- For the answer(s), consider the variable(s) that need to be measured (column 2);
- Identification of the thematic, temporal and geographical scope of potential answers (column 3);
- This last category or set of criteria represents a prospective exercise designed to incorporate potential abrupt changes in the risk scenarios (for example, climate change) from a medium- and long-term perspective (trend analysis);
- Note that the trend analysis is essential to observe slow changes that may be occurring in hazard-prone areas. For example, the impact of an earthquake can change a geo-morphological structure previously considered a safe zone, or coastal erosion hazard can change parameters in territories considered to establish homogeneous and regular behaviour in terms of disasters.

STEP B. Source of the answer

To answer the questions of this category or set of criteria, refer to sources that include:

- **Question 17:** The primary sources of information to respond to this question are the official plans and policies.

- **Question 18**: Consult and identify the existence of mechanisms for collection, storage and use of historical information for evidence-based research and development of new planning strategies.

STEP C. Relevance ranking

Having reviewed the questions and possessing the aggregated information required to provide answers, we will analyse and justify the priority level of intervention to be applied to AMERISK, according with the qualitative variables or parameters of column 3.

- **Question 17:** As discussed above, new risk scenarios constructed by NRMA have been properly updated; however, these are not supported by a prospective analysis, and do not yet incorporate climate change scenarios, which is why it has been assigned a ranking of **A (red)**.

- **Question 18:** Country Plans do not incorporate the records of the National University of AMERISK or systematic research on the risk trends in the country, for which it was assigned a relevance ranking of **A (red)**.

Guiding question	Variables	Criteria to be considered for decision making	Relevance
17. What is the degree of integration of scenarios about the impacts of	a. Integration of climate change scenarios in DRM strategies	a. There are no scenarios for the impacts of climate change.	✓
		b. There are scenarios about the impacts of climate change, but they are not coordinated or	

Guiding question	Variables	Criteria to be considered for decision making	Relevance
climate change in the Risk Management Strategies of the selected area?		integrated into the risk management strategies.	
		c. There are scenarios about the impacts of climate change in Risk Management strategies.	
18. What is the status of mechanisms for risk trend analysis, and its relation to similar observatories or similar mechanisms for the analysis of development trends in the selected area?	a. Status of the risk analysis mechanisms and relationship with the analysis of development trends	a. There are no such mechanisms. There are no trend analysis, forecasts or risk scenarios.	✓
		b. There are mechanisms for risk trend analysis, but they are not linked to the development analysis and observatories	
		c. There are mechanisms for the analysis of development, the environment and risk and integrated scenarios of development trends are being developed.	

4.6 Profile of the selected area in terms of DRR priorities for planning/programming processes — Roadmap of Priorities

Having applied all of the prioritization criteria for the case of AMERISK, we will consolidate those areas assigned by issue and category:

- **Highly relevant condition (red)**, and
- **Moderately relevant condition (yellow)**.

The 'A' ranking could provide a basis for the priority routing of resources through intervention plans/programmes/projects to improve the risk conditions or management in the selected territorial area in the medium term.

The 'B' Ranking corresponds to the second level of prioritization or moderate relevance, which may be kept under observation by the funding sources for intervention once the red intervention areas have been addressed. Sustainability and improvement strategies may be contemplated if required or if a lack of monitoring leads to deterioration or to a relevant condition (red).

Below are presented both final tools for the case developed in these Guidelines:

CATEGORY	HIGHLY RELEVANT TOPICS FOR PROGRAMMATIC INTERVENTION IN AMERISK (RED)
1.Historical records of hazards, exposure and disasters	There are areas with recurring events, and there are records of previous impacts that have caused damages and losses, but there is no multi-hazard (and/or danger) mapping or forecasts based on probabilistic criteria.
	Historical information and hazard studies show the existence of multi-hazard zones or areas, but integrated scenarios and studies are not conducted for multi-hazard, trans-border hazards and/or impacts of climate change. There are no action plans.
2. Drivers of risk	Environmental degradation presents high indicators of impairment that generate severe impacts and can interact with the hazards, increasing the exposure and vulnerability of the population.
	The population without access to essential services (***) exceeds 50 % in areas exposed to hazards from the selected areas. Essential services are highly vulnerable and have high exposure to identified hazards.
3.Current risk management capacities	Areas with recurrent events and/or at high risk of disaster lack structures for preparedness and response, or these are emerging and have limited capacities (there are no integrated response plans or institutional and community-based preparedness plans).
	Areas of recurring impact or high exposure do not have early warning and monitoring systems in place; gaps in coverage and information delivery delays.
5.Trends and future prospects	There are no scenarios for the impacts of climate change.
	There are no mechanisms. There are no trend analysis, forecasts or risk scenarios.

CATEGORY	RELEVANT TOPICS MONITORING FOR FUTURE PROGRAMMATIC INTERVENTIONS IN AMERISK (YELLOW)
2. Drivers of risk	The socio economic indicators selected are low for 20 % to 50 % of exposed populations.
	There are enabling regulations for Risk Management (safe and orderly use

	and occupancy of urban and rural territory, protection and management of watersheds, slopes, ecosystems and environment, building and planning codes to reduce risks), but low or emerging implementation. Formal accountability mechanisms by State agencies are not implemented for Risk Management and Environmental Management.
	Moderate occupation of at-risk urban areas (between 5 % and 30 % of the population in the selected area) without planning processes or control with an increasing trend towards (unsafe) squatting in hazard-prone urban and suburban areas subject. Regulations and monitoring mechanisms are only partially implemented.
3.Current risk management capacities	Coordination mechanisms of local governments are in place but not include DRM and Environmental Management among their priorities.
4. Enabling regulations	There are some sectoral institutions with internally assigned Risk Management responsibilities and specific planning but limited in terms of DRM as an comprehensive process of territorial development or focused primarily on the to disasters or emergencies.

ANNEX 1. RECOMMENDED REFERENCES

This section provides a list of general sources and other information resources for the provision of information about the prioritization criteria for Latin American and the Caribbean countries.

This list is not intended to be exhaustive, but provides a basic access, which can be supplemented with information that is constantly being generated in the countries with the support of several national and international agencies.

Question N°	Source and location	Type of information
1	Country documents DIPECHO project [Central America / South America / Caribbean]: http://www.desaprender.org/tools http://www.crid.or.cr/index.shtml Social Historical Cartography: http://www.desinventar.net/ CAPRA http://www.ecapra.org/es/capra-gis-0 ECHO Matrix: http://www.desaprender.org/tools/documento-regional-2012?locale=en Vulnerability Benchmarking Tool (BTool) http://www.oecs.org/doc-lib/economic-union/doc_view/80-vulnerability-benchmarking-tool-booklet-?tmpl=component&format=raw[3] Technical and scientific studies that	Country documents: within the cooperation framework between ECHO and UNISDR, information available in Latin American and Caribbean countries on risk management is compiled and continuously updated. This is a good reference in each country on its risk management condition. DesInventar: Is a free information source on disasters. It includes all Latin American and Caribbean countries, offering statistics and maps for each country. CAPRA: It is an information platform on disaster risk for decision making using common tools and a methodology to evaluate and showcase disaster risk. ECHO Matrix: It is a regional matrix of indicators for first response capacities of the municipal structures before disasters of socio-natural origin. Recovering local information in the country. Technical and scientific studies: Academic centers carry out studies on recurrence. One

[3] The BTool, generated by the Organization of Eastern Caribbean States is a tool for comparative analysis of information about risk and risk management in their Member States. In cases where it is applied it may constitute an ideal source of information, applicable to the structure of the criteria matrix.

	include territorial and recurrence information. In academic centers. Local Disaster Index (LDI) of the Inter-American Development Bank (IDB) http://www.iadb.org/en/topics/natural-disasters/disaster-risk-indicators/disaster-risk-indicators,1456.html	can also take into account NGOs. Local Disaster Index (LDI): Captures how likely it is that small-scale disasters occurred in a country and the cumulative impact that such events cause at the local development.
2	Local Disaster Index (LDI) of the Inter-American Development Bank (IDB) http://www.iadb.org/en/topics/natural-disasters/disaster-risk-indicators/disaster-risk-indicators,1456.html Social Historical Cartography: http://www.desinventar.net/ CAPRA http://www.ecapra.org/es/capra-gis-0 ECHO Matrix: http://www.desaprender.org/tools/documento-regional-2012?locale=en	Local Disaster Index (LDI): Captures how likely is the country to small-scale disasters occurrence and the cumulative impact that such events cause to local development. DesInventar: Is a free information source on disasters. It includes all Latin American and Caribbean countries, offering statistics and maps for each country. CAPRA: It is an information platform on disaster risk for decision making using common tools and a methodology to evaluate and showcase disaster risk. ECHO Matrix: It is a regional matrix of indicators for first response capacities of the municipal structures before disasters of socio-natural origin. Recovering local information in the country.
3	ECHO Matrix: http://www.desaprender.org/tools/documento-regional-2012?locale=en DIPECHO project country documents [Central America / South America / Caribbean]: http://www.desaprender.org/tools http://www.crid.or.cr/index.shtml Atlas or risk maps, hazards or vulnerabilities in the territory (Multi-hazard)	ECHO Matrix: It is a regional matrix of indicators for first response capacities of the municipal structures before disasters of socio-natural origin. Recovering local information in the country. Country documents: within the cooperation framework between ECHO and ISDR, information available in countries of Latin America and the Caribbean on risk management is compiled and continuously updated. This is a good reference in each country on its risk management condition. Atlas or risk maps: institutions responsible of the emergency care in the country may have information about threats or vulnerabilities in the territory.

4	Prevalent Vulnerability Index (PVI) of the Inter-American Development Bank (IDB) http://www.iadb.org/en/topics/natural-disasters/disaster-risk-indicators/disaster-risk-indicators,1456.htmll Registries of ministries, secretariats or environmental authorities of the country [(i) deforestation rate, (ii) soil degradation (iii) hydric stress and (iv) environmental performance index (inverted)]. DARA. Risk Reduction Index (RRI) Environmental degradation and loss of environmental services. http://daraint.org/wp-content/uploads/2010/10/RRI.pdf	Prevalent Vulnerability Index (PVI): Characterizes the prevailing vulnerability conditions of the country in terms of exposure in prone areas, its socioeconomic fragility and their lack of resilience, which are aspects that favor the direct physical impact and indirect and intangible impact in case of a dangerous phenomenon. Registries: Check with the corresponding institutions the recommended indicators. DARA: It measures controls on land use, urban planning, drought, precipitation.
5	Records of the institutes, secretariats or statistics and censuses responsible of the country. UNDP - Human Development Reports http://hdr.undp.org/en/ UNICEF Statistics http://www.unicef.org/infobycountry/latinamerica.html World Bank Indicators http://data.worldbank.org/indicator DARA. Risk Reduction Index (RRI) | Socio-economic conditions negative and lack of resilience. http://daraint.org/wp-content/uploads/2010/10/RRI.pdf	Records: Check with the people responsible of the statistical information demographic data, poverty, socio economic, health, education. HDR-UNDP: UNDP annually performs human development Country Reports hence local and national data on the socioeconomic conditions of the population can be retrieved. UNICEF: It offers a compiled statistics on population, territory, poverty, demographics. World Bank: Offers a statistic compiling different governmental elements, of the population, economic, health, environment, infrastructure, climate change among other indicators. DARA: Measures socioeconomic conditions that challenge disaster risk management.

6	Registries of the institutes, secretariats or statistics and censuses responsible of the country; as well as of ministries, secretariats or the country planning authorities World Bank Indicators http://data.worldbank.org/indicator DARA. Risk Reduction Index (RRI) | Socio-economic conditions negative and lack of resilience. http://daraint.org/wp-content/uploads/2010/10/RRI.pdf	Registries: Check with the people responsible of the statistical information demographic data, poverty, socio economic, health, education, as well as the planners in terms of decentralization. World Bank: Offers a statistic compiling different governmental elements, of the population, economic, health, environment, infrastructure, climate change among other indicators. DARA: Measures socioeconomic conditions that hinder disaster risk management and population resilience.
7	DIPECHO project country documents [Central America / South America / Caribbean]: http://www.desaprender.org/tools http://www.crid.or.cr/index.shtml HFA Monitor: http://www.preventionweb.net/files/2259_IndicatorsofProgressHFA.pdf DRM-related legislation (land use, management and watersheds and hydric resources protection, construction and urban planning codes, risk evaluation in essential buildings and public services) DARA. Risk Reduction Index (RRI): Poor governance. http://daraint.org/wp-content/uploads/2010/10/RRI	Country documents: within the cooperation framework between ECHO and UNISDR, information available in Latin American and Caribbean countries on risk management is compiled and continuously updated. This is a good reference in each country on its risk management condition. HFA Monitor: is a tool that captures information on the progress of the Hyogo Framework for Action; above all, it consists of indicators to monitor and review the progress and challenge in disaster risk reduction implementation; serves at a more political level. Law: Conduct a review into the country's laws to determine those related to disaster risk management. DARA: Analyzes the bureaucracy and coordination of authorities (national, local and sub national levels)

8	UNDP - Human Development Reports http://hdr.undp.org/es/ UNICEF Statistics http://www.unicef.org/spanish/infobycountry/latinamerica.html World Bank Indicators http://datos.bancomundial.org/indicador Records of the institutes, secretariats or statistics and censuses responsible of the country; as well as of ministries, secretariats or the country planning authorities. DARA. Risk Reduction Index (RRI): Inadequate territory planning and improper use of soil. http://daraint.org/wp-content/uploads/2010/10/RRI.pdf	HDI-UNDP: UNDP annually performs human development Country Reports, hence local and national data on the socioeconomic conditions of the population can be retrieved. UNICEF: It offers a compiled statistics on population, territory, poverty, demographics. World Bank: Offers a statistical compiled on different governmental elements, of the population, economic, health, environment, infrastructure, climate change among other indicators. Records: Check with the people responsible of the statistical information demographic data, poverty, socio economic, health, education, as well as the planners in terms of decentralization. DARA: Analyzes infrastructure and differences between urban and rural areas in relation to localization.
9	Country´s National Development Plans. Institutional memories of the ministries and public institutions, local governments of the country. External risk assessments carried out by Non-Governmental or International Cooperation Agencies.	National Development Plans of the country: The plans define the development; also take into account whether there are five-year plans or longer term efforts. Memories: Institutional memories give an account of the achievements, progress and challenges of each institution; they collect relevant information on the current situation of each sector. External evaluations: external evaluations collected factual information about the country's risks; government information can be reviewed with the non-governmental.

	ECHO Matrix: http://www.desaprender.org/tools/documento-regional-2012?locale=en HFA Monitor: http://www.preventionweb.net/files/2259_IndicatorsofProgressHFA.pdf	ECHO Matrix: It is a regional indicators matrix of first response capability of the municipal structures before disaster of socio-natural origin. Recovering local information in the country. HFA Monitor: is a tool that captures information on the progress of the Hyogo Framework for Action; above all, it consists of indicators to monitor and review the progress and challenge in disaster risk reduction implementation; serves at a more political level.
10	Country´s National Development Plans. Institutional memories of the ministries and public institutions, local governments of the country. External risk assessments carried out by Non-Governmental or International Cooperation Agencies. ECHO Matrix: http://www.desaprender.org/tools/documento-regional-2012?locale=en HFA Monitor: http://www.preventionweb.net/files/2259_IndicatorsofProgressHFA.pdf Risk Management Index (RMI) of the Inter-American Development Bank (IDB) http://www.iadb.org/en/topics/natural-disasters/disaster-risk-indicators/disaster-risk-indicators,1456.html	National Development Plans of the country: The plans define the development path; also take into account whether five-year plans or longer term efforts. Memories: Institutional memories give an account of the achievements, progress and challenges of each institution; they collect relevant information on the current situation of each sector. External evaluations: external evaluations collected factual information about the country's risks; government information can be reviewed with the non-governmental. ECHO Matrix: It is a regional indicators matrix of first response capability of the municipal structures before disaster of socio-natural origin. Recovering local information in the country. HFA Monitor: is a tool that captures information on the progress of the Hyogo Framework for Action; above all, it consists of indicators to monitor and review the progress and challenge in disaster risk reduction implementation; serves at a more political level. RMI: Performance measurement of disaster risk management. It is a quality measurement of the management based on pre-established levels or desirable references (benchmarks) to which risk management should be directed to, which would be the degree of progress

11	Country´s National Development Plans. Institutional memories of the ministries and public institutions, local governments of the country. External risk assessments carried out by Non-Governmental or International Cooperation Agencies. HFA Monitor: http://www.preventionweb.net/files/2259_IndicatorsofProgressHFA.pdf Disaster Deficit Index (DDI) of the Inter-American Development Bank (IDB) http://www.iadb.org/en/topics/natural-disasters/disaster-risk-indicators/disaster-risk-indicators,1456.html	National Development Plans of the country: The plans define the development path; also take into account whether there are five-year plans or longer term efforts. Memories: Institutional memories give an account of the achievements, progress and challenges of each institution; they collect relevant information on the current situation of each sector. External evaluations: external evaluations collected factual information about the country's risks; government information can be reviewed with the non-governmental. HFA Monitor: is a tool that captures information on the progress of the Hyogo Framework for Action; above all, it consists of indicators to monitor and review the progress and challenge in disaster risk reduction implementation; serves at a more political level. IDD: Corresponds to the relationship between the demand for contingent economic funds to cover losses caused by the maximum considered event (MCE) and current resilience economic public sector, corresponding to the availability or access to internal or external funds in the country to restore the affected physical inventory.
12	Projects or specific programs with the application and coverage of early warning systems in the country. National Platform record or non-governmental or international agencies that compile Early Warning Systems experience in the country.	Projects: Check the early warning systems that the country has. Records: Check other early warning systems from NGOs indicating early warning system experiences.

13	Compilation of: regulatory bodies or comprehensive laws in risk management, and other standards as decrees, regulations or sectorial laws HFA Monitor: http://www.preventionweb.net/files/2259_IndicatorsofProgressHFA.pdf Risk Management Index (RMI) of the Inter-American Development Bank (IDB) http://www.iadb.org/en/topics/natural-disasters/disaster-risk-indicators/disaster-risk-indicators,1456.html CAPRADE-PREDECAN System Monitoring http://www.riesgoycambioclimatico.org/TalerColombiaHyogo/SMOI_CAPRADE_PREDECAN.pdf (in Spanish available)	Laws: Conduct a review of the country's laws to determine those related to disaster risk management as well to include sectorial laws, decrees and regulations HFA Monitor: is a tool that captures information on the progress of the Hyogo Framework for Action; above all, it consists of indicators to monitor and review the progress and challenge in disaster risk reduction implementation; serves at a more political level. RMI: Performance measurement of disaster risk management. It is a quality measurement of the management based on pre-established levels or desirable references (benchmarks) to which risk management should be directed to, which would be the degree of progress CAPRADE-PREDECAN System Monitoring: directed to the Andean countries, in order to measure governance, the existence or not of regulatory frameworks, planning, and incorporation of risk management plans.
14	General risk laws of the country and the rules governing the national, sub national and sectorial planning in each country systems. HFA Monitor: http://www.preventionweb.net/files/2259_IndicatorsofProgressHFA.pdf CAPRADE-PREDECAN Monitoring System http://www.riesgoycambioclimatico.org/TalerColombiaHyogo/SMOI_CAPRADE_PREDECAN.pdf (in Spanish available)	Law: Conduct a review into the country's laws to determine those related to disaster risk management and planning. HFA Monitor: is a tool that captures information on the progress of the Hyogo Framework for Action; above all, it consists of indicators to monitor and review the progress and challenge in disaster risk reduction implementation; serves at a more political level. CAPRADE-PREDECAN Monitoring System: directed to the Andean countries, in order to measure governance, the existence or not of regulatory frameworks, planning, and incorporation of risk management plans.

15	General risk laws of the country and the rules governing the national, sub national and sectorial planning in each country systems. HFA Monitor: http://www.preventionweb.net/files/2259_IndicatorsofProgressHFA.pdf CAPRADE-PREDECAN Monitoring System http://www.riesgoycambioclimatico.org/TalerColombiaHyogo/SMOI_CAPRADE_PREDECAN.pdf (in Spanish available)	Law: Conduct a review into the country's laws to determine those related to disaster risk management and planning. HFA Monitor: is a tool that captures information on the progress of the Hyogo Framework for Action; above all, it consists of indicators to monitor and review the progress and challenge in disaster risk reduction implementation; serves at a more political level. CAPRADE-PREDECAN Monitoring System: directed to the Andean countries, in order to measure governance, the existence or not of regulatory frameworks, planning, and incorporation of risk management plans.
16	Compilation of: regulatory bodies or comprehensive laws in risk management, and other standards as decrees, regulations or sectorial laws HFA Monitor: http://www.preventionweb.net/files/2259_indicadoresdepr	Standards: Conduct a review of the country's laws to determine those related to disaster risk management as well to include sectorial laws, decrees and regulations. HFA Monitor: is a tool that captures information on the progress of the Hyogo Framework for Action; above all, it consists of indicators to monitor and review the progress and challenge in disaster risk reduction implementation; serves at a more political level.
17	Country's policies and official plans	Review the plans or programs related to climate change in the country.

18	Risk Management Index (RMI) of the Inter-American Development Bank (IDB) http://www.iadb.org/en/topics/natural-disasters/disaster-risk-indicators/disaster-risk-indicators,1456.html	RMI: Performance measurement of the risk management. It is a quality measurement management based on pre-staged levels or desirable referents (benchmarks) to which risk management, should be directed according to their progress degree.

ANNEX 2. LINKAGE BETWEEN THE MATRIX OF COUNTRY CRITERIA AND THE COUNTRY REPORT FORMAT

As previously indicated, the plurality and complementarity of the sources of information used to respond to the prioritization criteria enriches the process of improving the tool but primarily reduces the uncertainty present in decision making.

However, it should be recognized that the development of Country Documents in the framework of cooperation between ECHO, DIPECHO partners and the National Systems enables the compilation and continual updating of the information available in the countries of Latin America and the Caribbean on risk management, representing a comprehensive source for the implementation of these criteria.

Therefore, and with the idea of providing technical teams and decision makers with the linkage between questions and the sections of the Country Document, as well as their location within the document, the following referencing exercise is presented between these.

QUESTION/S	COUNTRY REPORT SECTION
1, 2 and 3	SECTION 6. Risk Conditions in the Country 6.1 Historical analysis of disasters 6.2 Hazards 6.2.1 Natural origin 6.2.2 Anthropogenic origin 6.2.3 Health emergencies and those affecting livelihoods
4	SECTION 6. Risk Conditions in the Country 6.3. Vulnerability 6.3.1 Definition of the criteria of analysis and methodology applied 6.3.2 Components 6.3.3. Vulnerability analysis according to the selected criteria
5	SECTION 4. National Context 4.2. Demography and population issues 4.3. Socioeconomic situation
6	SECTION 4. National Context 4.4. Physical Aspects
7	SECTION 4. National Context 4.5. Government

QUESTION/S	COUNTRY REPORT SECTION
	4.5.1 Structure and organization 4.5.2 Levels of decentralization 4.5.3 Social coordination mechanisms between the State and non-State actors SECTION 5. Legal, Regulatory and Institutional Framework of the Country 5.2 Regulatory Framework 5.2.1 Legal instruments for political and technical DRR decision-making 5.2.2 Public Policy
8	SECTION 4. National Context 4.1. Location and organization 4.1.1. Geographic Location 4.1.2. Territorial Organization 4.1.3. Political Division SECTION 5. Legal, Regulatory and Institutional Framework of the Country 5.2 Regulatory Framework 5.2.1 Legal instruments for political and technical DRR decision-making 5.2.2 Public Policy
9	SECTION 4. National Context 4.5.2 Levels of decentralization
10	SECTION 4. National Context 4.5. Government 4.5.1 Structure and organization
11	SECTION 5. Legal, Regulatory and Institutional Framework of the Country 5.1.2 Law and legal provisions with status and force of law 5.2 Regulatory Framework 5.2.2 Public Policy 5.3 Institutional Framework 5.3.1 National Organization and mechanisms at all levels
12	SECTION 5. Legal, Regulatory and Institutional Framework of the Country

QUESTION/S	COUNTRY REPORT SECTION
	5.3.1 National Organization and mechanisms at all levels SECTION 7. Risk Analysis for DRR in the Country 7.3. Prioritization of risk scenarios and intervention areas
13	SECTION 5. Legal, Regulatory and Institutional Framework of the Country 5.1 Legal Framework 5.1.1 Constitutions 5.1.2 Law and legal provisions with status and force of law 5.2 Regulatory Framework 5.2.1 Legal instruments for political and technical DRR decision-making
14	SECTION 5. Legal, Regulatory and Institutional Framework of the Country 5.2.1 Legal instruments for political and technical DRR decision-making 5.2.2 Public Policy 5.3 Institutional Framework 5.3.1 National Organization and mechanisms at all levels 5.3.2 National plans and their linkages
15 and16	SECTION 5. Legal, Regulatory and Institutional Framework of the Country 5.1 Legal Framework 5.1.1 Constitutions 5.1.2 Law and legal provisions with status and force of law 5.2 Regulatory Framework 5.2.1 Legal instruments for political and technical DRR decision-making SECTION 6. Risk Conditions in the Country 6.4. Capacities 6.4.1. Definition of the criteria of analysis and methodology applied 6.4.2. Mapping of institutions and levels of coordination 6.4.3. Mapping of DRR programmes, initiatives and plans 6.4.4. Inventory of tools
17	SECTION 7. Risk Analysis for DRR in the Country 7.1. Definition of the criteria of analysis and methodology applied 7.2. Definition of risk scenarios 7.3. Prioritization of risk scenarios and intervention areas

QUESTION/S	COUNTRY REPORT SECTION
18	SECTION 6. Risk Conditions in the Country 6.5. Reduction of underlying risk factors SECTION 8. Strategic Guidelines for DRR in the Country SECTION 9. Conclusions and Recommendations