

## Annex 11: Final category and indicator system tables

### (1) Openness & Transparency

#### Definition:

Information related to risk-management practices, and the practices themselves should be available, accessible, and coherent for all those who assess, manage, and are/or are affected by risks both in peace and in crisis time.

#### Indicators:

1. Risk and hazard information is openly available and accessible.
2. This information is provided to the public in a clear, understandable language.
3. Risk information (including risk maps) is widely disseminated especially to the following audiences: the public, communities at risk, and decision-makers.
4. The public has enough information and does not have a feeling of incomplete information, especially in case of an event in which information is updated and repeated.
5. Multiple sources of information exist (e.g. a variety of communication methods are pursued) (FROM FIRST 5 INTERVIEWS).

Indicator	Supporting Policy Document (reference location)
1. Risk and hazard information is openly available and accessible	<b>White Paper on European Governance</b> (within "II. Principles of Good Governance", p.10)  <b>The EU Flood Risk Management Directive</b> (clause 25, p.29) and (Under Chapter V "Coordination with Directive 2000/60/EC, Public Information and Consultation", within Article 10, p.33)  <b>Green Paper on the insurance of natural and manmade disasters</b> (Under 3. "Disaster Risk Awareness, Prevention and Mitigation", within 3.5. "Data, research and information", p.16) (referring to information as a public good)
2. This information is provided to the public in a clear, understandable language.	<b>White Paper on European Governance</b> (under "Proposals for Change", p.4) and (within "II. Principles of Good Governance", p.10)  <b>Green Paper on the insurance of natural and manmade disasters</b> (Under 3. "Disaster Risk Awareness, Prevention and Mitigation", within 3.5. "Data, research and information", p.16)
3. Risk information (including risk maps) is widely disseminated to especially the following audiences: the public, communities at risk, and decision-makers.	<b>The Seveso Directive and Amendments</b> (referring in the case of accidents) (preamble clause, p.2) and (Article 8, p.4)  <b>Hyogo-framework-for-action-english</b> (Under B. "Priorities for action", under 2. "Identify, assess and monitor disaster risks and enhance early warning", within (i) "National and local risk assessments", p.7)
4. The public have enough information (e.g. do not have a feeling of incomplete information).	<b>Green Paper on the insurance of natural and manmade disasters</b> (Under "3. Disaster Awareness, Prevention and Mitigation", within "3.5 Data, research and information", p.16)

<p>a) According to public perceptions</p> <p>b) According to authorities' perceptions</p>	<p><b>COM_2010_600_European_disaster_response_en</b> (Under section 6 "A More Visible Response", p.13)</p>
<p>5. Multiple sources of information exist (e.g. a variety of communication methods are pursued).</p>	<p>*Developed as result of empirical analysis of Transcript I-4</p>
<p>6. Information is updated and repeated especially to the public in the case of an event (e.g. and especially for people at risk). <b>(ABSORBED INTO #5)</b></p>	<p><b>The Seveso Directive and Amendments (referring in the case of accidents)</b> (Article 8, p.4)</p> <p><b>The Hyogo Framework for Action</b> (Under "III. Priorities for Action 2005-2015", under "B. Priorities for Action", within "2. Identify, assess and monitor disaster risks and enhance early warning", p.7)</p>
<p>7. Information is provided within an appropriate timeframe and is exchanged between multiple levels. <b>(MOVED TO EFFICIENCY #5)</b></p>	<p><b>The Hyogo Framework for Action</b> (Under "III. Priorities for Action 2005-2015", under "B. Priorities for Action", within "2. Identify, assess and monitor disaster risks and enhance early warning", p.7) and (Under "III. Priorities for Action 2005-2015", under "B. Priorities for Action", within "2. Identify, assess and monitor disaster risks and enhance early warning", p.8)</p>
<p>8. Risk management related laws (formal regulations) are coherent, clear, and understandable. <b>(MOVED TO ACCOUNTABILITY)</b></p>	<p><b>White Paper on European Governance</b> (referring to all EU policy) (under "Proposals for Change", p.4)</p> <p><b>The Stockholm Programme</b> (referring to all Union legislation) (Under, "1. Towards a Citizen's Europe in the Area of Freedom, Security and Justice", under "1.2 The tools", within "1.2.3 Legislation", p.6)</p> <p><b>The EU Water Framework Directive</b> (referring to all water-related EU policy) (clause 18, p.2)</p>

## (2) Accountability

### Definition:

**Roles and responsibilities (and the distribution thereof) must be clear and a form of evaluation, reporting, monitoring, and or maintenance or actions, measures and systems should exist to ensure the fulfillment of these roles and responsibilities.**

### Indicators:

1. Risk management procedures, including their supporting policies and legal framework, are clear and coherent.
2. The differentiation of responsibilities between and within different levels is clear and avoids problematic overlaps.
3. Actors (especially public authorities) are held accountable for their respective roles and responsibilities through monitoring and reporting as well as incentives.
4. Check-ups such as reviews, monitoring and maintenance exist in terms of implemented actions, measures and systems. (also supported from first 5 interviews)

5. Maintenance of structural mitigation measures is taken into account by relevant authorities.  
(FROM FIRST 5 INTERVIEWS)

Indicator	Supporting Policy Document (reference location)
<p><b>1. Risk management procedures, including their supporting policies and legal framework, are clear and coherent.</b></p> <ul style="list-style-type: none"> <li>a. Laws and policies for particular roles are clear and coherent.</li> <li>b. The legal system itself is perceived as clear and coherent.</li> </ul>	<p><b>White Paper_ Towards a harmonized EU civil protection</b> (Under "Recommendation 4 – Develop a common EU Risk Assessment methodology for increased interoperability of Civil Protection operational techniques, procedures and systems", p.14) (referring to emergency services across the EU)</p> <p><b>White Paper European Governance</b> (Within "Executive Summary", p.3) (referring to EU institutions and policies)</p> <p><b>White Paper European Governance</b> (Within "II. Principles of Good Governance", p.10)</p> <p><b>The Stockholm Programme</b> (Under, "1. Towards a Citizen's Europe in the Area of Freedom, Security and Justice", under "1.2 The tools", within "1.2.3 Legislation", p.6)</p>
<p><b>2. The differentiation of responsibilities is clear.</b></p> <ul style="list-style-type: none"> <li>a. Responsibilities are clear between different levels (vert.)</li> <li>b. There are no overlaps in responsibilities at the same level (horiz.)</li> </ul>	<p><b>White Paper European Governance</b> (Within "II. Principles of Good Governance", p.10)</p>
<p><b>3. Authorities are held accountable for their respective roles and responsibilities</b></p> <ul style="list-style-type: none"> <li>a. Monitoring and reporting of procedures are put in place to ensure fulfilment of responsibilities</li> <li>b. Authorities themselves review, monitor, and report on particular tasks</li> <li>c. Incentives exist to ensure financial accountability and meeting of deadlines</li> </ul>	<p><b>Seveso Directive and Amendments</b> (Article 4, p.3)</p> <p><b>COM_2011_proposal-decision-CPMechanism_en</b> (Under "2. Management Measures", within Box under "2.1 Monitoring and reporting rules", p.50)</p> <p><b>Flood Risk Management Directive</b> (Under Chapter VIII "Reviews, Reports and Final Provisions", within Article 14, clauses 1-3, p.33) (referring to the preliminary flood risk assessment, flood hazard maps, flood risk maps, and flood risk management plans).</p> <p><b>Flood Risk Management Directive (ANNEX, p.34)</b> (referring to a monitoring process which will take place for the flood risk management plans).</p> <p><b>Council Decision establishing Civil Protection Financial Instrument</b> (clause 23, p.11 and also Under Article 15 "Evaluation", clause 1, p.17) (referring to monitoring process for the receiving of financial assistance)</p> <p><b>Council Decision establishing Civil Protection Financial Instrument</b> (clause 24, p.11)</p> <p><b>Council Decision establishing Civil Protection Financial Instrument</b> (Under Article 12 "Protection of Community financial interests", clause 3, p.16)(referring to incentives to ensure financial assistance is used appropriately)</p> <p><b>Council Decision establishing Civil Protection Financial Instrument</b> (Under Article 4 "Eligible actions and criteria", within clause 3, p.14)</p> <p><b>Common Implementation Strategy WFD and FRD</b> (Under "2. Overall structure and working methods", p.4) (referring to deadlines for the CIS deliverables)</p>

<p><b>4. Check-ups exist in terms of basic parts of the DRM structure. These exist in terms of:</b></p> <ul style="list-style-type: none"> <li>a. reviews and maintenance of information systems</li> <li>b. evacuation drills and exercises</li> <li>c. reviewing of contingency plans and policies</li> <li>d. evaluation of results of implemented actions</li> </ul>	<p><b>Hyogo-framework-for-action-english</b> (Under “III. Priorities for Action 2005-2015”, under “B. Priorities for Action”, within “2. Identify, assess and monitor disaster risks and enhance early warning”, p.8)</p> <p><b>Hyogo-framework-for-action-english</b> (Under “III. Priorities for Action 2005-2015”, under “B. Priorities for Action”, within “5. Strengthen disaster preparedness for effective response at all levels”, p.12)</p> <p><b>COM-2011-Report on Eval EU Civil Protection Mechanism</b> (Under section 1 “Introduction”, p.3) (referring to implementation of the Civil Protection Financial Instrument as well as referring to terms of use of resources allocated later on the same page)</p>
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### (3) Participation

#### Definition:

**Stakeholders (including the local community) are involved through consultation or through higher forms of participation integrating local knowledge through means such as public projects and events as well as feedback systems in policy implementation.**

#### Indicators:

1. The community is involved and is encouraged to be involved in consultation activities featuring a wide range of stakeholders as well as a focus on both prevention and response.
2. Stakeholders (including the public) are ‘actively involved’, or at least are enabled to be ‘actively involved’<sup>1</sup>, via two-way communication as well as both bottom-up and top-down pathways.
3. Efforts to raise awareness and educate the population through means such as public projects and events about DRR exist, especially those which pay attention to children and people in high risk areas.
4. Local knowledge including practical experience is used in decision-making and enables bottom-up input.
5. Feedback systems exist enabling the ability to receive input on policy implementation.

Indicator	Supporting Policy Document (reference location)
<p><b>1. The community participates in the assessment and management of disaster risks</b></p> <ul style="list-style-type: none"> <li>a. Participation extents to consultation and is encouraged through e.g. policies, networking, delegation of</li> </ul>	<p><b>EU Strategy for Supporting Disaster Risk Reduction in Developing Countries</b> (Under 4. “Priority Areas for Intervention”, within 4.2 “Identify, assess, and monitor disaster risks – and enhance early warning”, p.8)</p> <p><b>Hyogo-framework-for-action-english</b> (Under B. “Priorities for action”, under 1. “Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation”, within (iii) “Community participation”, p.7)</p>

<sup>1</sup> ‘Actively involved’ is defined within this context as...

<p>authority and responsibilities</p> <p>b. Participation is encouraged across a wide range of stakeholders</p> <p>c. Participation focuses on efforts for prevention as well as response</p>	<p><b>Water Framework Directive</b> (<i>Preamble</i> clause 14, p.2) (with respect to water-related EU policy)</p> <p><b>White Paper European Governance</b> (<i>Under II. "Principles of Good Governance", p.10</i>)(referring to support for an inclusive governance approach)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (<i>Within "Table of Contents", Recommendation 7, p.2</i>) and (<i>Within "Executive Summary", p.4</i>) and (<i>Within Recommendation 7 "Support the development of societal issues: involvement of civil society in preventing and respond to crisis, adequate involvement of media, enhanced medical support", p.17</i>)</p>
<p><b>2. Stakeholders (including the public) are 'actively involved', or at least are enabled to be 'actively involved'.</b></p> <p>a. Both bottom up and top down pathways enable information flows.</p> <p>b. 'Active' (or two-way) involvement' is encouraged between authorities and the public</p> <p>c. 'Active' (or two-way) involvement' is encouraged among authorities</p>	<p><b>Flood Risk Management Directive</b> (<i>Under Chapter V "Coordination with Directive 2000/60/EC, Public Information and Consultation", within Article 9, clause 3, p. 32</i>)</p> <p><b>Flood Risk Management Directive</b> (<i>Under Chapter V "Coordination with Directive 2000/60/EC, Public Information and Consultation", within Article 10, clause 2, p.32</i>)(especially referring to flood risk management plans)</p> <p><b>Flood Risk Management Directive</b> (<i>ANNEX, p.34</i>) (especially referring to flood risk management plans)</p> <p><b>Water Framework Directive</b> (<i>Preamble</i> clause 14, p.2) (with respect to water-related EU policy)</p> <p><b>Hyogo-framework-for-action-english</b> (<i>Under B. "Priorities for action", under 5. "Strengthen disaster preparedness for effective response at all levels", within "Key activities", p.13</i>)</p> <p><b>Common Implementation Strategy WFD and FRD</b> (<i>Under 1. "Objectives of the CIS", p.3</i>)(refers to both bottom up and top down flow of information)</p>
<p><b>3. Efforts to raise awareness and educate population about DRR information exists.</b></p> <p>a. Focus is placed also on people in high risk areas.</p> <p>b. Focus is placed especially on prevention.</p> <p>c. Focus is placed on education especially for children.</p>	<p><b>EU Strategy for Supporting Disaster Risk Reduction in Developing Countries</b> (<i>Under 4. "Priority Areas for Intervention", within 4.3 "Use of knowledge, innovation, and education to build a culture of safety and resilience at all levels", p.8</i>)</p> <p><b>EU Communication A Community approach to prevention of natural disasters</b> (<i>Under 3.2 "Linking the actors and policies throughout the disaster management cycle", within 3.2.2 "Training and awareness-raising in the area of disaster prevention", p.6</i>)</p> <p><b>Hyogo-framework-for-action-english</b> (<i>Under B. "Priorities for action", under 3. "Use knowledge, innovation and education to</i></p>

<p>d. Awareness is encouraged through e.g. public projects, publications and events</p>	<p><i>build a culture of safety and resilience at all levels”, within (iv) “Public awareness”, p.10)</i></p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (<i>Within Recommendation 2 “Create a pan European Advisory Forum for Crisis Management and Civil Protection to support the deployment of the European Civil Protection Policy”, p.13)</i></p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (<i>Under “Roadmap”, p.18)</i></p> <p><b>Draft Conclusions on a Community Framework on disaster prevention</b> (<i>Within preambulatory clause 24, sub-clause I., p.8)</i></p>
<p><b>4. Local knowledge is used in decision-making</b></p> <p>a. Input from the public (as well as media) is seen as a valuable source of information (e.g. use of the public as human sensors)</p> <p>b. Input bottom-up from local level consultation (incl. the public) is used to tailor policy to local needs</p> <p>c. Input from the local level includes practical experience</p>	<p><b>White Paper_ Towards a harmonized EU civil protection</b> (<i>Within Recommendation 7 “Support the development of societal issues: involvement of civil society in preventing and respond to crisis, adequate involvement of media, enhanced medical support”, p.17)</i></p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (<i>Under “Roadmap”, p.18)</i></p> <p><b>White Paper European Governance</b> (<i>Under III. “Proposals for Change”, within 3.1. “Better involvement”, p.11) and (Under II. “Principles of Good Governance”, p.11) (refers to this as part of establishing a ‘virtuous circle’) and (Under III. “Proposals for Change”, within 3.2 “Better policies, regulation and delivery”, p.20) and (Under IV. “From Governance to the Future of Europe”, p.33)</i></p>
<p><b>5. Feedback systems exist enabling the ability to receive input on policy implementation</b></p>	<p><b>White Paper European Governance</b> (<i>Under III. “Proposals for Change”, within 3.2 “Better policies, regulation and delivery”, p.21)</i></p>
<p><b>6. Efforts are taken to empower people and protect livelihoods through this empowerment through information.</b></p> <p>a. Information on how people can protect themselves is provided to the public.</p> <p>b. Community based, local level activities such as drills,</p>	<p><b>EU Strategy for Supporting Disaster Risk Reduction in Developing Countries</b> (<i>Under 4. “Priority Areas for Intervention”, within 4.3 “Use of knowledge, innovation, and education to build a culture of safety and resilience at all levels”, p.8)</i></p> <p><b>EU Strategy for Supporting Disaster Risk Reduction in Developing Countries</b> (<i>Under 4. “Priority Areas for Intervention”, within 4.3 “Use of knowledge, innovation, and education to build a culture of safety and resilience at all levels”, p.8)</i></p> <p><b>Hyogo-framework-for-action-english</b> (<i>Under B. “Priorities for action”, under 3. “Use knowledge, innovation and education to</i></p>



<p>training and volunteering exist to help enhance local capacities</p> <p><b>(MOVED TO RISK CULTURE, ADDED AS NEW INDICATOR #5)</b></p>	<p><i>build a culture of safety and resilience at all levels”, within (ii) “Education and training”, p.10)</i></p> <p><b>Hyogo-framework-for-action-english</b> (Under B. “Priorities for action”, under 5. “Strengthen disaster preparedness for effective response at all levels”, within “Key activities”, p.12)</p>
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#### (4) Strategic Vision

##### Definition:

Stakeholders work toward a future goal that is sustainable, considers both short and long term foci, and integrates DRM into policy planning and programing.

##### Indicators:

1. Goals toward realizing this vision includes integrating DRM into policy, planning and programing across sectors targeting vulnerability reduction and local capacity strengthening.
2. The vision and its policies concerning risk and vulnerability reduction are sustainable (follows according to the sustainable development principle), especially for flood risk management policies.
3. Strategies follow a particular timeline that includes short and long term foci that is positively perceived by both authorities and the public.
4. There exists the same or similar priorities within the overall strategy or activities of various actors (from Risk Gov. Deficits not policy docs).
5. **There is evidence of a structure based on goal orientation for realizing a future vision (FROM FIRST 5 INTERVIEWS).**

Indicator	Supporting Policy Document (reference location)
<p><b>1. Goals toward realizing this vision include:</b></p> <p>a. Integration of DRM into policy, planning and programming</p> <p>b. A cross-sector policy approach connecting DRM to e.g. sustainable development, cohesion, environmental policy, among others.</p> <p>c. A focus on prevention and pre-disaster phases (esp. for reducing vulnerability)</p>	<p><b>Hyogo-framework-for-action-english</b> (Under II. “World Conference on Disaster Risk Reduction: Objectives, expected outcome and strategic goals”, within C. “Strategic goals”, number 12, p.3)</p> <p><b>Hyogo-framework-for-action-english</b> (Under A. “Challenges posed by disasters”, p.1)</p> <p><b>White Paper European Governance</b> (Under III. “Proposals for Change”, within 3.4 “Refocused policies and institutions”, p.28)</p> <p><b>Draft Conclusions on a Community Framework on disaster prevention</b> (Preamble clause 16, p.4)</p> <p><b>The Stockholm Programme</b> (Under 4.6 “Comprehensive and effective Union Disaster Management: reinforcing the Union’s capacities to prevent, prepare for and respond to all kinds of disasters”, p.25)</p> <p><b>Hyogo-framework-for-action-english</b> (Under II. “World Conference on Disaster Risk Reduction: Objectives, expected</p>

<ul style="list-style-type: none"> <li>d. if c) is not possible, a general focus on reducing vulnerability and minimizing consequences and impacts exists</li> <li>e. Goals target strengthening and developing local level capacities</li> </ul>	<p><i>outcome and strategic goals”, within C. “Strategic goals”, number 12, p.4)</i></p>
<p><b>2. The vision and its policies concerning risk and vulnerability reduction are sustainable (follows according to the sustainable development principle), especially policies for flood risk management</b></p>	<p><b>Flood Risk Management Directive</b> (Clause 22, p.29)  <b>Hyogo-framework-for-action-english</b> (Under B. “Priorities for action”, within 4. “Reduce the underlying risk factors”, p.10)</p>
<p><b>3. Strategies follow a particular timeline</b></p> <ul style="list-style-type: none"> <li>a. Evidence of attention to both short and long-term considerations exists</li> <li>b. A greater focus on long-term oriented policy exists, esp. to meet challenges</li> <li>c. The perception of authorities in terms of timeliness and short vs. a long-term approach is positive</li> <li>d. The perception of the public in terms of timeliness and short vs. a long-term approach is positive</li> </ul>	<p><b>Hyogo-framework-for-action-english</b> (Under III. “Priorities for action 2005-2015”, under B. “Priorities for action”, within 2. “Identify, assess and monitor disaster risks and enhance early warning”, p.9)</p> <p><b>White Paper European Governance</b> (Under III. “Proposals for Change”, within 3.1. “Better Involvement”, p.15)</p> <p><b>White Paper European Governance</b> (Under III. “Proposals for Change”, within 3.4 “Refocused policies and institutions”, p.28)</p> <p><b>Water Framework Directive</b> (Clause 18, p.2) (referring especially to that which is related to water resources)</p>
<p><b>4. Existence of the same or similar priorities in the overall strategy or actor activities</b></p>	<p><b>Developed in relation to the need for policy consensus highlighted in the IRGC report on risk governance deficits, (IRGC, 2009, p.49) (e.g. do authorities agree on what goals or overall strategy is or could be)</b></p>
<p><b>5. Evidence of a structure based on goal orientation for realizing a future vision.</b></p>	<p><b>Developed as a result of interviews. Need was realized that an indicator identifying the general existence or non-existence of strategy was necessary.</b></p>



6. Strategies are flexible to adapt and deal with changes  
(MOVED TO EFFECTIVENESS AND INTEGRATED INTO #4)

Developed and adapted from IRGC risk governance deficit B2 (IRGC, 2010, p.12) related to 'adaptive governance' and effectiveness

## (5) Effectiveness

### Definition:

Disaster risk management frameworks consist of efforts which are flexible, and enable the ability to achieve strategy objectives and end-goals.

### Indicators:

1. Assistance provided (e.g. in past experiences) helps achieve overall or end goals.
2. Early warning systems fulfil their purpose by alerting appropriate bodies to disasters and threats.
3. Authorities, individuals and communities are well-prepared.
4. Flexibility and redundancy are demonstrated and enable a response to adapt to change while still ensuring capacities to meet goals (e.g. through updating policies in response to change) (also from Risk Gov. Deficits)
5. Regulatory frameworks are upheld and achieve their purpose in practice (FROM FIRST 5 INTERVIEWS) (also from Risk Gov. Deficits)

Indicator	Supporting Policy Document (reference location)
1. Assistance provided (e.g. in past experiences) helps achieve overall or end goals a. Assistance helps actions in all phases, especially prevention and preparedness, to be more timely and practical	<p><b>Council Decision establishing Community Civil Protection Mechanism</b> (Preambulatory clause 16, p.11)</p> <p><b>Council Decision establishing Civil Protection Financial Instrument</b> (Preambulatory clause 4, p.9) (refers to financial assistance)</p> <p><b>Council Decision establishing Civil Protection Financial Instrument</b> (Preambulatory clause 12, p.10) (refers to financial assistance)</p>
2. Early warning systems must fulfil their purpose by alerting appropriate bodies to disasters and threats	<b>Council Decision establishing Civil Protection Financial Instrument</b> (Preambulatory clause 13, p.10)
3. Authorities, individuals and communities are well-prepared	<b>Hyogo-framework-for-action-english</b> (Under 5. "Strengthen disaster preparedness for effective response at all levels", p.12)(refers to preparedness of these groups as a necessity for ensuring effectiveness)
4. Flexibility and redundancy demonstrated through ability to respond to change but still retain capacities to ensure achievement of goals and objectives (e.g. through reviewing and updating	Developed in relation to IRGC (2010) risk governance deficit B2 (IRGC, 2010, p.12) related to 'adaptive governance' and effectiveness.

policies in response to change)	
5. Regulatory frameworks are upheld and achieve their purpose in practice <ul style="list-style-type: none"> <li>a. There is no need for practices beyond the legal framework</li> </ul>	<p>Developed as a result of Transcript I-1 and in relation to IRGC (2010) risk governance deficit B5 (IRGC, 2010, p.16) related to need for improving effectiveness of regulations.</p> <p>Developed and inspired by Fonseca (2000) in relation to practices going beyond legally required actions.</p>
6. Measures taken are maintained to ensure they meet the purpose for which they were created (MOVED TO ACCOUNTABILITY)	Developed as a result of analysis of Transcript I-2.
7. The harmonization of actions is established though the use of common protocols (MOVED TO COORDINATION)	<b>White Paper_ Towards a harmonized EU civil protection</b> ( <i>Within Recommendation 1 "Improve global Governance for a stronger coordination between local/national and EU activities: enhancing the European Civil Protection Policy", p.11)</i> )

## (6) Efficiency

### Definition:

Resources, including time, are not wasted but rather optimized through efforts made at the lowest, most appropriate level within an adequate timeframe and pursuing best practices and technologies.

### Indicators:

1. Actions are appropriate and are taken at the most appropriate level, reflecting the subsidiarity principle.
2. Resources are used wisely and sustainably through means such as pooling to ensure optimized and continued use in the long-term.
3. Duplication of work and excessive costs are avoided.
4. Best practices and best technologies are pursued.
5. Efforts are carried out within an adequate timeframe, enabling both information exchange between multiple levels for authorities and first responders, as well as attention given to preventative actions prior to disaster. (both from policy and interview transcripts)

Indicator	Supporting Policy Document (reference location)
1. Actions are appropriate and are taken at the most appropriate level (subsidiarity principle)	<p><b>COM_2010_600_European_disaster_response_en</b> (Under 2. "Adapting existing means to a changing world", p.5)</p> <p><b>White Paper European Governance</b> (Under II. "Principles of Good Governance", p.10)</p>
2. Resources are used wisely <ul style="list-style-type: none"> <li>a. Resources are properly pooled amongst different levels to ensure</li> </ul>	<p><b>Flood Risk Management Directive</b> (Preamble clause 17, p.28) (refers to processes for river basin management plans and flood risk management plans)</p> <p><b>COM_2011_proposal-decision-CPMechanism_en</b> ((Under 3. "Legal Elements of the Proposal", within (h) "Subsidiarity principle", p.8))</p>

efficiency of resource use.	<b>Communication on Reinforcing the Union's Disaster Response Capacity</b> (Under 3. "Towards a Stronger EU Response to Disasters", under 3.1. "Gradual build-up of a more integrated coordination", p.6)
<b>3. Duplication of work and excessive costs are avoided (COMBINED WITH #4 BELOW)</b>	<b>COM_2011_proposal-decision-CPMechanism_en</b> ((Under 3. "Legal Elements of the Proposal", within (h) "Subsidiarity principle", p.8))
a. Cost-effective logistics and transport are pursued	<b>Flood Risk Management Directive</b> (Preamble clause 16, p.28)
	<b>Flood Risk Management Directive</b> (Preamble clause 18, p.28)
	<b>COM_2011_proposal-decision-CPMechanism_en</b> ((Under 3. "Legal Elements of the Proposal", within (h) "Subsidiarity principle", p.8))
<b>4. Best practices and technologies are pursued</b>	<b>Flood Risk Management Directive</b> (Preamble clause 18, p.28)
<b>5. Efforts are timely</b>	<b>COM_2011_proposal-decision-CPMechanism_en</b> (Under 3. "Legal Elements of the Proposal", within (h) "Subsidiarity principle", p.8)
a. Actions are prompt and have an adequate timeframe	<b>COM_2010_600_European_disaster_response_en</b> (Under 2. "Adapting existing means to a changing world", p.5)
b. Timely preventative actions are taken prior to a disaster	<b>White Paper European Governance</b> (Under II. "Principles of Good Governance", p.10)
	<b>Developed as a result of analysis of Transcript I-2.</b>
	<b>Developed as a result of analysis of Transcript I-1.</b>

## (7) Equity

### Definition:

Strategies do not disadvantage particular groups, but rather encourage intergenerational equity and solidarity through non-discriminatory strategies, especially those assisting vulnerable groups and areas.

### Indicators:

1. Adaptation does not disadvantage future generations, reflecting promotion of intergenerational equity.
2. Attention is paid especially to those places that are isolated and or have special needs as a consequence of their difficult geography.
3. Strategies pay attention to particularly vulnerable groups e.g. children, elderly, poor, disabled, populations living in informal and marginal settlements, directly affected and displaced populations.
4. Efforts and measures employed (e.g. for training and education) are impartial, neutral and non-discriminatory as well as gender and culture sensitive, including for vulnerable groups and to those who are not part of established knowledge networks.
5. The solidarity principle is encouraged within and outside the affected community through strengthening DRR in especially high risk areas, e.g. using prevention to reduce disparities in protection, and ensuring equitable distribution of burdens and impact.

Indicator	Supporting Policy Document (reference location)
<b>1. Adaptation does not disadvantage future generations (intergenerational equity).</b>	<b>EU White Paper on Adaptation to Climate Change</b> (Within 7. "Conclusions – Next Steps", p.16) (in reference to the EU supporting these adaptation efforts esp. with respect to the economy)
<b>2. Attention is paid especially to those places that are isolated and have special needs as a consequence of their difficult geography</b>	<b>Council Decision establishing Civil Protection Financial Instrument</b> (Preamble clause 7, p.9) (this is especially in relation to the sending of aid and intervention in the event of a disaster).  <b>Council Decision establishing Civil Protection Financial Instrument</b> (Article 1 "Subject matter", clause 4, p.12)
<b>3. Strategies pay special attention to particularly vulnerable groups e.g. children, elderly, poor, disabled, populations living in informal and marginal settlements, directly affected and displaced populations.</b> a. Reviewing and updating of contingency and preparedness plans focus on areas with most the vulnerable groups. b. Efforts attempt to integrate vulnerable groups	<b>Hyogo-framework-for-action-english</b> (Under 4. "Reducing underlying risk factors", within (ii) "Social and economic development practices", p.11)  <b>Hyogo-framework-for-action-english</b> (Under 4. "Reducing underlying risk factors", within (iii) "Land-use planning and other technical measures", p.12)  <b>Hyogo-framework-for-action-english</b> (Under 5. "Strengthen disaster preparedness for effective response at all levels", within "Key activities", p.12)  <b>The Stockholm Programme</b> (Under 2. "Promoting Citizen's Rights: A Europe of Rights", under 2.3. "Living together in an area that respects diversity and protects the most vulnerable", within 2.3.3. "Vulnerable groups", p.9) (explicitly also refers to the Roma community).
<b>4. Efforts and measures employed should be impartial, neutral and non-discriminatory</b> a. Legislation is used to eliminate discrimination	<b>Council Decision establishing Civil Protection Financial Instrument</b> (Preamble clause 20, p.11) (refers to focus on needs of victims and refers especially to assistance outside the Community)  <b>COM_2010_600_European_disaster_response_en</b> (Within 3. "Guiding Principles", p.6) (referring to humanitarian assistance outside the EU)
<b>5. Especially within flood risk management, the solidarity principles is encouraged.</b> a. Evidence exists in efforts to strengthen DRR in ALL areas, especially high-risk areas b. Prevention is a focus point in reducing disparities in protection c. There is an equitable distribution of burdens and impact	<b>Flood Risk Management Directive</b> (Preamble clause 15, p.28)  <b>Hyogo-framework-for-action-english</b> (Under 4. "Reducing underlying risk factors", within (ii) "Social and economic practices", p.11)  <b>White Paper_ Towards a harmonized EU civil protection</b> (Within "Executive Summary", p.3)  <b>Draft Conclusions on a Community Framework on disaster prevention</b> (Under 2. "Why do we need an adaptation strategy? Why at EU level?", within 2.3 "Why is action needed at EU level?", p.6)  <b>EU White Paper on Adaptation to Climate Change</b> (Under 3. "The Proposed EU Framework: Objectives and Action", under 3.2 "Integrating adaptation into EU policies", within 3.2.1 "Increasing the resilience of health and social policies", p.9)
<b>6. There is equal access to opportunities for training and education</b> a. Access is encouraged especially for vulnerable groups b. Measures and actions are gender and culture sensitive	<b>Hyogo-framework-for-action-english</b> (Under 3. "Use knowledge, innovation and education to build a culture of safety and resilience at all levels", within (ii) "Education and Training", p.10)  <b>Indicator related to distance from knowledge networks developed as result of need revealed through interview Transcript I-3.</b> (refers explicitly to those not connected to volunteer networks)

C. Access is available to those who are not part of established knowledge networks <b>(INTEGRATED INTO REVISED #4)</b>	
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## (8) Feasible & Sustainable

### **Definition:** CATEGORY REALLOCATED

Continuation of strategies is enabled within given resources and interests and without disadvantaging future generations.

**Decision:** should be integrated into existing categories due to dramatic overlap and lack of enough, stand-alone evidence to merit its own category.

-intergenerational equity (not disadvantaging future generations) can be added to the 'equity' category

-continuation into the long-term can be added to the 'strategic vision' category

-'feasibility' is perhaps more related to the 'resources' category

### Indicators:

Added to category	Indicator	Supporting Policy Document (reference location)
Strategic vision (moved)	1. flood risk management policies follow the principle of sustainable development	<b>Flood Risk Management Directive</b> (Clause 22, p.29)
Strategic vision (moved) Resources (moved)	2. A framework for action (or the process for taking actions in general) have a long-term perspective and sustainable use of resources (e.g. in this case referring to water resources)	<b>Water Framework Directive</b> (Clause 18, p.2)
Strategic vision (moved)	3. Sustainable development supports and is supported by good governance, poverty reduction, and disaster risk reduction. These are connected.	<b>Hyogo-framework-for-action-english</b> (Under A. "Challenges posed by disasters", p.1)
Strategic vision (moved)	4. Land-use planning is sustainable, activities developed for risk and vulnerability reduction are sustainable.	<b>Hyogo-framework-for-action-english</b> (Under B. "Priorities for action", within 4. "Reduce the underlying risk factors", p.10)
Equity (moved)	5. Adaptation is sustainable for future generations.	<b>EU White Paper on Adaptation to Climate Change</b> (Within 7. "Conclusions – Next Steps", p.16) (in reference to the EU supporting these adaptation efforts esp. with respect to the economy)
Resources (moved)	6. There are adequate resources to enable fulfilment of decision implementation	

## (9) Trust

### Definition:

Interactions between and among public and non-public actors occur based on an assurance (and belief) of mutual reliability, including confidence in capacities of authorities, honesty and integrity.

### Indicators:

1. The public has confidence in the competencies of the local authorities and trusts in the integrity of their activities.
2. The public has confidence in the competencies of the higher level (non-local) authorities and trusts in the integrity of their activities.
3. Authorities within the same horizontal levels feel they can rely on one another and have confidence in each other's abilities.
4. Authorities within different vertical levels feel they can rely on one another and have confidence in each other's abilities.

Indicator	Supporting Policy Document (reference location)
1. The public has confidence in the competencies of the local authorities and trusts in the integrity of their activities.	<b>White Paper on European Governance</b> (within "IV. From Governance to the Future of Europe", p.33)
2. The public has confidence in the competencies of the higher level (non-local) authorities and trusts in the integrity of their activities.	<b>White Paper on European Governance</b> (within "IV. From Governance to the Future of Europe", p.33)
3. Authorities within the same horizontal levels feel they can rely on one another and have confidence in each other's abilities.	<b>Stockholm Programme</b> (Under, "1. Towards a Citizen's Europe in the Area of Freedom, Security and Justice", under "1.2 The tools", within "1.2.2 Mutual Trust", p.6)
4. Authorities within different vertical levels feel they can rely on one another and have confidence in each other's abilities.	<b>The Stockholm Programme</b> (Under "4. A Europe That Protects", under "4.2 Upgrading the tools for the job", within "4.2.1 Forging a common culture", p.18)

## (10) Resources

### Definition:

Resources are adequately available and exchanged and enable sufficient and or improved capacity for risk management practices (including both physical e.g. money, personnel, and equipment and non-physical e.g. time, knowledge resources).



*Indicators:*

1. There are adequately available resources including: hazard, risk, vulnerability knowledge; transportation resources; emergency communication resources; personnel; equipment, finances and time to enable capacity to fulfil tasks for the local level and above.
2. Resources such as equipment, materials, and information are compatible, interoperable and exchanged.
3. An inventory or platform for information exists including information about past events, data sources, best practices and lessons learned in order to assist in the exchange of information between stakeholders.
4. Resources such as information are affordable.
5. Pre-arranged and backup resources exist including emergency funds and pre-committed assets.

Indicator	Supporting Policy Document (reference location)
<b>1. There are adequate and available resources to enable feasible fulfilment of tasks</b> <ol style="list-style-type: none"> <li>a. Adequate resources, especially information, exist for all relevant sectors and authorities at all levels</li> <li>b. There is adequate knowledge available for understanding hazards, vulnerabilities &amp; impacts</li> <li>c. Flood risk maps and flood hazard maps are available</li> <li>d. Information is available for conducting the flood risk assessment</li> <li>e. Adequate resources for transportation exist</li> <li>f. Adequate resources exist for emergency communications</li> <li>g. There is adequate personnel, equipment, and structural resources</li> <li>h. Financial resources are adequate</li> <li>i. There is adequate time to enable task fulfilment</li> </ol>	<p><b>COM_2011_proposal-decision-CPMechanism_en</b> (Preamble clause 16, p.12) and (Under Article 18 "Transport", clause 1, p.28)</p> <p><b>Hyogo-framework-for-action-english</b> (Under B. "Priorities for action", under 1. "Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation", within (ii) "Resources", p.7) and (Under B. "Priorities for action", under 2. "Identify, assess and monitor disaster risks and enhance early warning", p.7) and (Under B. "Priorities for action", under 2. "Identify, assess and monitor disaster risks and enhance early warning", within (iii) "Capacity", p.8) (referring to observation, analysis, mapping, and forecasting of hazards, vulnerabilities and impacts)</p> <p><b>Draft Conclusions on a Community Framework on disaster prevention</b> (Preamble clause 24, p.8) (referring to enable an overview of risks for a wider territory)</p> <p><b>Communication on Reinforcing the Union's Disaster Response Capacity</b> (Under 4. "Action Plan", within 4.4. "Strengthening capacity across Community policies and instruments", p.11)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Under Recommendation 5 "Create an EU Programme on Civil Protection to improve prevention, preparedness, response and remediation from natural and manmade disasters and crisis situations", p.16)</p> <p><b>Flood Risk Management Directive</b> (Preamble clause 12, p.28) and (Under Chapter III "Flood Hazard Maps and Flood Risk Maps", Article 6, Clause 3, p.30) and (Under Chapter II "Preliminary Flood Risk Assessment", Article 4, Clause 2, p.30)</p>
<b>2. Resources are harmonized and interoperable</b> <ol style="list-style-type: none"> <li>a. Practices, equipment and materials are</li> </ol>	<p><b>White Paper_ Towards a harmonized EU civil protection</b> (Under "Current Gaps and Needs", within "A Need to Strengthen the EU Civil Protection Strategy", p.8)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Under "Current Gaps and Needs", within "Technology and Standards issues", p.10)</p>

<p>harmonized and interoperable</p> <p>b. Information is compatible and exchangeable</p>	<p><b>EU Communication A Community approach to prevention of natural</b> (Under 3. "Key Elements of a Community Approach on Prevention", under 3.1. "Creating the conditions for the development of knowledge based disaster prevention policies at all levels of government", within 3.1.1. "Creating an inventory of information on disasters", p.4)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Under "Current Gaps and Needs", within "Operational Issues", p.9)</p>
<p><b>3. An inventory or platform for information exists</b></p> <p>a. This inventory contains information about past events</p> <p>b. This inventory contains information about data sources</p> <p>c. This inventory contains information about best practices and lessons learnt</p> <p>d. This inventory assists in exchange of information between stakeholders</p>	<p><b>EU Communication A Community approach to prevention of natural</b> (Under 3. "Key Elements of a Community Approach on Prevention", under 3.1. "Creating the conditions for the development of knowledge based disaster prevention policies at all levels of government", within 3.1.1. "Creating an inventory of information on disasters", p.4) and (Under 3. "Key Elements of a Community Approach on Prevention", under 3.1. "Creating the conditions for the development of knowledge based disaster prevention policies at all levels of government", within 3.1.2. "Spreading of best practices", p.5)</p> <p><b>Hyogo-framework-for-action-english</b> (Under (Under B. "Priorities for action", under 2. "Identify, assess and monitor disaster risks and enhance early warning", within (iii) "Capacity", p.8) and (Under Under B. "Priorities for action", under 3. "Use knowledge, innovation and education to build a culture of safety and resilience at all levels", within (i) "Information management and exchange", p.9)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Within Recommendation 2 "Create a pan European Advisory Forum for Crisis Management and Civil Protection to support the deployment of the European Civil Protection Policy", p.12) and (Under "Roadmap, p.19)</p> <p><b>Draft Conclusions on a Community Framework on disaster prevention</b> (Preamble clause 23, p.6) and (Preamble clause 24, p.8) and (Preamble clause 20, p.5) and (Preamble clause 23, p.6) and (Preamble clause 24, p.8)</p> <p><b>Common Implementation Strategy WFD and FRD</b> (Under 1. "Objectives of the CIS", p.3)</p>
<p><b>4. Resources are affordable</b></p>	<p><b>Hyogo-framework-for-action-english</b> (Under Under B. "Priorities for action", within 3. "Use knowledge, innovation and education to build a culture of safety and resilience at all levels", p.9)</p> <p><b>Green Paper on the insurance of natural and manmade disasters</b> (Under 3. "Disaster Risk Awareness, Prevention and Mitigation", within 3.5. "Data, research and information", p.16)</p>
<p><b>5. Pre-arranged and backup resources exist</b></p> <p>a. Emergency funds exist</p> <p>b. Pre-commitment of assets and contingency plans exist, esp. transport</p> <p>c. Assets on standby in case of need for deployment</p>	<p><b>Hyogo-framework-for-action-english</b> (Under B. Priorities for action", within 5. "Strengthen disaster preparedness for effective response at all levels", p.13)</p> <p><b>COM EU Internal Security Strategy</b> (Under 2. "Five Strategic Objectives for Internal Security", under "Objective 5: Increase Europe's resilience to crisis and disasters", within "Action 4: Develop a European Emergency Response Capacity for tackling disasters", p.15)</p> <p><b>COM-2011-Report on Eval EU Civil Protection Mechanism</b> (Under 1. "Introduction", p.3)</p> <p><b>COM_2011_proposal-decision-CPMechanism_en</b> (Preamble clause 14, p.11) (referring to pre-commitment of capacities)</p>
<p><b>6. Resources enable timely information for authorities and especially first responders</b></p> <p><b>(MOVED TO AND INTEGRATED INTO EFFICIENCY #5)</b></p>	<p><b>White Paper_ Towards a harmonized EU civil protection</b> (Under Recommendation 5 "Create an EU Programme on Civil Protection to improve prevention, preparedness, response and remediation from natural and manmade disasters and crisis situations", p.16)</p> <p><b>Seveso Directive and Amendments</b> (Preamble clause, p.2) and (Within article 10, p.5) and (Within article 11, p.5)</p>

7. Resources are used sustainably, with a future-oriented, long-term perspective ( <b>MOVED TO AND INTEGRATED INTO EFFICIENCY #2</b> )	<b>Water Framework Directive</b> (Clause 18, p.2) (e.g. in this case referring to water resources)
8. Resources enable adequate capacities within and empower the local level <ul style="list-style-type: none"> <li>a. Efforts are being made to strengthen current resources and capacities</li> <li>b. Training and improved technologies are available</li> </ul> <b>(INTEGRATED INTO REVISED #1)</b>	<b>Communication on Reinforcing the Union's Disaster Response Capacity</b> (Under 4. "Action Plan", within 4.2. "European Humanitarian aid capacity should be reinforced", p.10)  <b>Hyogo-framework-for-action-english</b> (Under A. "General considerations", p.5)  <b>Hyogo-framework-for-action-english</b> (Under B. Priorities for action", within 5. "Strengthen disaster preparedness for effective response at all levels", p.12)  <b>Hyogo-framework-for-action-english</b> (Under (Under B. "Priorities for action", under 2. "Identify, assess and monitor disaster risks and enhance early warning", within (iii) "Capacity", p.8)
9. Resources especially target prevention efforts ( <b>MOVED AND INTEGRATED INTO RISK CULTURE #4</b> )	<b>COM_2010_600_European_disaster_response_en</b> (Footnote 12, p.6) (refers to need for greater use of EU funding as a resource for disaster prevention)  <b>Draft Conclusions on a Community Framework on disaster prevention</b> (Preamble clause 20, p.5)

## (11) Coordination

### Definition:

**Formal (legally required) tasks and interactions between multiple stakeholders (including the public) within different sectors and levels run smoothly and are positively perceived.**

### Indicators:

1. Coordination is perceived as effective for managing equipment, training, procedures, planning, emergency care and support, outside assistance.
2. Coordination occurs among stakeholders at all levels through a bottom-up approach starting with the needs of the local up to the higher levels.
3. A communicative link established between different stakeholders for transferring of information, linking emergency and planning authorities, linking different decision-makers, linking civil protection and environmental services, and allowing for exchange of best practices.
4. There is perceived to be a good level of coordination within horizontal and between different vertical levels as well as across sectors.
5. Coordinated efforts support a harmonized, holistic approach to DRR using common measures, response language, standards and protocols.

Indicator	Supporting Policy Document (reference location)
1. Coordination is perceived as effective for: <ul style="list-style-type: none"> <li>a. Coordination of equipment, trainings, and procedures</li> <li>b. Coordination of planning activities</li> </ul>	<b>White Paper_ Towards a harmonized EU civil protection</b> (Under Recommendation 5 "Create an EU Programme on Civil Protection to improve prevention, preparedness, response and remediation from natural and manmade disasters and crisis situations", p.16)and (Within Recommendation 7 "Support the development of societal issues: involvement of civil society in preventing and respond to

<ul style="list-style-type: none"> <li>c. Emergency medical care</li> <li>d. Emergency citizen support, shelter, food, etc.</li> <li>e. Coordination of assistance from outside the effected community</li> </ul>	<p><i>crisis, adequate involvement of media, enhanced medical support”, p.17-18) and (Within “Roadmap”, p.19)</i></p> <p><b>Communication on Reinforcing the Union's Disaster Response Capacity</b> (Under 3. “TOWARDS A STRONGER EU RESPONSE TO DISASTERS”, within 3.1.” Gradual build-up of a more integrated coordination”, p.6)</p> <p><b>The Stockholm Programme</b> (Under 4. “A EUROPE THAT PROTECTS”, within 4.6.” Comprehensive and effective Union Disaster Management: reinforcing the Union’s capacities to prevent, prepare for and respond to all kinds of Disasters”, p.25)</p>
<p><b>2. Coordination occurs among stakeholders at all levels through a bottom-up approach starting with the needs of the local up to the higher levels.</b></p>	<p><b>Communication on Reinforcing the Union's Disaster Response Capacity</b> (Under 3. “TOWARDS A STRONGER EU RESPONSE TO DISASTERS”, within 3.1.” Gradual build-up of a more integrated coordination”, p.6)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Within Recommendation 1 “Improve global Governance for a stronger coordination between local / national and EU activities: enhancing the European Civil Protection Policy”, p.11)</p> <p><b>EU White Paper on Adaptation to Climate Change</b> (Within 7 “Conclusions – Next Steps”, p.16)</p>
<p><b>3. A communicative link established between different stakeholders</b></p> <ul style="list-style-type: none"> <li>a. Transfer of information via this link is required in the case of an event</li> <li>b. A link exists between planners and emergency management</li> <li>c. A link is established between different policy and decision-making levels</li> <li>d. Links allow for exchange of best practices</li> <li>e. A link exists between civil protection and environmental services</li> </ul>	<p><b>EU Communication A Community approach to prevention of natural</b> (Under 3. “KEY ELEMENTS OF A COMMUNITY APPROACH ON PREVENTION”, under 3.1. “Creating the conditions for the development of knowledge based disaster prevention policies at all levels of government”, within 3.1.2. “Spreading best practices”, p. 5)</p> <p><b>EU Communication A Community approach to prevention of natural</b> (Under 3. “KEY ELEMENTS OF A COMMUNITY APPROACH ON PREVENTION”, within 3.2.3. “Improving the linking between actors”, p.6) (refers to link with land planners and mapping agencies, as well as forestry service and emergency response services)</p> <p><b>Flood Risk Management Directive</b> (Under Chapter III “Flood Hazard Maps and Flood Risk Maps”, within Article 6, p.30)</p> <p><b>Seveso Directive and Amendments</b> (Within Article 5, p.3)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Within Recommendation 1 “Improve global Governance for a stronger coordination between local / national and EU activities: enhancing the European Civil Protection Policy”, p.11) (refers to the policy and decision makers) and (Within Recommendation 3 “Enhance regional cooperation for sharing best practices, interoperability of procedures and increased solidarity”, p.12)(referring to best practices)</p> <p><b>Communication on Reinforcing the Union's Disaster Response Capacity</b> (Within 2. “THE NEED FOR A STRONGER EU CAPABILITY”, p.3)</p>

<p>4. There is perceived to be a good level of coordination within horizontal levels</p> <p>a. A good level of coordination is perceived especially within the local level</p>	<p><b>Communication on Reinforcing the Union's Disaster Response Capacity</b> (Under 3. "TOWARDS A STRONGER EU RESPONSE TO DISASTERS", within 3.1. "Gradual build-up of a more integrated coordination", p.6) (refers here to the coordination between the Commission, the Presidency, MS, and High Representative/Secretary General)</p> <p><b>Developed in result of analysis of Transcript I-5.</b></p>
<p>5. Coordinated efforts support a harmonized, holistic approach to DRR</p> <p>a. Utilisation of common objectives and measures</p> <p>b. Use of a common response language</p> <p>c. Standards and common procedures or protocols exist (e.g. for monitoring and assessing hazards and vulnerabilities, information sharing, resource mobilization, training and simulation, warning messages given to citizens)</p>	<p><b>Hyogo-framework-for-action-english</b> (Under 5. "Strengthen disaster preparedness for effective response at all levels", within "Key activities", p.12) and (Under C. "Regional organizations and institutions", p.15)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Under "Current Gaps and Needs", within "Operational Issues", p.8-10) and (Within Recommendation 1 "Improve global Governance for a stronger coordination between local / national and EU activities: enhancing the European Civil Protection Policy", p.11) and (Within Recommendation 3 "Enhance regional cooperation for sharing best practices, interoperability of procedures and increased solidarity", p.12 and p.14) and (Within Recommendation 4 "Develop a common EU Risk Assessment methodology for increased interoperability of Civil Protection operational techniques, procedures and systems", p.13)</p>
<p>6. There is perceived to be a good level of coordination between vertical levels <b>(INTEGRATED INTO #4)</b></p>	<p><b>Communication on Reinforcing the Union's Disaster Response Capacity</b> (Under 3. "TOWARDS A STRONGER EU RESPONSE TO DISASTERS", within 3.1. "Gradual build-up of a more integrated coordination", p.6)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Under Recommendation 5 "Create an EU Programme on Civil Protection to improve prevention, preparedness, response and remediation from natural and manmade disasters and crisis situations", p.15)</p> <p><b>Common Implementation Strategy WFD and FRD</b> (Within 1 "Objectives of the CIS", p.3)</p>
<p>7. Coordination occurs with and across different sectors at all levels</p> <p>a. Coordination also occurs with the private sector <b>(INTEGRATED INTO #4)</b></p>	<p><b>Hyogo-framework-for-action-english</b> (Under B. "Priorities for action", within 1. "Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation", p.6) and (Under 2. "Identify, assess and monitor disaster risks and enhance early warning", within (ii) "Early warning", p.8)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Within "Executive Summary", p.4)</p>
<p>8. Links between actors particularly target efforts for disaster prevention <b>(MOVED AND INTEGRATED INTO RISK CULTURE #4)</b></p>	<p><b>Draft Conclusions on a Community Framework on disaster prevention</b> (Preamble clause 24, p.8)</p>
<p>9. Coordination efforts particularly address isolated regions or areas</p>	<p><b>Council Decision establishing Community Civil Protection Mechanism</b> (Preamble clause 4, p.9)</p>



## (12) Cooperation

### Definition:

**Informal (not legally required) tasks and interactions between multiple stakeholders (including the public) within different sectors and levels run smoothly and are positively perceived.**

### Indicators:

1. The informal tasks and interactions are positively perceived within and between all levels.
2. Informal tasks and interactions are positively perceived within the local level and especially with interactions involving the public.
3. Informal interactions exists between those who are practitioners, policy makers, and scientific researchers as well as across sectors, especially between planners and emergency management authorities.
4. Non-formal structures exists in terms of exchange of information between vertical levels especially for exchange of best practices.
5. Informal tasks and interactions are perceived as positive for research, training, education, and volunteer activities. [\(also from interview transcripts\)](#)

Indicator	Supporting Policy Document (reference location)
<b>1. A good level of cooperation exists within and between all levels</b> a. Cooperation includes the public <b>(PART A INTEGRATED INTO REVISED #2)</b> b. Cooperation exists between planners and emergency management authorities <b>(PART B INTEGRATED INTO REVISED #3)</b>	<b>Communication on Reinforcing the Union's Disaster Response Capacity</b> (Under 3. "TOWARDS A STRONGER EU RESPONSE TO DISASTERS", within 3.1." Gradual build-up of a more integrated coordination", p.6)  <b>Water Framework Directive</b> (Preamble clause 14, p.2)  <b>White Paper_ Towards a harmonized EU civil protection</b> (Within Recommendation 3 "Enhance regional cooperation for sharing best practices, interoperability of procedures and increased solidarity", p.14)  <b>EU White Paper on Adaptation to Climate Change</b> (Within 3. "THE PROPOSED EU FRAMEWORK: OBJECTIVES AND ACTION", p.7)
<b>2. Cooperation exists within different horizontal levels</b> a. A good level of cooperation is perceived especially within the local level <b>(HORIZONTAL LEVELS PART INTEGRATED INTO #1, FOCUS REMAINS FOR LOCAL LEVEL AS #2)</b>	<b>Council Decision establishing Community Civil Protection Mechanism</b> (Preamble clause 23, p.11)  <b>Council Decision establishing Civil Protection Financial Instrument</b> (Under Article 1 "Subject matter", clause 1, p.12)  <b>Hyogo-framework-for-action-english</b> (Under B. "Priorities for action", under 1. "Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation", within (iii) "Community participation", p.7)



<p><b>3. Cooperation exists across sectors</b></p> <p>a. Cooperation exists with the private sector</p>	<p><b>Hyogo-framework-for-action-english</b> (Under B. "Priorities for action", under 2. "Identify, assess and monitor disaster risks and enhance early warning", within (ii) "Early warning", p.8)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Within "Operational issues", p.9) and (Within "Roadmap", p.19)</p>
<p><b>4. Cooperation exists in terms of exchange of information</b></p> <p>a. This exists especially exchange of best practices</p> <p>b. Exchange occurs between higher and lower levels within non-formal structures</p>	<p><b>Hyogo-framework-for-action-english</b> (Under B. "Priorities for action", under 2. "Identify, assess and monitor disaster risks and enhance early warning", within (iv) "Regional and emerging risks", p.8)</p> <p><b>The Stockholm Programme</b> (Under 4. "A EUROPE THAT PROTECTS", within 4.1. "Internal Security Strategy", p.18)</p> <p><b>White Paper_ Towards a harmonized EU civil protection</b> (Within "Roadmap", p.18) and (Within "Roadmap", p.19)</p> <p><b>Common Implementation Strategy WFD and FRD</b> (Within 1. "Objectives of the CIS", p.3)</p> <p><b>Draft Conclusions on a Community Framework on disaster prevention</b> (Preamble clause 23, p.6) and (Preamble clause 24, p.7)</p>
<p><b>5. Collaboration is perceived as positive for the following tasks: research, training, education, and volunteer activities</b></p>	<p><b>Hyogo-framework-for-action-english</b> (Under C. "Regional organizations and institutions", p.15)</p> <p><b>Developed as result of analysis of Transcripts I-4 and I-5.</b></p>
<p><b>6. Cooperation exists between those who are practitioners, policy makers, and scientific research (INTEGRATED INTO REVISED #3)</b></p>	<p><b>Hyogo-framework-for-action-english</b> (Under B. "Priorities for action", under 3. "Use knowledge, innovation and education to build a culture of safety and resilience at all levels", within (i) "Information management and exchange", p.9)</p> <p><b>Draft Conclusions on a Community Framework on disaster prevention</b> (Preamble clause 23, p.6) and (Preamble clause 24, p.8)</p>
<p><b>7. Solidarity is demonstrated through strong collaboration within and outside the community (MOVED TO AND INTEGRATED INTO EQUITY #5)</b></p>	<p><b>White Paper_ Towards a harmonized EU civil protection</b> (Within "Executive Summary", p.4)</p>
<p><b>8. Cooperation exists between different vertical levels (INTEGRATED INTO #1)</b></p>	<p><b>Council Decision establishing Community Civil Protection Mechanism</b> (Preamble clause 23, p.11)</p> <p><b>White Paper European Governance</b> (Within "Proposals for Change", p.4)</p>
<p><b>9. Cooperation efforts focus on prevention (MOVED AND INTEGRATED INTO RISK CULTURE #4)</b></p>	<p><b>Treaty of Lisbon Article 196</b> (Within Article 196)</p>

### (13) Risk Culture

#### Definition:

Informal (not legally required) tasks and interactions between multiple stakeholders (including the public) within different sectors and levels run smoothly and are positively perceived.

#### Indicators:

1. The informal tasks and interactions are positively perceived within and between all levels.
2. Informal tasks and interactions are positively perceived within the local level and especially with interactions involving the public.
3. Informal interactions exist between those who are practitioners, policy makers, and scientific researchers as well as across sectors, especially between planners and emergency management authorities.
4. Non-formal structures exist in terms of exchange of information between vertical levels especially for exchange of best practices.
5. Informal tasks and interactions are perceived as positive for research, training, education, and volunteer activities. (also from interview transcripts)

Indicator	Supporting Policy Document (reference location)
1. The population is empowered and encouraged to be informed and take self-initiated actions	<p>EU Strategy for Supporting Disaster Risk Reduction in Developing (Under 4. "Priority Areas for Intervention", within 4.3. "Use knowledge, innovation, and education to build a culture of safety and resilience at all levels", p.8)</p> <p>Green Paper on the insurance of natural and manmade disasters (Under 3. "Disaster Awareness, Prevention and Mitigation", within 3.1. "Insurance pricing as an insurance market-based incentive to promote risk awareness prevention and mitigation", p.12) (referring to insurance encouraging risk preventative actions by the population, rather than governments bearing full burden of compensation costs)</p> <p>Hyogo-framework-for-action-english (Under B. "Priorities for action", within section 3. "Use knowledge, innovation and education to build a culture of safety and resilience at all levels", clause (i) "Information management and exchange", p.9)</p>
2. The population is well-informed and has a high level of awareness (e.g. also through role of media)	<p>EU Strategy for Supporting Disaster Risk Reduction in Developing (Under 4. "Priority Areas for Intervention", within 4.3. "Use knowledge, innovation, and education to build a culture of safety and resilience at all levels", p.8) (referring to: knowledge, innovation and education; well-informed population)</p> <p>Hyogo-framework-for-action-english (Under B. "Priorities for action", clause 14, sub-clause 3, p.6) (directly connects to resilience) and (Under B. "Priorities for action", within section 2. "Identify, assess and monitor disaster risks and enhance early warning", clause 17, p.7) (refers to "culture of disaster resilience" emphasizing knowledge for hazards and vulnerabilities, including social vulnerabilities, as these change in both short and long term) and (Under B. "Priorities for action", within section 3. "Use knowledge, innovation and education to build a culture of safety and resilience at all levels", clause (18), p.9) (referring to: knowledge, innovation and education (all levels), well-informed population with high awareness, motivation of population toward prevention, collection and dissemination of knowledge and information, direct connection to resilience building) and (Under B. "Priorities for action", within section 3. "Use knowledge, innovation and education to build a culture of safety and resilience at all levels", clause (iv) "Public</p>

	<p><i>awareness", p.10) (referring to the role of the media especially for community involvement, education, and consultation)</i></p> <p>Transcript I-1_Alessandro Oman_Mayor Malborghetto 15_04_2013 (with respect to the importance of the role of the media in informing the population)</p>
3. Strategies employed encourage a focus on prevention and emphasis on 'pre-disaster activities'	<p>COM_2011_proposal-decision-CPMechanism_en (Within 1. "Context of the Proposal", p.2) and (Preamble clause 6, p.10) and (Under Article 3 "Specific objectives", clause 1, p.16)(referring to connection between a 'culture of prevention' to the prevention and reducing of disaster impacts.)</p> <p>Hyogo-framework-for-action-english (Under III. "Priorities for action 2005-2015", under A. "General considerations", clause (i), p.4)(referring to good return on investment for prevention) (and referring to "culture of prevention" and cost effectiveness of prevention focus compared to response and recovery, includes early warning systems and assessment) and ((Under B. "Priorities for action", within section 4. "Reducing the underlying risk factors", within (ii) "Social and economic development practices", p.11) (referring especially to private sector and early warning and assessment systems) (and referring to 'pre-disaster activities')</p> <p>Transcript I-1_Alessandro Oman_Mayor Malborghetto 15_04_2013 (with respect to need for more visibility of prevention, and a need for a 'culture of prevention')</p>
4. Strategies pursue solutions that take into consideration the characteristics, needs, and priorities of the local level (esp. of high risk areas)	<p>Flood Risk Management Directive(Preamble clause 13, p.28) (referring to characteristics, needs and priorities of areas covered by management plans) and (Preamble clause 10, p.28)</p> <p>Hyogo-framework-for-action-english(Under B. "Priorities for action", within section 3. "Use knowledge, innovation and education to build a culture of safety and resilience at all levels", clause (i) "Information management and exchange", p.9) (referring to need for strategies to consider social and cultural characteristics and pay special attention to citizens in high risk areas)</p>
5. Citizens take self-initiated actions to protect themselves (e.g. insurance) <b>(INTEGRATED INTO REVISED #2)</b>	<p>Hyogo-framework-for-action-english(Under B. "Priorities for action", within section 3. "Use knowledge, innovation and education to build a culture of safety and resilience at all levels", clause (i) "Information management and exchange", p.9)</p>
6. Strategies attempt to balance response, prevention, and preparedness <b>(INTEGRATED INTO REVISED #4)</b>	<p>COM_2010_600_European_disaster_response_en (Within 3. "Guiding Principles", p.6) (referring to prevention and preparedness as 'cornerstones' of EU disaster management strategies)</p> <p>White Paper_ Towards a harmonized EU civil protection (within Recommendation 3 "Enhance regional cooperation for sharing best practices, interoperability of procedures and increased solidarity", p.13) (referring to common 'culture of preparedness' across the EU)</p>
7. Desire and intention to encourage consultation and dialogue <b>(MOVED AND</b>	<p>White Paper on European Governance (Under III. "Proposals for Change", within 3.1 "Better involvement", p.16)(referring to a need for a "culture of consultation and dialogue" throughout Europe, particularly addressing all European Institutions)</p>

INTEGRATED INTO  
PARTICIPATION #1)