



Self-assessment tool

Disaster Risk Management Capacities

www.drm-capacities.eu

Target audience Local governments and their DRM stakeholders

Objective Assessing the current level of capacities for Disaster Risk Management of the local government and its stakeholders to identify areas for improvement as a basis for a holistic local DRM/DRR strategy.

Users' instruction

1. Ask stakeholders to individually give their own judgement of the current capacity level (before a stakeholder meeting or at the start of the meeting).
2. Organize several stakeholder meetings to discuss the different categories of capacities.
3. For each capacity, encourage discussion between the stakeholders on the current level. Use the supporting questions to stimulate the stakeholder dialogue and conclude on the current level. (These questions are not requirements, but help to understand what kinds of activities the capacity includes.)
4. During the discussion, ask the stakeholders for ideas on how to improve each capacity. What more can be done? What are their wishes for the future?
5. Use the Excel to report the level, justification and improvement ideas. The Excel tool creates figures of the current situation.
6. From all the suggestions, make a shortlist of potential improvement measures.
7. Discuss a first prioritization of the measures with local stakeholders.
8. If possible, use a Peer Review mission to supplement the self-assessment with external views.
9. Reach a decision with the local stakeholders on prioritization of capacities to be improved, the ambition level and policies and measures to be included in the DRM strategy.

Development This tool has been developed by ITINERIS health & safety (The Netherlands) and the Safety Region South-Holland South (The Netherlands), partners of the CapaCities project.



Self-assessment tool

Disaster Risk Management Capacities

Municipality
Contact person
E-mail

No.	Capacity	Current "gap" (risk assessment, prevention, preparedness, response, recovery)	Guidance (supporting questions)	Justification of current level	Ideas for improvement. What are the gaps?
1	Governance for Disaster Risk Management				
1.1	Local implementation of the national legal framework on DRM	Select current level	Is the national legal framework on prevention and preparedness fully implemented?		
1.2	Local coordination and leadership on DRM	Select current level	Is there political leadership on DRM? Is a city coordinator for DRM assigned? Is there a core team, working group or committee of most involved stakeholders that leads the DRM process?		
1.3	Multi-stakeholder cooperation mechanism	Select current level	Are there platforms/committees for DRM (prevention and response)? Is there a clear mandate for these structures? Are clearly defined responsibilities and roles/functions assigned to the entities participating in the implementation of risk prevention and preparedness measures?		
1.4	Involvement of all relevant city departments in DRM	Select current level	Are relevant city departments part of the local DRM governance, such as spatial planning, infrastructures, public utilities, social services? How are they connected? How is DRM coordinated with them?		
1.5	Involvement of all relevant entities and sectors in DRM	Select current level	Are relevant external entities part of the local DRM governance? How are they connected? How is DRM coordinated with them?		
1.6	Involvement of civil society and NGO's in DRM	Select current level	Are civil society and relevant NGO's part of the local DRM governance? How are they connected? How is DRM coordinated with them?		
1.7	Involvement of science and academia in DRM	Select current level	Are science and academia part of the local DRM governance? How are they connected? How is DRM coordinated with them?		
1.8	Involvement of insurance sector in DRM	Select current level	Is there a dialogue between government and the insurance sector about disaster risk management (risk transfer, recovery, preventive policies)? Do insurance companies provide information about disaster losses? Can people insure themselves against disasters?		
1.9	Involvement of local population in DRM	Select current level	Is the local population part of the local DRM governance? How are they connected? How is DRM coordinated with them? Is the governance transparent and accountable? How are minorities, high-risk communities and vulnerable groups engaged in the DRM governance?		
1.10	Coordination of DRM governance with regional and national level	Select current level	How does local level coordinate its activities with regional and national level (when there is not a disaster)? Are there structural connections with relevant national entities, such as a national emergency service or national environmental agency?		

No.	Capacity	Current "gap"	Guidance (supporting questions)	Justification of current level	Ideas for improvement. What are the gaps?
2	Disaster Risk Assessment				
2.1	Existing disaster risk assessment for your city	Select current level	Are there existing local risk assessments (single hazard or multi-hazard), or sectoral, regional or national risk assessments that include relevant local risks?		
2.2	Clear objective and scope of disaster risk assessment	Select current level	Is there a clearly defined (political) objective for a local risk assessment? Is clear what (sectoral) planning processes and (investment) decisions a local risk assessment should inform? Is there an agreed scope for the risk assessment in terms of hazards, (social and security) threats, intensive and extensive risks, emerging and hybrid risks and risk drivers? Has the cross-sectorial dimension of risks been integrated in the risk assessments? Has the cross-border dimension of risks been integrated in the risk assessments?		
2.3	Clear and structured process for disaster risk assessment	Select current level	Is there a locally or nationally defined process or procedure for development of a local disaster risk assessment? Is it clear how the steps of risk identification, risk analysis and risk evaluation will be implemented? Is it clear who will have to be involved and when? Are clearly defined responsibilities and roles/functions assigned to the entities participating in the risk assessment? Are the responsibilities to assess specific risks allocated to the most relevant entities? Is it clear how decisions on the DRA will be made?		
2.4	Methodology for disaster risk assessment	Select current level	Is there an established methodology or set of methodologies for disaster risk assessment? Are there methods for single and/or multi-hazard assessment?		
2.5	Risk information	Select current level	What is the availability of data and information on hazards, exposure, vulnerability and coping capacities? Is there collection of disaster loss data according to international standards? Are methods for damage and human loss reporting developed and are the costs of damages estimated, documented and stored? Is there a data management plan and central data repository? Are there agreements with stakeholders on use and maintenance of data? Are there rules for securing sensitive data?		
2.6	Risk mapping	Select current level	Are there maps for hazard, exposure, vulnerability and risk?		
2.7	ICT systems for disaster risk assessment	Select current level	Are there software tools that support the assessment methodology? Are there geographic information systems (GIS) for development of risk maps?		
2.8	Expertise for disaster risk assessment	Select current level	Do the city administration and local stakeholder network have all the necessary expertise for the aforementioned parts of risk assessment? Can the city obtain or outsource this expertise from other institutions or companies? Are the experts responsible for the risk assessment(s) adequately informed, trained and experienced in the assessment of risks?		
2.9	Financing for disaster risk assessment	Select current level	Is the appropriate financial capacity available to carry out and update work on risk assessments?		

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3	Disaster Risk Management Planning				
3.1	Existing local holistic DRM strategy and/or sectoral DRM strategies on local level	Select current level	Are there existing local DRM strategies or sectoral strategies that include DRM?		
3.2	Clear and structured process for DRM planning	Select current level	Is there a process for planning local DRM policies and measures? How are national DRM/DRR strategies and action plans implemented locally? Are the relevant public and private stakeholders informed and involved in the planning process? Are clearly defined responsibilities and roles/functions assigned to the entities participating in the planning of risk prevention and preparedness measures? Are the responsibilities to plan for specific risks ensured and regularly assessed? Is there cross-border planning of prevention and preparedness measures?		
3.3	Methodology for assessment of DRM policies and measures	Select current level	Are there methodologies available to identify, analyse and evaluate relevant DRM policies and measures (generic, risk-specific and sector-specific)? Do the different responsible entities have methodologies developed for risk management planning? Are tools needed to support and/or carry out the planning of prevention and preparedness measures available?		
3.4	Expertise for assessment of DRM policies and measures	Select current level	Are sufficient experts available to carry out the planning of prevention and preparedness measures based on the identified risks in the risk assessment? Is there effective training available for the experts at different levels responsible for the planning of prevention and preparedness measures? Is there a process in place to ensure that the knowledge of experts tasked with the planning of prevention and preparedness measures is preserved and further developed?		
3.5	Mainstreaming of DRM into sectoral planning processes	Select current level	Does the local DRM planning process clearly relate to relevant sectoral planning processes, such as spatial planning, infrastructure, environmental protection, social policies? Do these sectoral processes take into account the issue of DRM and risk information? Are the experts involved in the planning of prevention and preparedness measures informed about the overall policy objectives/priorities related to disaster risk management?		
3.6	Coherence with Climate Change Adaptation	Select current level	Are the local planning processes for DRM and CCA in coherence?		
3.7	Coherence with Sustainable Development	Select current level	Are the local planning processes for DRM and SD in coherence?		
3.8	DRM financing	Select current level	Are there financial resources to maintain the DRM governance and planning process? As part of the planning process, are financing needs for the implementation of prevention and preparedness measures estimated and possible sources of financing identified? Is there expertise to assess financial needs for DRM and the costs of DRM policies and measures? Is there a clear decision process on cross-sectoral allocation of financial resources for DRR? As part of the planning process, are future investment plans and the possible role of private sector financing considered?		

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3.9	Strategy for risk communication and population and community DRM action	Select current level	Are citizens informed about the key elements of risk management planning? Is there a strategy to involve the population in DRM? Is there a structured raising of public awareness, public involvement in disaster prevention and preparedness? Are the results of risk assessments integrated in a risk communication strategy? Is the necessary administrative capacity available to communicate the results of risk assessments to the public? As part of the planning process, are procedures or plans identified or established ahead to ensure financing is in place for the prevention and preparedness measures needed to mitigate the identified risks?		

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4	Prevention/Disaster Risk Reduction (DRR)				
4.1	DRR in spatial planning	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.2	DRR in building code enforcement	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.3	DRR in industrial safety	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.4	DRR in critical infrastructures and public utilities	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.5	DRR in water management (coast, rivers)	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.6	DRR in fire safety	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.7	DRR in public health and medical emergency management	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.8	DRR in labour safety	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.9	DRR in agriculture	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.10	DRR in economic development	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.11	DRR in environmental protection	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.12	DRR in cultural heritage protection	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.13	DRR in social policies (vulnerable groups, vulnerable communities, minorities)	Select current level	Are there enough sectoral DRR regulations and those implemented (like permits, inspections, enforcement)? Are there expertise and resources to implement DRR in this sector?		
4.14	Safety culture	Select current level	Is there a structured approach to build a safety culture ("it is better to prevent than cure"; precautionary principle) in sectors, businesses and the population?		
4.14	DRR methodologies	Select current level	In general, for all the aforementioned fields: do you have the methodologies for working on prevention/DRR, such as protocols, checklists, assessments for permits		
4.14	DRR information & communication	Select current level	In general, for all the aforementioned fields: do you have enough information to work on DRR/prevention and monitor progress and results		

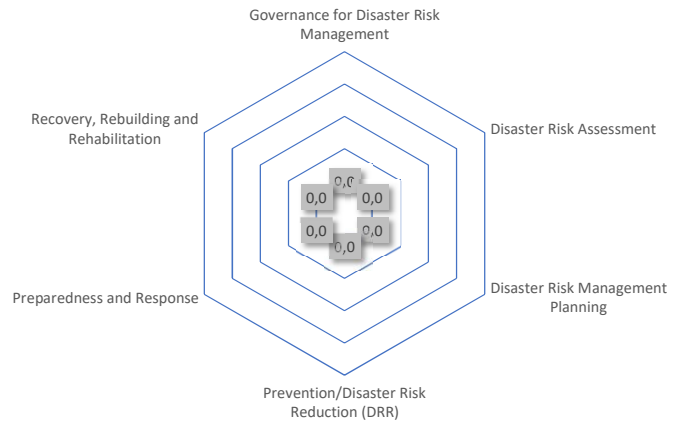
No.	Capacity	Current "gap"	Guidance (supporting questions)	Justification of current level	Ideas for improvement. What are the gaps?
4.14	DRR expertise	Select current level	In general, for all the aforementioned fields: do you have expertise and human resources to work on DRR/prevention?		
4.15	DRR financing	Select current level	Is there a investment paragraph for a local DRM strategy? Is there a cross-sectoral DRR investment strategy? Are risk concerns considered in sectoral investment decisions?		

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5	Preparedness and Response				
5.1	Disaster preparedness planning (emergency and contingency plans)	Select current level	Does the municipality have a preparedness plan? Is it complete? Is it based on a risk assessment? Are there risk-specific protocols? Do local stakeholders have their own preparedness plans? Are the plans coordinated with each other?		
5.2	Competence and expertise for crisis and disaster management	Select current level	Is there a strategy for development of competences for crisis management? Is there a programme or curriculum for risk education of professionals and citizens (schools)? Are there regular disaster exercises and trainings with professionals and inhabitants? What is the involvement of local stakeholders (businesses, institutions) in municipal...		
5.3	Command & Control	Select current level	Is there a clear political and operational coordination and leadership during disasters?		
5.4	Operational multi-stakeholder coordination	Select current level	How are relevant stakeholders (institutions, businesses) involved in the operational coordination mechanisms? Are tasks and responsibilities clearly assigned?		
5.5	Operational cooperation with regional and national level	Select current level	Are the municipal and sectoral preparedness plans aligned with those of regional and national level? Does the municipal emergency committee coordinate activities with regional and national level? Is it clear which government level does what? Is it clear what criteria will be used to decide on regional/national involvement?		
5.6	Operational cross-border and international cooperation	Select current level	Are the municipal and sectoral preparedness plans aligned with neighbouring municipalities? Are there agreements on mutual assistance? Is the municipality aware of national agreements on international relief/aid operations?		
5.7	Early Warning Systems	Select current level	Are there local Early Warning Systems (EWS)? Is there a risk-informed prioritization of the necessity of local EWS? Is there hazard detection, hazard monitoring and hazard forecasting for high risks? Is there an implemented approach for alerting and notification of citizens of an early warning? Is the use of EWS part of risk communication efforts? Are EWS exercised with the population? What is the stakeholder involvement in the design of EWS?		
5.8	Crisis communication	Select current level	Is there a procedure for crisis communication, such as alerting and informing citizens, businesses and institutions? Does this procedure consider different risk scenarios and vulnerable groups and communities? Are there agreements with media on dissemination of public alerts and crisis updates? Are there trained media spokespersons? Are public statements coordinated with relevant entities? Is there active (social) media watching by public services?		
5.9	Operational communication and information management	Select current level	Are there procedures for information exchange between entities (on strategic, tactical and operational level)? Do all entities know how to communicate and what information must be shared? Are there systems for communication and information exchange?		
5.10	Expertise for preparedness	Select current level	Do you have the expertise/human resources for preparedness activities, such as disaster preparedness plans, exercises etc.?		

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5.11	Preparedness and response financing	Select current level	Is there structural financing for preparedness? Is there a fund for financing response activities?		

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6	Recovery, Rebuilding and Rehabilitation				
6.1	Planning for recovery (social, economic, infrastructure)	Select current level	Is there a strategy or protocol for local recovery from disasters? Are there sectoral preparations for <u>recovery rebuilding and rehabilitation</u> ?		
6.2	Planning for post-disaster assessment and estimation of damages and losses	Select current level	Is there a protocol for post-disaster assessment and <u>estimation of damages and losses</u> ?		
6.3	Expertise for Post-Disaster Needs Assessment (PDNA)	Select current level	Do you have expertise for PDNA? Do you know where to find that expertise nationally or <u>internationally</u> ?		
6.4	Planning for long-term displacement	Select current level	Is there a strategy or protocol for planning long-term <u>care for internally displaced persons</u> ?		
6.5	Expertise for Building Back Better	Select current level	Do you have expertise to Build Back Better after a <u>disaster</u> ?		
6.6	Financing for Recovery, Rebuilding and Rehabilitation	Select current level	Is there a local recovery fund? Does the city know how to apply for a national recovery fund?		

Level of DRM phases



Level of DRM capacities

