

Final Report

to the

German Technical Cooperation (GTZ)

Assessment of Disaster Risk Management (DRM) Guidelines and Tools

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Table of Contents

Executive Summary	ii
Rationale for the Project	1
1 Inventory of DRM Instruments: Collection and Selection Process	2
1.1 Collecting DRM Instruments.....	2
1.2 Selecting DRM Instruments for Assessment at the Workshop.....	3
2 Criteria for the Assessment of DRM Instruments.....	3
3 DRM Instruments Assessment Workshop: Goals, Methodology and Activities	4
3.1 Goals	4
3.2 Approach and Methodology	4
4 DRM Instruments Assessment Workshop: Outcomes and Conclusions	6
4.1 Examples of Usable Instruments.....	6
4.2 General Characteristics of Highly Usable DRM Instruments.....	7
5 Strategies for Ensuring the Broader Application of DRM Instruments by Local Governments	10
6 A Program to Build Resilience Among Local Governments	13
6.1 Description of Proposed Program	13
6.2 Proposed Projects.....	15
7 Conclusions	15

Executive Summary

Because of global environmental and socio-economic processes such as rapid urban and demographic growth, climate change, and the expansion of economic opportunities, cities and communities around the world are increasingly at risk of experiencing natural, industrial or social disasters. Citizens and decision-makers at the local level have traditionally been the first responders in times of crisis. This continuously changing nature of disaster risk not only challenges local government decision makers and their staff, but also has the potential to threaten sustainable urban development.

This project focused on examining the usability of disaster risk management (DRM) instruments¹ for local governments in order to provide suggestions for a consolidation of DRM instruments and strategies for ensuring their broader application. ICLEI conducted an inventory of existing instruments for DRM and for building resilience and then assessed the usability by local governments of selected instruments at a workshop involving authors/creators of DRM instruments, local government representatives, and technical experts.

During the two-and-a-half-day workshop participants assessed 21 DRM instruments selected by ICLEI from among the local and community-level instruments collected through an extensive research process.

Workshop participants found that usable DRM instruments include an explicit rationale for DRM, a clear definition of the target groups(s), clear language and structure, guidance for engaging the community in DRM, address training and capacity-building needs, institutionalize monitoring and evaluation, and annotated references and web links.

As well, a series of strategies for ensuring the broader application of DRM instruments by local governments was developed. These strategies include: advocating and raising awareness in international decision-making; assessing local governments' specific DRM needs; adapting existing DRM instruments to specific contexts and needs; strengthening DRM training and capacity-building for local governments; and establishing monitoring and evaluation systems for DRM at the local government level.

¹ Prior to the workshop, ICLEI used 'DRM tool' as a general term to refer to working aids such as guidelines, policies, procedures, manuals, and handbooks that are used to apply DRM instruments. During the workshop, participants agreed that it would be more precise instead to use the overarching term 'DRM instrument' when referring to such systems, policies, procedures and tools. For more information, please see Appendix 5.

Finally, an outline of ICLEI's proposed program to build resilience to disasters among local governments is presented. The plan includes a three-tier approach: a step-by-step process methodology specifically focused at local governments' needs; training and capacity-building of local government staff; and a networking forum for exchanging expertise and experience among local governments and DRM professionals. This approach was supported and encouraged by the participants at the workshop.

Rationale for the Project

From 1999 to 2003, an average of 300 million people per year were affected by disasters, primarily natural disasters. Disasters can severely affect people's individual health and lead to economic hardship for the people directly affected as well as for local, regional and national economies.

Increasing disaster risks particularly challenge actors at the local government and community levels. Through action at the local level, the exposure of people to disasters can be reduced and communities can become more resilient to the impact of disasters. ICLEI's Resilient Communities & Cities (RC&C) Initiative is aimed at mainstreaming disaster resilience into the planning and decision-making processes of local governments. For almost 15 years ICLEI has initiated and supported the Local Agenda 21 global movement, and it is with this background that it is promoting participatory municipal resilience planning and management.

ICLEI's aim is for local governments to work jointly with their local communities and stakeholders to develop and implement Local Resilience Agendas. In this way, communities will be able to reduce their vulnerability to extreme events and anticipate and respond creatively to economic, social, and environmental change in order to increase their long-term sustainability.

As ICLEI's resilience-building work has shown, a large number of instruments (guidelines, policies, procedures and instruments)² for disaster risk management (DRM) exist, but experience suggests that most of them are not known to, nor used by, practitioners at the local level. This project therefore focused on examining the usability of DRM instruments for local governments in order to provide suggestions for a consolidation of DRM instruments and a strategy for ensuring their broader application.

The project included an inventory of existing instruments for DRM and resilience building followed by an assessment of the usability of selected instruments by local governments at a workshop with the participation of authors/creators of DRM instruments, local government representatives and technical experts.

² Prior to the workshop, ICLEI used 'DRM tool' as a general term to refer to working aids such as guidelines, policies, procedures, manuals, and handbooks that are used to apply DRM instruments. During the workshop, participants agreed that it would be more precise to use the overarching term 'DRM instrument' when referring to such systems, policies, procedures and tools. For more information, please see Appendix 5.

1 Inventory of DRM Instruments: Collection and Selection Process

1.1 Collecting DRM Instruments

The first task of the project was to create an inventory of instruments for DRM and local resilience management. ICLEI began by gathering DRM instruments from different sources that appeared to be focused at the 'local' or 'community' level (as opposed to national or regional levels). This stock-taking process was carried out through multi-level investigations as follows:

- web-based research of DRM instruments, including all major international and non-governmental organizations working in the areas of disaster management, disaster prevention, disaster response, emergency aid and resilience building. Instruments available through online collections such as those provided by the ProVention Consortium and UN-HABITAT held particular interest;
- research at the library of the UN-ISDR Inter-Agency Secretariat in Geneva and photocopying of relevant DRM instruments;
- recording examples of DRM and resilience building presented at the International Disaster Reduction Conference (IDRC) in Davos, Switzerland (2006), and at the World Urban Forum 3 (June 2006);
- consulting publications from ICLEI's own collection.

The process resulted in a **preliminary collection of approximately 60 DRM instruments** available as hardcopy documents, electronic documents, or as CD-ROMs. Due to the scope of the exercise and resources, only publications available in English were considered for the inventory.

The instruments were individually examined to confirm their relevance to the project and to ensure that they were applicable to the local government and/or the community levels. A further screening criterion was that each instrument needed to have been implemented at least once in a local government context. During the screening process some collected documents emerged as merely descriptive summaries and therefore of low relevance to this project. Eighteen instruments were removed from the collection as unsuitable for the project so there was a final **inventory of 42 DRM instruments** for use at the local government level.

1.2 Selecting DRM Instruments for Assessment at the Workshop

The 42 instruments were entered into a matrix listing information about each instrument, including its creator, year of publication, type of instrument, implementation scale of the instrument, its intended audience, geographical focus, content, the type of disasters covered, any case studies or practical application of the instrument, and whether any support was provided to users by the creators of the instrument (see Appendix 7).

Since it would be too time-consuming to assess all 42 instruments at the workshop, a further step in pre-selecting instruments had to precede the workshop assessment exercise. Therefore, the 42 instruments entered in the instruments matrix were screened according to three key selection criteria determined by ICLEI. The three criteria were:

- scale of the instrument: focused at the local or community level;
- case study: the instrument has been applied in at least one case;
- the instrument's intended audience: ideally geared at local government decision-makers or alternatively, local government implementers (i.e. technical staff)

The screening resulted in 21 instruments being selected for assessment (see Appendix 7).

2 Criteria for the Assessment of DRM Instruments

Prior to the workshop, ICLEI developed 18 draft assessment criteria to be used to assess the usability of the 21 selected instruments. These draft criteria were sent to workshop participants for comment prior to the workshop. In a plenary session at the beginning of the workshop (see section 3.2 below), the participants then discussed the proposed assessment criteria and agreed on a number of changes. The final list of assessment criteria that was then used during group assessment panels is the following:

Scope of the Instrument (goals, target)

1. The goal of the instrument is clearly described
2. Future actions are recommended
3. Indication that instrument reaches its goals (possibility of evaluation, mention of past successful application of instrument, etc.)
4. Target group is clearly identified
5. The instrument is adaptable to specific circumstances (e.g. cities and rural areas, developing and developed countries, etc.)
6. Information is relevant to target group and “adds value” (ie. provides new and useful information)
7. Instrument raises awareness of issues covered
8. Instrument's approach and/or philosophy are sound

9. The instrument is “durable” (a classic document that remains relevant over time)

Implementation Support

10. Provision of clear instructions for use
11. Instrument addresses resources needed for implementation (staff capacity, financial resources, management structure, etc).
12. User support provided (from issuing or other organization; includes instruction guidance notes, technical support, training courses)

Practical Illustrations

13. Includes descriptive illustrations and examples that target group can relate to
14. Includes document templates (e.g. sample checklists, worksheets, etc.)
15. Includes case examples/ case studies

Visual Appearance and Organization

16. Overall attractive appearance
17. Information is well-written, and easily accessible to target group
18. Use of graphics, text boxes
19. Clear and understandable structure
20. Short, concise chapters/sections
21. Instrument can be obtained easily (eg. website download, by post, etc.)

3 DRM Instruments Assessment Workshop: Goals, Methodology and Activities

3.1 Goals

The overall objective of the workshop was to bring together technical experts and local government implementers of DRM for the purpose of assessing selected DRM instruments for usability by local governments.

As part of this objective, the workshop methodology aimed not only at a qualitative assessment of the pre-selected instruments, but also at scanning these for particular characteristics that are vital for their usability, i.e. to highlight those aspects in each instrument that are of particular value to local government implementers.

Beyond the goal of assessing DRM instruments, it was also anticipated that the mix of participants from different professional backgrounds (local government, academia, international organizations) would lead to fruitful discussions with regard to developing strategies for the consolidation of existing instruments and for increasing their use among local governments.

3.2 Approach and Methodology

The overall approach of the workshop was interactive and participatory. The assessment of DRM instruments formed the core element, focusing on a qualitative evaluation of the

usability of the selected instruments from the perspective of the workshop participants, rather than a quantitative assessment.

Workshop participants included four representatives of local government:

- A Program Leader from the Bushfire & Emergency Management section of Blue Mountains City Council, Australia
- The Head of the Social Welfare Department of Makati City, the Philippines
- A Manager of one of the Disaster Risk Management Centres in Cape Town, South Africa
- The Chief Information Officer for the City of Sao Paulo, Brazil

Additionally, six “technical” experts in DRM participated in the workshop:

- The Acting Head of the ProVention Consortium (Geneva, Switzerland)
- The Chairman of the Board of the Earthquakes and Megacities Initiative (Kobe, Japan)
- A Disaster Management Specialist from UN-HABITAT (Geneva, Switzerland)
- The Global Risk Identification Programme Coordinator at UNDP (Geneva, Switzerland)
- An independent consultant and researcher (Ohio, U.S.A.)
- A Senior Advisor at the UN Inter-Agency Secretariat of the International Strategy for Disaster Reduction (Geneva, Switzerland)

As well, two representatives of GTZ’s Disaster Risk Management in Development Cooperation sector project were in attendance. Four ICLEI staff facilitated the workshop. A list of participants can be found in Appendix 4.

The core of the workshop was the **group assessments** of DRM instruments for usability by local governments. Overall, six group assessment panels were held. Each panel consisted of four to six participants, so that two panels could be held in parallel. During each group panel, four to five DRM instruments were presented and evaluated. The instruments were grouped according to four different areas of focus:

- Risk Assessment (Group Panels A and B),

- Disaster Reduction, Prevention and Preparedness (Group Panels C and D)
- Education and Capacity-Building (Group Panel E)
- Comprehensive Instruments (Group Panel F)

Prior to the workshop, each participant had reviewed and familiarized himself/herself with two or three instruments assigned by ICLEI staff. During the group panels, the designated participant provided a brief summary of each instrument. The summaries were followed by a group discussion, which considered the various assessments. ICLEI staff recorded the group's assessment against the criteria. The assessment procedure took 20-30 minutes for each instrument. Later each group related its assessments in a plenary session followed by wider discussion.

A detailed workshop programme can be found in Appendix 1.

4 DRM Instruments Assessment Workshop: Outcomes and Conclusions

4.1 Examples of Usable Instruments

The assessments of the instruments are summarized in a matrix in Appendix 8. While all of the instruments selected met several assessment criteria, some examples of usable instruments assessed at the workshop are listed in Table 1 below.

Table 1: Examples of Usable DRM Instruments for Local Governments

Name of Instrument	Outstanding Characteristics
RADIUS (Risk Assessment Instruments for Diagnosis of Urban Areas Against Seismic Disasters)	<ul style="list-style-type: none"> • Very user-friendly, simple-to-use • Very good example of a simple and easily accessible software application for DRM
Developing the Mitigation Plan-Identifying Mitigation Actions and Implementation Strategies (FEMA)	<ul style="list-style-type: none"> • Excellent reference document • Well-structured with good flow of process described
Building Support for Mitigation Planning (FEMA)	<ul style="list-style-type: none"> • Very clear instructions, • Mentions institutional and human resources needed for implementation • Easy to understand • Extremely good structure
Multi-Jurisdictional Mitigation Planning (FEMA)	<ul style="list-style-type: none"> • Clear instructions • Enriching illustrations and examples • Provides a true incentive to encourage multi-jurisdictional cooperation in DRM
Bringing the Plan to Life-Implementing the Hazard	<ul style="list-style-type: none"> • Process is good (includes monitoring & evaluation steps), pragmatic (addresses

Mitigation Plan (FEMA)	question of why should we bother with DRM?) <ul style="list-style-type: none"> • Colorful • Very clear
Planning for a Sustainable Future: The Link Between Mitigation and Livability (FEMA)	<ul style="list-style-type: none"> • Addresses often-forgotten issues in DRM • Short, concise chapters
Preparing for Disaster: A Community-Based Approach (Danish Red Cross)	<ul style="list-style-type: none"> • Clear step-by-step model (although rather a report than an instrument) • Includes discussion of risks and limitations, which is often missing in instruments • Fair, balanced provision of information

As local government experts pointed out, many of the existing DRM instruments were found to be too scientific in their approach and presentation, and often too lengthy and thus impractical for use and application in the day-to-day work of municipal planners and implementers.

4.2 General Characteristics of Highly Usable DRM Instruments

Apart from the characteristics of usability pertaining to DRM instruments assessed in the workshop, a number of issues emerged during the group panels and the plenary discussions that pointed to more general strengths and weaknesses of DRM instruments as well as to the particular needs of local governments with regard to DRM instruments.

- **Explicit Rationale for DRM**

Workshop participants pointed out that it is crucial to the success of DRM at the local government level to address why DRM would be beneficial to the municipality. This point needs to be understood jointly by with policy-makers and technical staff. As was discussed in the workshop, policy-makers in particular tend to underestimate the political benefit resulting from building safer and more resilient communities. Also, a detailed disaster risk analysis as part of a comprehensive DRM process is likely to raise awareness of the economic benefits of preventative DRM action. A usable DRM instrument also needs to state the benefits of DRM clearly for local governments, incorporate guidance on how to address these issues systematically, and raise awareness for DRM at the local government level.

- **Clear Definition of Target Group(s)**

Many instruments are directed towards a broad and often largely undefined target group. This was considered problematic in the light of the different needs of DRM actors within local government, which can range from high-level decision-makers (such as mayors and councilors), to departmental heads and technical staff. Therefore, it is essential for

an instrument to be specifically targeted to particular groups and use appropriate language, depth of content, and applicable guidelines for action. Workshop participants proposed that an instrument could ideally consist of several volumes, each of them focusing on a specific target group (e.g. one volume for policy-makers, one for technical planners, etc.), while remaining consistent with regard to approach and content. Such an instrument need not be lengthy – on the contrary, workshop participants stated that documents for policy-makers need to be concise and more general in order for the content to be useful for its intended audience.

- **Clear Language and Structure**

Clarity of language, conciseness, and in particular a clear structure would greatly enhance the usability of an instrument. The local government experts present frequently mentioned the importance of targeting language, structure and the presentation of complex content towards the intended audience. Apart from increasing the comprehension of complex content through the use of graphics and color, workshop participants also encouraged the use of concise ‘check-lists’, which can act as a quick reference for key points.

As mentioned above, several of the instruments were written and structured in a technical way, with long passages of text, sparse use of graphics, and expressed in academic language. Language, the extent of technical terminology used, and the structure of the instrument need to directly reflect the specific technical and non-technical DRM needs as well as the level of expertise of the target audience.

- **Guidance for Engaging the Community in DRM**

Community participation needs to precede any technical implementation and is often overlooked in existing DRM instruments. Both the technical and local government experts present noted that raising community awareness and support for a comprehensive approach to DRM is key to sustaining DRM efforts. Outlining a proactive process of how to engage the citizenry in DRM needs to address questions of local government staff capacities, their expertise in communicating directly with communities and in fostering the use of participatory planning methods.

- **Addresses Training and Capacity-Building Needs**

Training and capacity-building is another frequently neglected but highly important issue for implementing DRM strategies, particularly from the perspective of local government experts. While many instruments do not address this point at all, others do provide a basic structure for training municipal technical staff in using the instrument. Organizations that develop DRM instruments also need to provide training and support

capacity-building that specifically addresses the needs of local government staff. Such commitments need to extend beyond instructions for a step-by-step DRM implementation process, and will likely address issues within existing organizational structures and communication mechanisms. Systematic training and capacity-building efforts equally need to address questions of the often frequent staff turnover in local government settings.

- **Institutionalizes Monitoring and Evaluation**

The institutionalization of an ongoing monitoring scheme was considered to be an essential part of any comprehensive DRM strategy. Many instruments ignored or at least minimized ongoing monitoring and technical follow-up after a DRM instrument has been implemented. Based on their own working experience in the field of DRM, workshop participants expressed concerns about the sustainability of DRM measures that do not provide for monitoring. This is particularly problematic once initial project funding for DRM has come to an end or when the overall funding situation changes because of changes in the local administration. Achievements in DRM need to be evaluated independently upon completion, and ongoing DRM initiatives are needed to maintain sound disaster preparedness within the municipal administration and among the population at large. Such monitoring would also have to address the question of staff changes.

- **Annotated References and Web Links**

Additional resources and web links that point to useful information, case studies etc. were considered to be important attributes of useful DRM instruments. However, workshop participants noted that these references often were not so user-friendly. For example,

- the source of some hardcopy references indicated in documents was not always provided;
- web links provided were often out of date or only pointed to a general web site of the authoring organization;
- web sites and referenced electronic documents were too large for access by slower internet connections;
- personal e-mail addresses listed in publications were no longer active.

Therefore, it was suggested that reference lists, and web links in particular, should be annotated, with a short summary of the content of the reference and (at the very least)

information about obtaining the document from given sources. Meaningful web links need to include access dates and be updated in later editions. Important reference documents also may be included as an annex to the instrument.

5 Strategies for Ensuring the Broader Application of DRM Instruments by Local Governments

These positive characteristics of DRM instruments point directly to strategies for increasing the successful and sustained use of DRM instruments by local governments. The following is a summary of strategic suggestions made during the workshop:

Strategic Recommendation 1:

Advocate and Raise Awareness in International Decision-Making

Technical experts and local government participants agreed that local governments are frequently under-represented and therefore not sufficiently engaged in international deliberations on DRM. The *Hyogo Framework for Action 2005-2015* (adopted during the 2005 World Conference on Disaster Reduction in Kobe, Japan) outlines national and sub-national responsibilities for risk reduction including five priorities for action to build the resilience of nations and communities to disasters. Several of these priorities (particularly number four: reduce the underlying risk factors through land use planning and other technical measures) could be met through the active engagement of local governments. It is therefore crucial for international DRM actors (UN organizations and programs, international non-governmental organizations, researchers) to raise awareness about the still largely dormant potential for increasing local government involvement in DRM. Such a process would also need to give local government representatives a stronger voice on international platforms to facilitate dialogue between the creators of DRM instruments and users. Workshop participants suggested that organizations like ICLEI should increase their own efforts to represent local governments' DRM needs and aspirations in international decision-making fora.

Strategic Recommendation 2:

Assess Local Governments' Specific DRM Needs

During the workshop local government representatives frequently stated that many of the DRM instruments currently available do not sufficiently address the specific institutional needs of local governments. Among the many issues raised in this context were:

- difficulties obtaining political commitment within local governments which may threaten the sustainability of DRM efforts,
- the often limited availability of resources (time, human, and financial) which inhibits risk analysis and implementation,
- organizational structures frequently appear ill-prepared for pursuing a more systematic DRM process, including prevailing uncertainties about which department(s) should be entrusted with the various levels or types of responsibility involved.

If DRM instruments are to be applied more frequently and more widely, researchers, developers of DRM instruments, and other organizations engaged in DRM need to invest more time and effort in assessing and understanding the DRM needs of local government structures and processes, which often differ considerably from those at higher administrative levels.

Strategic Recommendation 3:

Adapt Existing DRM Instruments to Specific Contexts and Needs

Once local governments are convinced of the need to focus on DRM, existing strategies and instruments for engaging local governments in DRM need to address more specifically their needs. This includes not only the organizational and procedural differences mentioned above, but also includes

- adapting instruments for a particular geographically and socially defined group of disaster risks, and
- relating those instruments to culturally appropriate means of addressing those risks.

During the workshop, the relative suitability and adaptability of the DRM instruments was frequently discussed. While many instruments were found to be adaptable to different risk scenarios and cultural contexts, a latent issue was whether local governments have

the competence or expertise to adapt the instruments to their respective situations. This issue may arise as they may be embarking newly on DRM and be lacking technical expertise. A strategic suggestion for broadening the use of DRM instruments is for DRM service providers (potentially such as ICLEI) to assist local government staff with the adaptation of existing DRM tools to the local context and thus to enable DRM to become engaged with a high level of effectiveness from the beginning.

Strategic Recommendation 4:

Strengthen DRM Training and Capacity-Building for Local Governments

DRM efforts at the local government level need to be complemented by sustained training and capacity-building that creates and maintains a body of organizational knowledge on DRM. This continuous process empowers local governments to tackle specific local disaster risks directly, using locally-applied instruments and processes. Different models for such training were mentioned during the workshop, including the potential utility of distance-learning for local governments' DRM experts.

Training would be required in all phases of a DRM process: from the initial basic understanding of a community's leadership and public's exposure to disaster risks, and their related responsibilities, in conducting risk assessments, and then developing the most feasible and locally appropriate risk reduction measures, etc.

Strategic Recommendation 5:

Establish Monitoring and Evaluation Systems for DRM at Local Government Level

Ongoing training and capacity-building go hand-in-hand with the need to set up a monitoring system following the implementation of a process outlined in a DRM instrument. The financial sustainability of DRM tools was a crucial issue raised by workshop participants. When project funding ends, there is often little or no financial provision for monitoring the effectiveness of DRM systems. Apart from technical maintenance, which can incur major costs, ongoing user support and external evaluation of DRM systems is often also very limited among local government users. Yet ongoing monitoring is crucial in order to ensure that disaster risk reduction initiatives are being implemented as planned and are accomplishing their intended purpose. Therefore, local governments need to take budgetary restrictions into account to maintain a sustainable DRM effort and seek continuous internal or external funding.

Overall, the view of the local government participants was that prior to implementing a usable DRM instrument, it is critical for them to ensure their own ownership, political commitment and a certain amount of technical understanding at the highest local government decision-making level. In this respect, it is important that the local government decision-makers and policy-makers most immediately concerned are directly included in the implementation of a particular DRM instrument. They need to fully support the efforts and endorse necessary supporting measures at higher levels whenever necessary. If this is not the case, technical planning staff often find their efforts to be inefficient and ultimately unsustainable. For this reason, each instrument should include a brief, non-technical summary especially provided for the key decision-maker(s) that can explain the suggested DRM approach, the main steps involved, and mid- to long-term resources (financial, human, organizational) required. In doing so, it is very important to relate any related costs to the much greater values that are to be protected.

6 A Program to Build Resilience Among Local Governments

6.1 Description of Proposed Program

During the workshop ICLEI described its ideas for a program to build resilience among local governments: a performance-oriented program for local governments to join that incorporates the use of usable DRM instruments and includes training and capacity-building components. This approach was welcomed and encouraged by workshop participants, who offered ICLEI additional suggestions on program design.

Over the next five years ICLEI aims to build its Resilient Communities & Cities (RC&C) Initiative as a program that provides value to local governments worldwide. Building on previous consultations as well as the DRM instruments assessment workshop, ICLEI plans to provide cities and communities with a holistic approach that incorporates DRM into a broader strategy to build resilience at the local government level through the development and implementation of Local Resilience Agendas.

ICLEI envisages a three-tiered Resilient Communities & Cities program strategy that involves the provision of: a step-by-step **process methodology** for DRM and resilience-building specifically geared to local governments' needs. This will be provided to municipalities as a hardcopy document. It will include **training and capacity-building** of local government staff as an integrated process and be based on individual training modules in accordance with the steps of the process methodology. In a wider supporting context, efforts will be pursued to maintain an expanding **networking forum** for

exchanging expertise and experiences related to the overall RC&C Initiative among local governments and DRM professionals.

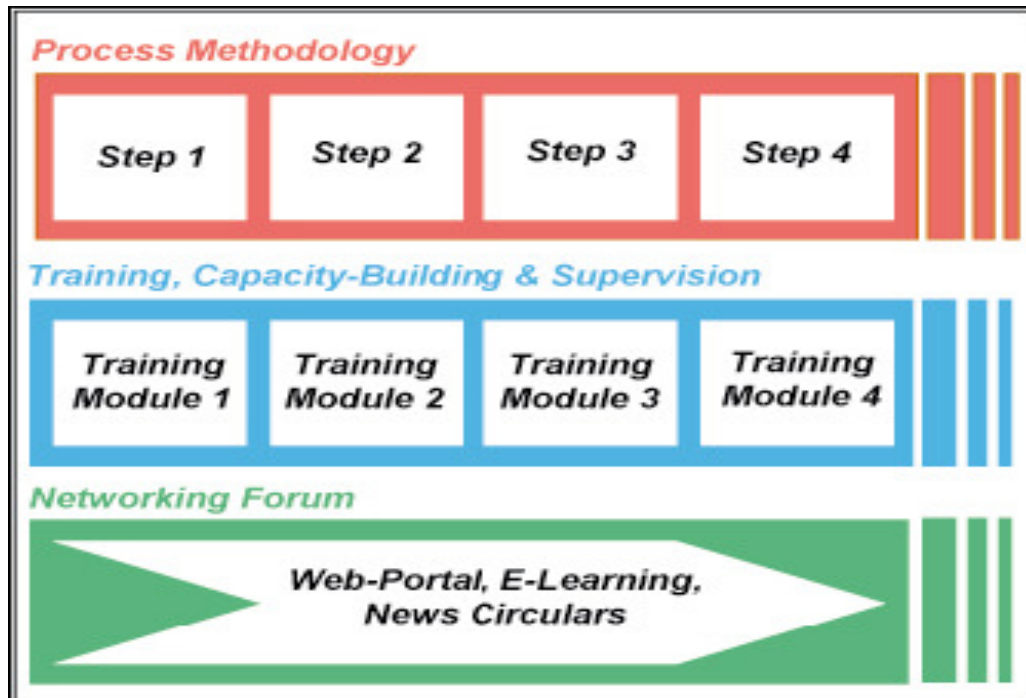
The process methodology will draw heavily on existing DRM instruments and synthesize their strengths into a comprehensive approach to DRM and resilience building (Local Resilience Agendas) specifically tailored for implementation by local government policy-makers and planners.

The training modules will be designed by ICLEI's International Training Centre using an array of current approaches to professional capacity development, including distance-learning and remote supervision. For each step, a specific training module will be available for local government staff.

The networking forum will be hosted and maintained by the ICLEI World Secretariat. It will be web-based and issue regular news circulars, which will contribute to familiarizing local government staff with the aims, components, outcomes and latest innovations surrounding the RC&C program. In the course of information exchange, it will link program participants with relevant partner organizations.

ICLEI anticipates initiating the program with a small number of cities and communities selected from among its members through a consultative process. During the pilot phase, the RC&C program approach will be verified and adapted to specific needs and different local contexts. This phase will also give ICLEI the opportunity to develop its organizational knowledge and staff capacity further with the aim of offering participation to all of its 500+ Member municipalities.

The diagram below illustrates ICLEI's proposed three-tier RC&C strategy, where the provision of a resilience-building methodology is complemented by training, capacity-building and proactive networking and exchange.



6.2 Proposed Projects

Several workshop participants emphasized the importance of an initial “Step Zero” designed to convince local government decision-makers of the importance of engaging in resilience-building by highlighting their *own* appreciation of their community’s risks and their corresponding interests and related responsibilities as local leaders. In ICLEI’s experience, in order to convince a local government of the need to take action on a particular issue, it is necessary to show decision-makers how their community is being affected by the issue, and then to provide them with the capacities so that they can act to improve the situation. Therefore, ICLEI proposes to identify and systematically document **case studies of best practices** implemented by municipalities to increase their resilience. These case studies would help decision-makers understand and visualize examples by which other municipalities have increased their understanding and resilience to disasters. While there are numerous case studies on disaster risk reduction, there are few documented initiatives undertaken specifically by local government. Such cases could be presented at conferences and also included in ICLEI’s case study series, which is distributed to all Members.

7 Conclusions

ICLEI’s research into disaster risk management instruments focused at the local or community level has revealed that while many instruments exist, few actually address the needs of local government decision-makers or staff. Several local government

representatives at the workshop were aware of some of the instruments selected for assessment prior to attending the workshop, but they had not generally used the instruments in their daily work. When DRM instruments are not specifically targeted to a local government audience, nor particularly suited for local government policy-makers and implementers, they are not likely to be used.

At the instrument assessment workshop participants identified a list of characteristics of usable DRM instruments for local governments and identified several instruments that possess many of these characteristics.

But as the local government representatives at the workshop pointed out, it is not merely a question of developing a DRM instrument that is “local government-friendly.” Rather, the effective incorporation of DRM into local governments’ policies and processes requires training and capacity-building as well as a strategy for engaging local government decision-makers (such as mayors and councilors) in DRM.

Based on discussions during the workshop ICLEI identified five strategic recommendations for ensuring the broader application of DRM instruments at the local level. ICLEI will continue to take action to support local governments in their efforts to increase their resilience and therefore create sustainable communities.

Assessment of DRM Guidelines and Tools

APPENDICES

1. Workshop Programme
2. Initial List of Assessment Criteria
3. Final List of Assessment Criteria
4. List of Participants
5. Definitions
6. Screen shot of ICLEI home page with article about workshop, full text of article with photos
7. Matrix of DRM Instruments
8. Matrix of Assessments of DRM Instruments

Assessment of DRM Guidelines and Tools for Usability by Local Governments

Workshop, 21- 23 January 2007, Freiburg (Germany)

Programme

Purpose of the Workshop

- Evaluate existing selected disaster risk management (DRM) tools* via a set of criteria (*For this workshop the term “tool” is used generally to describe policy instruments such as guides, manuals, handbooks, guidelines, checklists, etc.);
- Assess the usability (and as far as possible the availability) of these tools by local governments;
- Identify reasons for the non-application or limited application of existing tools;
- Derive from this analysis functional specifications and recommendations for the design of a consolidated set of tools (policies/procedures/instruments), which allows local governments to systematically assess and reduce their risks and to increase their resilience.

Expected Results of the Workshop

- Final set of criteria for assessing the usability of DRM tools by local governments
- Final list of DRM tools assessed for their usability for local governments by workshop participants
- List of reasons identified for the non-application or limited application of existing tools
- List of reasons why tools are usable and
- List of positive examples of usable tools
- List of specific characteristics/ specifications of usable DRM tools for local governments
- List of suggestions for a consolidation of DRM guidelines, policies, procedures, systems, instruments, tools; recommendations for further developing tool(s), including statements on integration or specifications recommended
- Proposal for a strategy to ensure usable tools' broader application

Expected Outputs of the Workshop

- Report to GTZ and to the workshop participants/ experts
- Potentially: Final Statement of Participants (recommendations)
- Summary publication (2-4 pages) also to be used by experts
- Full documentation of the workshop for the team

Sunday, 21 January 2007

8.00 Breakfast at Katholische Akademie

11.00 Group walk through the city

Meet in the foyer of the Katholische Akademie for a leisurely walk through Freiburg's old town.

12.30 Lunch

The walk through the old town will finish at Heiliggeist-Stüble, Münsterplatz 15, where we will have lunch.

14.30 Workshop Opening

Welcome

Konrad Otto-Zimmermann, Secretary General, ICLEI World Secretariat

Dr Michael Siebert, German Technical Cooperation (GTZ), Eschborn, Germany

Self-Introduction of Participants

Participants introduce themselves (max. 6 minutes per person). They are free to cover any of the following aspects:

- current and past working fields
- special tasks of their organisation/department
- disaster risk management challenges facing local government
- interest in issue of disaster risk management and interest in joining the workshop
- background material brought to the workshop
- expectations of the workshop

16.00 Coffee break

16.30 Project and Tools Assessment Process

Introduction to ICLEI's Resilient Communities & Cities Initiative (30 min)

Konrad Otto-Zimmermann, Secretary General, ICLEI World Secretariat

Introductory thesis on local governments' problems and needs in relation to DRM (5 min each)

- Marjorie De Veyra, Department Head, Makati Social Services Department, Makati City, Philippines
- Alan Holley, Local Emergency Management Officer, Blue Mountains, Australia
- Newton Freire Filho, Director of the Information Systems Department of the Sub-Mayor Coordination Secretariat, Sao Paulo, Brazil
- Enock Kopele, Area Manager: Central, Disaster Risk Management Centre, City of Cape Town, South Africa

Confirmation of the Tool Assessment Process (30 min)

Based on the documents shared with participants prior to the workshop, the participants comment on the following:

- **Draft list of tools** to be assessed during the workshop
(see attached document: "Annex 2: Tool Inventory Matrix" as of 12 January 2007)
Outcome: Final list of tools to be assessed during the workshop
- **Draft criteria for assessing the usability of DRM tools** by local governments to be used during the workshop (see attached document "Annex 3: Draft Assessment Criteria" as of 12 January 2007)

Outcome: Final list of criteria to be used during the workshop

- **Methodology for the workshop**

Outcome: Agreement on procedure, scoring system and expected outcomes for the coming days

18.00 Presentation of DRM Web Portals

Presentation: ProVention's Community Risk Assessment Tool Kit (10 min)

- Dr. Ben Wisner, Oberlin College / ProVention Consortium, Oberlin, USA
- Dr. Bruno Haghebaert, Acting Head, ProVention Consortium, Geneva

Presentation: UN-Habitat's Disaster Risk Assessment Portal (10 min)

Esteban León, Disaster Management Specialist, UN-Habitat, Geneva

19.30 Dinner

Meet at the door of the Katholische Akademie for a short walk to the restaurant 'Kleiner Meyerhof', Rathausgasse 27, for a group dinner in town.

Monday, 22 January 2007

8.00 Breakfast at Katholische Akademie

9.00 Introduction to Today's Workshop Programme

Konrad Otto-Zimmermann, Secretary General, ICLEI World Secretariat

9.10 Assessment of DRM Tool - Session 1

Selected participants present one tool to their group (see our proposal for presenters in brackets below. Numbers refer to Annex 2 "Tools Inventory Matrix"). The participants then evaluate each tool in their groups, using the agreed assessment criteria.

Group A Risk Assessment Tools	Group B Risk Assessment Tools
<p>Assessment of the following tools:</p> <ul style="list-style-type: none">• No. 9: British Columbia HRVA Tool Kit (Carlos Villacís)• No. 17: FEMA: Understanding Your Risk-Identifying Hazards and Estimating Losses (Bruno Haghebaert)• No. 12: EMA's Emergency Risk Management Applications Guide (Newton Freire Filho)• No. 32: NOAA's Community Vulnerability Assessment Tool (Marjorie De Veyra)	<p>Assessment of the following tools:</p> <ul style="list-style-type: none">• No. 35: Central Asia Earthquake Safety Initiative Risk Reduction Framework (Alan Holley)• No. 13: EMA's Assessing Resilience and Vulnerability in the Context of Emergencies (Fouad Bendimerad)• No. 36: GESI Pilot Project (Enock Kopele)• No. 2: APELL's Hazard Identification and Evaluation in a Local Community (Ben Wisner)• No. 42: OCIPPEP's Community-Wide Vulnerability and Capacity Assessment (Esteban León)

Coffee break included

11.30 Plenary Presentation and Discussion of the Tools

Presentation and discussions of results, including questions, comments and further debate in the plenary.

From Group A

From Group B

12.30 Lunch at Katholische Akademie

13.30 Walk in the Black Forest

14.30 Assessment of DRM Tools – Session 2

Selected participants present one tool to their group (see our proposal for presenters in brackets below. Numbers refer to Annex 2 "Tools Inventory Matrix"). The participants then evaluate each tool in their groups, using the agreed assessment criteria.

Group C Disaster Reduction, Prevention, and Preparedness	Group D Disaster Reduction, Prevention, and Preparedness
Assessment of the following tools <ul style="list-style-type: none">No. 1: APELL Handbook (Marjorie De Veyra)No. 16: FEMA's Getting Started- Building Support for Mitigation Planning (Carlos Villacís)No. 15: FEMA's Developing the Mitigation Plan- Identifying Mitigation Actions and Implementation Strategies (Enock Kopele)	Assessment of the following tools <ul style="list-style-type: none">No. 22: FEMA's Bringing the Plan to Life- Implementing the Hazard Mitigation Plan (Fouad Bendimerad)No. 31: GTZ's Community-based Disaster Risk Management: Experience Gained in Central America (Bruno Haghebaert)No. 18: FEMA's Multi-Jurisdictional Mitigation Planning (Alan Holley)

Coffee break included

16.15 Plenary Presentation and Discussion of the Tools

Presentation and discussions of results, including questions, comments and further debate in the plenary.

From Group C

From Group D

17.15 Presentations on DRM Capacity-Building Programmes

Presentation: EMI's MEGA-Learn Portal, World Bank Institute's e-Learning Programme (10 min)

- Dr. Fouad Bendimerad, Chairman of the Board, EMI / Visiting Professor, Kobe University, Japan

Presentation: UNDP-GRIP's Capacity Development Programme (10 min)

- Dr. Carlos Villacís, GRIP Programme Coordinator, UNDP / BCPR, Geneva

Presentation: ISDR's 'Words into Action: Implementing the Hyogo Framework' (10 min)

- Terry Jeggle, Senior Advisor, UN-ISDR Secretariat, Geneva

19.00 Dinner

Meet at the door of the Katholische Akademie for a walk to the restaurant 'Harem', Gerberau 7c.

Tuesday, 23 January 2007

8.00 Breakfast at Katholische Akademie

9.00 Introduction to Today's Workshop Programme

Konrad Otto-Zimmermann, Secretary General, ICLEI World Secretariat

9.10 Assessment of DRM Tool - Session 3

Selected participants present one tool to their group (see our proposal for presenters in brackets below. Numbers refer to Annex 2 "Tools Inventory Matrix"). The participants then evaluate each tool in their groups, using the agreed assessment criteria.

Group E Education & Capacity-Building	Group F Comprehensive Tools
Assessment of the following tools <ul style="list-style-type: none">• No. 5: Crisis Management Procedure Trainer's Manual (Newton Freire Filho)• No. 7: Environmental Protection and Disaster Risk Reduction- A Community Leader's Guide (Ben Wisner)• No. 23: FEMA's Planning for a Sustainable Future: The Link Between Hazard Mitigation and Livability (Alan Holley)	Assessment of the following tools <ul style="list-style-type: none">• No. 3: RADIUS (Carlos Villacís)• No. 26: Sustainable Community Based Disaster Management Practices in Asia (Esteban León)• No. 33: Preparing for Disaster- A Community-Based Approach (Terry Jeggler)

Coffee break included

11.30 Plenary Presentation and Discussion of the Tools

Presentation and discussions of results, including questions, comments and further debate in the plenary.

From Group E

From Group F

12.30 Lunch at Katholische Akademie

14.00 Assessment Conclusions Plenary

Overall summary of the usability of the assessed tools by local governments introduced by Dr. Carlos Villacís, GRIP Programme Coordinator, UNDP / BCPR, Geneva

15.00 Coffee break

15.30 Concluding Plenary

Plenary discussion summarising final recommendations

- Barriers to the application of existing tools
- Ways to engage more local governments in DRM: What do local governments need?
- Ways to consolidate and improve existing tool set
- Recommendations for GTZ and ICLEI

16.45 Farewell

Konrad Otto-Zimmermann, Secretary General, ICLEI World Secretariat

18.00 Dinner

Meet at the door of the Katholische Akademie for a walk to the restaurant 'Schwarzwälder Hof', Herrenstrasse 43, for a final group dinner.

20.15 Drinks in Town

Join us for drinks at the 'Osteria', Grünwälderstrasse 2.

Workshop Location:

Katholische Akademie Freiburg
Wintererstraße 1
79104 Freiburg

Preparation Team at ICLEI:

Konrad Otto-Zimmermann, Secretary General
Kathleen Ryan, Project Assistant, Resilient Communities & Cities Initiative, ICLEI World Secretariat
Hartmut Fuenfgeld, Project Assistant, Resilient Communities & Cities Initiative, ICLEI World Secretariat
Monika Zimmermann, Director, ICLEI's International Training Centre

Questions? Contact:

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Resilient Communities & Cities Initiative

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Appendix 2

Assessment of DRM Guidelines and Tools for Usability by Local Governments

Workshop, 21- 23 January 2007, Freiburg (Germany)



Criteria for Assessing the Usability of Disaster Risk Management Tools by Local Governments

(draft as of 12 January 2007)

Evaluation criteria are needed to assess and compare the DRM tools. The scope of the assessment is the usability of the tools by local governments, specifically local government officials with a cross-departmental function (such as mayors, councilors, Chief Administrative Officers, heads of strategic planning departments, etc.).

Below is a draft list of evaluation criteria for the DRM tools that are proposed for the assessment of selected tools (see list in Annex 2) during the workshop.

The tools selected include manuals, handbooks, guides, reports, and guidelines.

Please review the draft criteria below and consider whether you think any should be deleted, added or further specified. Please send your comments to Kathleen Ryan via email (Kathleen.Ryan@iclei.org) by **Wednesday 17 January**.

Criteria for Assessing the Usability of Disaster Risk Management Tools for Local Governments

Content of the tools

1. The goal of the tool is clearly described
2. The target group is clearly identified
3. Framework conditions for the tool's use are described
4. The tool is adaptable to the local context (e.g. different types of disasters, various scales of local government)
5. Language is accessible (i.e. not overly technical)
6. Information is well-written, and easily accessible to target group (see above)
7. Information is relevant to target group and "adds value" (ie. provides new and useful information)
8. Includes descriptive illustrations and examples that target group can relate to
9. Includes document templates (e.g. sample checklists, worksheets, etc.)
10. Includes case examples/ case studies

Appearance, availability, user friendliness

11. Cover has visual appeal
12. Overall attractive appearance
13. Short, concise chapters/sections
14. Clear and understandable structure
15. Use of graphics, text boxes
16. Provision of clear instructions for use
17. Existence of user support mechanism from issuing organization (eg. instruction guidance notes, technical support, training courses)
18. Tool can be obtained easily (eg. website download, by post, etc.)

Appendix 3

Assessment of DRM Guidelines and Tools for Usability by Local Governments

Workshop, 21- 23 January 2007, Freiburg (Germany)



Updated Criteria for Assessing the Usability of Disaster Risk Management Tools by Local Governments

Evaluation criteria are needed to assess and compare the DRM tools. The scope of the assessment is the usability of the tools by local governments, specifically local government officials with a cross-departmental function (such as mayors, councilors, Chief Administrative Officers, heads of strategic planning departments, etc.).

Below is a list of evaluation criteria for the selected DRM tools to be assessed during the workshop. The tools selected include manuals, handbooks, guides, reports, and guidelines.

Criteria for Assessing the Usability of Disaster Risk Management Tools for Local Governments

Scope of the tool (goals, target)

1. The goal of the tool is clearly described
2. Future actions are recommended
3. Indication that tool reaches its goals (possibility of evaluation, mention of past successful application of tool, etc).
4. Target group is clearly identified
5. The tool is adaptable to specific circumstances (e.g. cities and rural areas, developing and developed countries, etc.)
6. Information is relevant to target group and “adds value” (ie. provides new and useful information)
7. Tool raises awareness of issues covered
8. Tool’s approach and/or philosophy are sound
9. The tool is “durable” (a classic document that remains relevant over time)

Implementation Support

10. Provision of clear instructions for use
11. Tool addresses resources needed for implementation (staff capacity, financial resources, management structure, etc).
12. User support provided (from issuing or other organization; includes instruction guidance notes, technical support, training courses)

Practical Illustrations

13. Includes descriptive illustrations and examples that target group can relate to
14. Includes document templates (e.g. sample checklists, worksheets, etc.)
15. Includes case examples/ case studies

Visual Appearance and Organization

16. Overall attractive appearance
17. Information is well-written, and easily accessible to target group
18. Use of graphics, text boxes
19. Clear and understandable structure
20. Short, concise chapters/sections
21. Tool can be obtained easily (eg. website download, by post, etc.)

Appendix 4

Assessment of DRM Guidelines and Tools for Usability by Local Governments

Workshop, 21- 23 January 2007, Freiburg (Germany)



Participants List

Name	Organisation / Council	Function / Location	Email
Technical Experts			
Wisner, Ben	Oberlin College / ProVention Consortium	Researcher and Consultant, Oberlin, USA	bwisner@igc.org
Villacís, Carlos	UNDP / BCPR	GRIP Programme Coordinator, Geneva	carlos.villacis@undp.org
Haghebaert, Bruno	ProVention Consortium	Acting Head, Geneva	Bruno.Haghebaert@ifrc.org
Bendimerad, Fouad	EMI / Kobe University	Chairman of the Board, EMI / Visiting Professor, Kobe	fouadmail@sbcglobal.net
León, Esteban	UN-Habitat	Disaster Management Specialist, Geneva	leon.unhabitat@unog.ch
Jeggle, Terry	ISDR	Senior Advisor, UN-ISDR Secretariat, Geneva	tjeggle@yahoo.com
Local Government Experts			
Holley, Alan	Blue Mountains City Council	Local Emergency Management Officer, Program Leader, Blue Mountains, Australia	aholley@bmcc.nsw.gov.au
Freire Filho, Newton	City of Sao Paulo	Director of the Information Systems Department of the Sub-Mayoral Coordination Secretariat, Sao Paulo, Brazil	newtonf@prefeitura.sp.gov.br
De Veyra, Marjorie	City of Makati	Department Head, Makati Social Welfare Department, Makati, Philippines	madv@makati.gov.ph
Kopele, Enock	City of Cape Town	Area Manager: Central, Cape Town, South Africa	enock.kopele@capetown.gov.za
GTZ & ICLEI Staff			
Siebert, Michael	GTZ	Head, Disaster Risk Management in Development Cooperation	Michael.Siebert@gtz.de
Etter, Jens	GTZ	Junior Expert	Jens.etter@gtz.de
Otto-Zimmermann, Konrad	ICLEI World Secretariat	Secretary General	Konrad.ottozimmermann@iclei.org
Ryan, Kathleen	ICLEI World Secretariat	Project Assistant, ICLEI World Secretariat	Kathleen.ryan@iclei.org
Fuenfgeld, Hartmut	ICLEI World Secretariat	Project Assistant, ICLEI World Secretariat	Resilient.communities@iclei.org
Zimmermann, Monika	ICLEI's International Training Centre	Director, ICLEI International Training Centre	monika.zimmermann@iclei.org

Appendix 5

Assessment of DRM Guidelines and Tools for Usability by Local Governments

Workshop, 21- 23 January 2007, Freiburg (Germany)



Definitions

Some of the key terms used in this project proposal shall be defined and explained in order to
(a) clarify the specific approach taken by the Resilient Communities & Cities Program, and
(b) facilitate an effective discussion at the workshop.

A – Terms related to Disaster and Resilience

Crisis

- a sustained condition of social hardship, economic loss and inability to achieve developmental aspirations, often arising from a community's vulnerability to change.

Disaster

- the occurrence of extreme human losses, social hardships and economic costs arising from a community's vulnerability to sudden and/or extreme events. This is often accompanied by a disruption in the ability of the society or community to function. The extent of a "disaster," that is, the human impacts of extreme events and dramatic change, is often determined by the inherent *preparedness*, or "*resilience*", of local communities in the face of such events. In other words, disaster impacts are determined by vulnerabilities that can be understood, managed and reduced in a pro-active fashion before a "disaster" occurs.

Vulnerability¹

- a condition that places a community at risk of crisis and/or disaster in the face of change or extreme events. Vulnerability may further be defined as a set of conditions and processes resulting from physical, social, economic, and environmental factors, which increase the susceptibility of a community to the impact of hazards. The higher the resilience, the lower the vulnerability. Positive factors that increase the ability of people and the society in which they live to cope effectively with hazards, and can reduce their susceptibility, are often designated as capacities (ISDR 2003).

1 There is ample literature on definitions of "vulnerability" and "risk". Researchers from the natural hazards field tend to focus on the concept of risk, while those from the social sciences and climate change field often prefer to talk in terms of vulnerability. The International Strategy for Disaster Reduction (United Nations 2002: Risk awareness and assessment, in *Living with Risk*) separates "risk factors" into two components: "hazard (determines geographical location, intensity and probability)" and "vulnerability/capacities (determines susceptibilities and capacities)", thereby illustrating the essential equivalence of [outcome] risk and biophysical vulnerability. It is easier and more practical to use the word 'vulnerability' to describe the inherent characteristics of a system that create the potential for harm, and 'risk' for the probabilistic risk of occurrence ("event risk") of any particular hazard or extreme event.

– See overview in Brooks, N. (2003) *Vulnerability, risk and adaptation – A conceptual framework*. Tyndall Centre working paper no. 38, Norwich, UK

Risk²

- can be defined as the probability of occurrence of an undesired event. However, it is often used in a broader sense almost equivalent to vulnerability.

Resilience³

- the opposite of vulnerability and risk. It is the capacity of a community to respond creatively, preventatively and pro-actively to change or extreme events, thus avoiding crisis or disaster. Resilience may in some cases mean the ability to resist change that could negatively impact on human livelihoods. At the community level this may be reflected in the ability of the community to reorganise its social system and increase its capacity for learning and adaptation (ISDR 2002).

Sustainability

- the ability of an object to be sustained over the long term. For an object to be sustainable requires that it is resilient to the extent that it is exposed to vulnerability and risk. Communities and cities cannot become sustainable unless they are able to balance risks through resilience.

Relationship Sustainability – Resilience

The *relation between these terms* can be described as:
$$\text{Sustainability} = \frac{\text{Resilience}}{\text{Vulnerability} * \text{Risk}}$$
 While this formula seems very mathematical, it captures the approach taken by the RESILIENT COMMUNITIES & CITIES program quite well: We must increase resilience and reduce vulnerability and risk factors in order to make our communities and cities more sustainable. If a municipality does so systematically, using a participatory and transparent approach, we can speak of a Local Resilience Agenda.

² See footnote #1

³ In the context of sustainable development we look at the characteristics of Ecological Resilience rather than Engineering Resilience. “*Engineering resilience is the rate at which a system returns to a single steady or cyclic state following a perturbation.*” This definition “*focuses on efficiency, control, constancy and predictability, all attributes at the core of desires for fail-safe design and optimal performance.*” In contrast, ecological resilience is a more relevant measure of an ecosystem’s dynamics when a system can reorganize, or shift, from one stability domain to another. That definition “*focuses on persistence, adaptiveness, variability and unpredictability, all attributes embraced and celebrated by those with an evolutionary or developmental perspective. The latter attributes are at the heart of understanding sustainability.*” – From: Quinlan, A.; Miner, K; Lee, Michelle. Resilience. <http://resalliance.org/ev_en.php>

B – Terms related to Instruments and Tools

Instrument

- means or agent by which something is accomplished or some end achieved;
- generic term covering mechanisms, systems, policies, procedures and tools

System

- group of interacting, interrelated, or interdependent elements/components forming a complex whole
- organized array of individual elements and parts forming and working as a unit .

Mechanism

- arrangement of connected parts in a system (eg a machine or organism)

Policy

- plan or course of action or guiding principle intended to influence and determine decisions, actions, and other matters
- rules and regulations set by an organization

Procedure

- manner of proceeding; way of performing or effecting something.
- series of steps taken to accomplish an end.

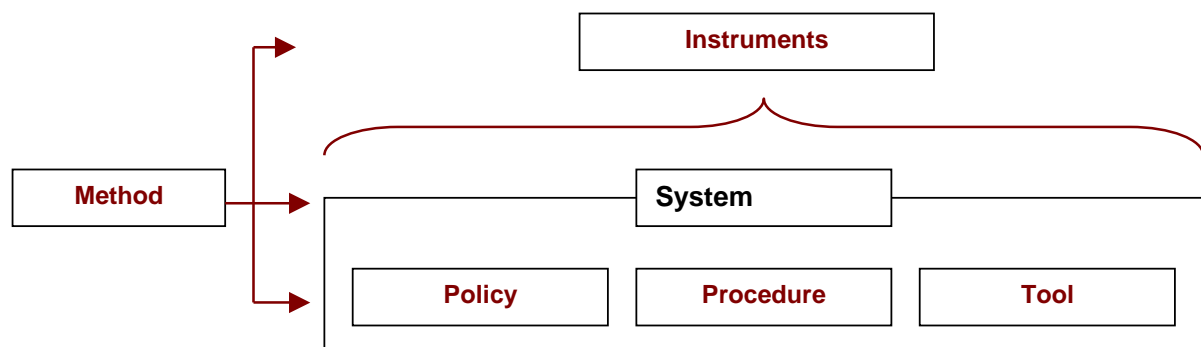
Tool

- device used to do work or perform a task.

Method

- approach used to do something; technique of acting; manner of procedure; regular and systematic way of accomplishing something;
- specific technique of using instruments (systems, policies, procedures, tools); instruments may be designed to apply a specific (underlying) method, a method

Relationship between the above terms



	Example: Craft	Example: Environmental Management	Example: Disaster Risk Management
Instrument	umbrella term covering all items below	umbrella term covering all items below	umbrella term covering all items below
System	carpenter's workshop	Environmental Management System (EMS) with the elements: responsibilities, authorities, relationships, functions, processes, procedures, practices, and resources	disaster management system
Mechanism	interaction of craftsman, workpiece, rules, processes and tools	interaction of actors, policies, procedures and tools	interaction of actors, policies, procedures and tools
Policy	safety guidelines for saw	green purchasing policy	municipal disaster mitigation policy
Procedure	rough machining followed by fine cut	procurement process	ten steps to a community safety plan
Tool	saw	checklist of ecoproduct criteria; ecolabel	checklist of potential risks
Method	eg, angle cutting	eg, lifecycle analysis as method for product assessment	vulnerability assessment

C – The term “Tools” in the project title

The project is about the Assessment of Disaster Risk Management Tools for their Usability by Local Governments.

Tools in this context shall be working aids such as:

- Handbooks
- Manuals
- Guides
- Guidelines
- Instructions

that help understand and apply Disaster Risk Management instruments, in whichever format they have been created and provided:

- book
- brochure
- leaflet
- flyer
- poster
- film
- slides
- powerpoint presentation
- diskette

- CD-ROM
- website
- electronic file for download from a website

Each of the tools in the sense of the project title as defined above will provide and describe one or more DRM instruments (systems, policies, procedures, tools).

We apologize for the confusing double meaning of “tools” in this project.

Preparation Team at ICLEI:

Konrad Otto-Zimmermann, Secretary General

Kathleen Ryan, Project Assistant, Resilient Communities & Cities Initiative, ICLEI World Secretariat

Hartmut Fuenfgeld, Project Assistant, Resilient Communities & Cities Initiative, ICLEI World Secretariat

Monika Zimmermann, Director, ICLEI's International Training Centre

Further questions:

Kathleen Ryan, kathleen.ryan@iclei.org

Tel. in January: +49-761 / 36892-87

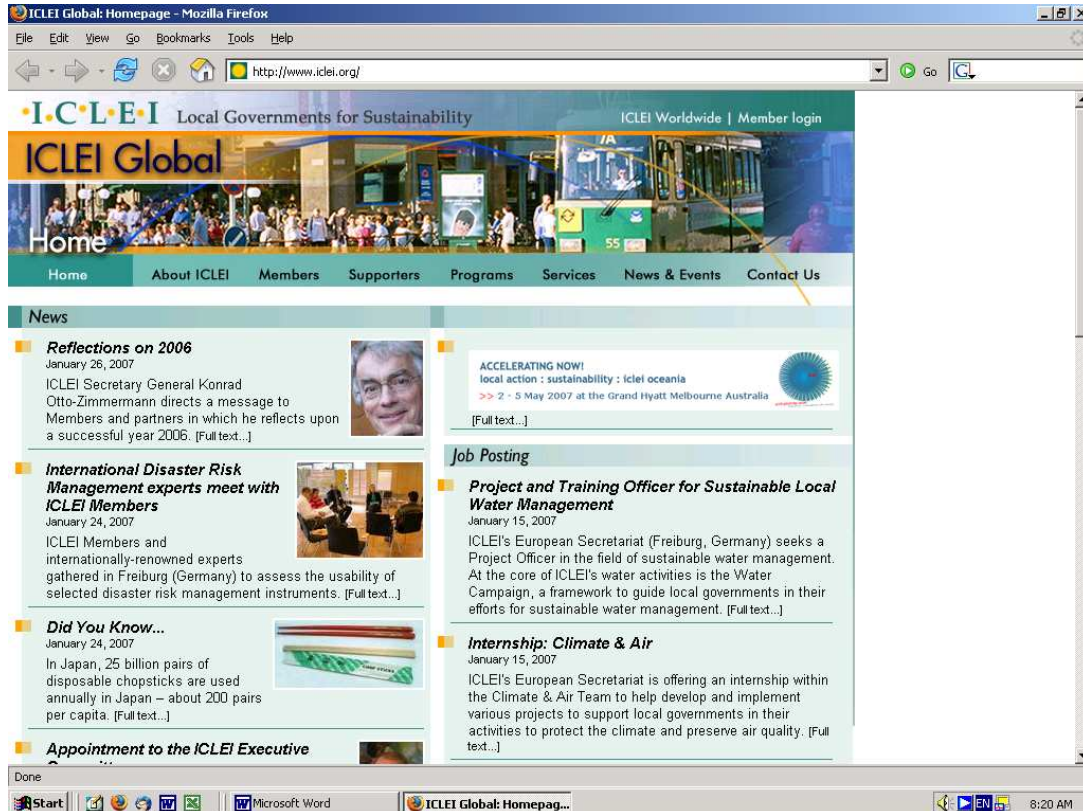
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Appendix 6

Below is a screen shot of an article that appeared on ICLEI's home page following the workshop, followed by the text of the article.



International Disaster Risk Management experts meet with ICLEI Members

January 24, 2007

Four ICLEI Members and six international Disaster Risk Management (DRM) experts gathered in Freiburg (Germany) for an intensive, three-day workshop to assess the usability of 21 selected DRM instruments for local governments from 21-23 January 2007.

Led by the ICLEI World Secretariat and funded by the German Technical Cooperation (GTZ), the workshop was an important initial step in ICLEI's [Resilient Communities & Cities Initiative](#). Many DRM strategies focus on the national level, although local governments are their key implementers. ICLEI aims to help its Members reduce their vulnerability to extreme events and anticipate and respond

creatively to economic, social, and environmental change in order to increase their long-term sustainability.

The implementation of DRM at the local government level encompasses the use of various instruments such as tools, policies, and procedures. Given the multitude of existing instruments available, ICLEI' s goal was to gather a selection of existing instruments that are geared to supporting DRM efforts at the local government level and assess them in terms of their usability by local governments at the workshop.



Department heads and disaster and emergency managers from ICLEI Members Blue Mountains (Australia), Cape Town (South Africa), Makati City (the Philippines), and São Paulo (Brazil) participated in the workshop along with disaster management experts from the Earthquakes and Megacities

Initiative (EMI), ProVention Consortium, UNDP, UN-HABITAT, and the UN Inter-Agency Secretariat of the International Strategy for Disaster Reduction (UN/ISDR).

The assessment workshop, held at the ICLEI International Training Centre, identified a number of characteristics of DRM instruments that were particularly relevant for local government users. Technical experts and local government participants agreed that raising awareness among local decision-makers of changing disaster risk is an ongoing challenge, particularly in light of global climate change and rapid urban growth in many municipalities.

A more detailed report on the workshop will be available in the coming weeks. For more information please contact: resilient.communities@iclei.org.



ICLEI Workshop on the Assessment of DRM Guidelines and Tools for Usability by Local Governments Workshop, 21-23 January 2007, Freiburg (Germany)

Tools Inventory Matrix As of 18 January 2007

Yellow shading indicates tool selected for assessment at the workshop

Tool	Tool Creator	Year of Publication	Type of Tool	Format	Intended Audience	Scale of Tool	Geographical Focus	Scope / Approach	Content	Type of Disasters Covered	Case Studies/Practical Application?	Support Available from Tool Creators?	
1	APELL (Awareness and Preparedness for Emergencies at Local Level)	Industry & Environment Office, UNEP	1988	Handbook	Book & electronic file	Local decision makers and technical personnel	Local level	Worldwide	Process-oriented	Detailed outline of 10-step APELL process for planning for emergency preparedness and implementation tips	Industrial	Cases on website: Korea, China, India, the Baltics, Colombia, Brazil. LG application in the Baltics & Colombia.	Technical assistance given to national authorities and industries. Periodic meetings allow stakeholders to share experience and contribute to further development of APELL.
2	Hazard Identification and Evaluation in a Local Community (APELL Programme, Technical Report 12)	Industry & Environment Office, UNEP	1998	Handbook	Book & electronic file	Local govt, envtl protection and health authorities, police, fire & rescue services, industry	Community level	Worldwide	Process-oriented	Expands on Step 2 of APELL process: evaluate the risks and hazards which may result in emergency situations in the community.	Human-made disasters: industrial accidents	Yes	Contact details of author are provided
3	RADIUS (Risk Assessment Tools for Diagnosis of Urban Areas against Seismic Disasters)	Secretariat of Intl Decade for Natural Disaster Reduction, United Nations, 10 additional authors	1996	Guidelines	Book & CD-Rom	Local decision makers, govt officials responsible for disaster prevention, communities, NGOs, citizens, businesses	City level	Worldwide	Process-oriented	Includes detailed info (templates, checklists, sample workshop agendas) on how to implement a RADIUS-type project in a municipality based on lessons learned during project pilot phase	Natural disasters: earthquakes	Nine case study cities worldwide	Contact details of authors provided
4	Vulnerability and Capacity Assessment: An International Federation Guide	Intl Federation of Red Cross and Red Crescent Societies	1999	Guide	Book & electronic file	National Red Cross and Red Crescent Societies, delegates, and policy-makers who define DRR and relief strategies	Household, community, institution	Worldwide	Policy-oriented	Provides an introduction to VCA and case studies and lessons learned	All-focus on VCA	Yes, examples from national Red Cross and Red Crescent Societies	No
5	Crisis Management Procedure Trainers' Manual	Govt of India-UNDP DRM Programme	post-2002	Manual	Book & electronic file	Trainers of community members in state of Orissa	Community level	India	Process-oriented	Defines and outlines natural disasters facing India and potential impacts, provides instructions on preparing a community contingency plan, outlines roles of actors at various levels during an emergency, and crisis mgmt checklists	Natural disasters: floods, cyclones, droughts; Health disaster: sunstroke/heats troke	No	No

Appendix 7: Matrix of DRM Instruments

Tool	Tool Creator	Year of Publication	Type of Tool	Format	Intended Audience	Scale of Tool	Geographical Focus	Scope / Approach	Content	Type of Disasters Covered	Case Studies/Practical Application?	Support Available from Tool Creators?	
6	Preparing for Disaster- A PILLARS Guide (Asia Edition)	Isabel Carter, Tearfund	2002	Guide	Book & electronic file	A small group of local people (in isolation or as part of a regular group meeting of farmers, literacy trainees, mothers, etc.)	Local level	Asia	Process- / policy-oriented	Provides background info, suggestions for activities and projects, and practical information about actions to take before, during, and after a disaster	Natural: floods, cyclones, earthquakes	No	Not clear
7	Environmental Protection & Disaster Risk Reduction: A Community Leader's Guide	UNISDR, UNEP, Umvoto Africa [Pty] Ltd.	2004	Guide	Book & electronic file	Community leaders with responsibility for managing the welfare of local communities and their natural environment	Community	Africa	Policy-oriented	Provides an overview of hazards, environmental degradation, DRR, a holistic approach to envtl degradation.	Cursory mention of geological, climate-related, biological and technological hazards.	Yes, focused more on environmental protection	Contact details of authors provided
8	Training of Village Disaster Management Committee	Orissa State Disaster Mitigation Authority, UNDP	post-2001	Manual	Book & electronic file	Trainers of members of Village Disaster Management Committees in India	Community	India	Process-oriented	Formation and functioning of a Village Disaster Management Committee, how to prepare a Village Disaster Management Plan	Natural disasters: floods, cyclones, droughts, earthquakes	No	Contact details of authors provided
9	British Columbia Hazard, Risk, and Vulnerability Analysis Tool Kit	Ministry of Public Safety and Solicitor General, Provincial Emergency Program	2004	Handbook	Book & electronic file	HRVA Committee Chair (eg. Community Emergency Coordinator) who leads a HRVA Advisory Committee	Community level	British Columbia, Canada	Process-oriented	Includes checklists, worksheets, step-by-step instructions, templates for conducting a Hazard, Risk & Vulnerability Analysis	Multi-hazard: accidents, natural, health, technological, industrial, social, disasters	No	Contact details of authors are provided
10	Disaster Resistant Communities- Final Report on Evansville-Henderson Workshop to Develop a Model Disaster Resistant Community Program	Central U.S. Earthquake Consortium	1997	Manual	Book & electronic file	Workshop participants and citizens of Evansville and Henderson	Community level	Central U.S.A.	Process-oriented	Overview of disaster resistant communities, report on workshop, findings of working groups including recommendations for action.	Natural disasters: floods, earthquakes	No	No
11	Hazards, Disasters and Your Community- A Booklet for Students and the Community (6th Edition)	Emergency Management Australia	2003	Guide	Book & electronic file	Secondary school students, and the community generally	National, community	Australia	Policy-oriented	Informative booklet; defines different types of hazards, gives examples of previous disasters and tips on disaster risk management.	Natural, health, technological	No	No
12	Emergency Risk Management Applications Guide- Manual 5	Emergency Management Australia	2004	Manual	Book & electronic file	People in communities and govt organizations (at local, regional/district, state/territory, Australian govt levels) involved in ERM.	Community level	Australia	Process- / policy-oriented	Intro to ERM, overview of ERM process, instructions on undertaking ERM process	Multi-hazard; focus on emergencies	Yes	No, references given to case examples but no contact details

Appendix 7: Matrix of DRM Instruments

Tool	Tool Creator	Year of Publication	Type of Tool	Format	Intended Audience	Scale of Tool	Geographical Focus	Scope / Approach	Content	Type of Disasters Covered	Case Studies/Practical Application?	Support Available from Tool Creators?	
13	Assessing Resilience and Vulnerability in the Context of Emergencies: Principles, Strategies and Actions-Guidelines	Emergency Management Australia	2001	Guidelines	Book & electronic file	Local people, community groups, local municipalities and agencies, planners at regional, state, national levels	Individuals, small groups, small communities	Australia	Process- / policy-oriented	Assessing the vulnerability and resilience of individuals, small groups, and small communities. Focus on personal and social factors.	Focus on assessment of vulnerability and resilience in the context of various emergencies and disasters.	No	Email address of author provided
14	How to Create a HAZUS User Group	FEMA	2004	Manual	Book & electronic file	People interested in forming a HAZUS User Group (a group that uses Hazards U.S. GIS software & technology to build disaster-resistant communities)	Community level	U.S.A.		Tactical; step-by-step instructions on how to form a HAZUS User Group, benefits, keys to success, tips (based on case studies), resources	Natural disasters: floods, earthquakes, hurricanes	Yes	Contact details of authors are provided
15	FEMA: State and Local Mitigation Planning How-to Guide: Developing the Mitigation Plan- Identifying Mitigation Actions and Implementation Strategies	FEMA	2003	Manual	Book & electronic file	State and local governments, tribes	Local level	U.S.A.	Process-oriented	Develop mitigation goals and objectives; identify and prioritize actions; formulate implementation strategy; assemble planning document.	Multi-hazard	No	No
16	FEMA: State and Local Mitigation Planning How-to Guide: Getting Started-Building Support for Mitigation Planning	FEMA	2002	Manual	Book & electronic file	State and local governments, tribes	Local level	U.S.A.	Process-oriented	Info on hazard mitigation planning including how to assess community support, build the planning team, engage the public; includes worksheets, templates.	Multi-hazards	Yes	No
17	FEMA: State and Local Mitigation Planning How-to Guide: Understanding Your Risk: Identifying Hazards and Estimating Losses	FEMA	2001	Manual	Book & electronic file	State and local governments, tribes	Local level	U.S.A.	Process-oriented	Identify hazards, profile hazard events; inventory assets; estimate losses	Multi-hazard	No	No
18	Multi-Jurisdictional Mitigation Planning: State and Local Mitigation Planning, How-to Guide #8	FEMA	2006	Guide	Book & electronic file	Local govt staff	Multi-jurisdictional	U.S.A.	Process-oriented	Provides suggestions to local govts on preparing multi-jurisdictional hazard mitigation plans that meet national planning legislation requirements.	Multi-hazard	No	No
19	Risk Management Series: Reference Manual to Mitigate Potential Terrorist Attacks Against Buildings-Providing Protection to People and Buildings	FEMA	2003	Manual	Book & electronic file	Provide guidance to building science community working for private institutions.	Building	U.S.A.	Process-oriented	Info on vulnerability assessment, architectural and engineering design considerations, and mitigation options.	Human made terrorist attacks	No	No

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Tool	Tool Creator	Year of Publication	Type of Tool	Format	Intended Audience	Scale of Tool	Geographical Focus	Scope / Approach	Content	Type of Disasters Covered	Case Studies/Practical Application?	Support Available from Tool Creators?	
20	HAZUS-MH Risk Assessment and User Group Series: Using HAZUS-MH for Risk Assessment- How-to Guide	FEMA	2004	Guide	Book & electronic file	HAZUS-MH users (local & state govt staff) who are interested in using HAZUS-MH to support risk assessment studies.	Community	U.S.A.	Process-oriented	Explanation of risk assessment process using HAZUS-MH	Natural disasters	No	No
21	Rebuilding for a More Sustainable Future: An Operational Framework	FEMA	2000	Guide	Book & electronic file	FEMA sustainability planners in post-disaster and response process, state emergency management officials, local jurisdictions and other FEMA staff during non-emergency times.	Local level	U.S.A.	Process-oriented	Focus on incorporating sustainability into recovery and mitigation plans following a disaster.	Multi-hazard	Yes	No
22	FEMA: State and Local Mitigation Planning How-to Guide: Bringing the Plan to Life-Implementing the Hazard Mitigation Plan	FEMA	2003	Manual	Book & electronic file	State and local governments, tribes	Local level	U.S.A.	Process-oriented	Adopt the mitigation plan; implement, monitor, and evaluate results of mitigation actions.	Multi-hazard	No	No
23	Planning for a Sustainable Future: The Link Between Hazard Mitigation and Livability	FEMA	pre-2000	Guide	Book & electronic file	Local govt staff, community members	Community level	U.S.A.	Process- / policy-oriented	Shows links between hazard mitigation, disaster resistance, sustainable development and livability.	Multi-hazard	Yes	Contact details of FEMA offices provided
24	Materials Development on Disaster Prevention for Community Empowerment-Sample Materials	Asia/Pacific Cultural Centre for UNESCO (ACCU)	2005	Guide	Book & electronic file	Materials developers in the DRM field, municipal staff	Community level	Asia	Process- / policy-oriented	Annotated list of collections of existing printed educational materials on disaster preparedness	Natural disasters (earthquakes, tsunami), general disaster preparedness	Yes	N/A
25	Disaster Risk Management Programme	Gujarat State Disaster Management Authority & UNDP	2001	Guide	Brochure	Citizens of Gujarat State, funders	Community level	India	Process- / policy-oriented	Info booklet on planned 6-year DRM programme in Gujarat State	Natural disasters (floods, cyclones, droughts, earthquakes)	N/A	Contact details of authors are provided
26	Sustainable Community Based Disaster Management (CBDM) Practices in Asia- A User's Guide	United Nations Centre for Regional Development, Disaster Mgmt Planning Hyogo Office	2004	Guide	Book & electronic file	Policymakers, national disaster managers, local disaster managers, trainers, community workers	National, community	Asia	Process- / policy-oriented	Includes guidelines, tools for various actors, and a framework for effectively implementing and sustaining CBDM activities.	Cyclones, earthquakes, floods.	Yes: India, the Philippines, Indonesia, Nepal, Bangladesh, Cambodia.	Contact details of authors are provided

Appendix 7: Matrix of DRM Instruments

Tool	Tool Creator	Year of Publication	Type of Tool	Format	Intended Audience	Scale of Tool	Geographical Focus	Scope / Approach	Content	Type of Disasters Covered	Case Studies/Practical Application?	Support Available from Tool Creators?	
27	The Role of Local Institutions in Reducing Vulnerability to Recurrent Natural Disasters and in Sustainable Livelihoods Development in High Risk Areas- Case Study: Philippines	Asian Disaster Preparedness Center	2003	Case study	Book	DRM professionals, FAO (funder)	Local level	The Philippines (Dumangas Municipality in Iloilo Province)	Policy-oriented	Role of local institutions and organizations in design and implementation of DRM strategies and role of local authorities in building community social capital for disaster prevention and preparedness.	Natural disasters: cyclones, typhoons, floods; vulnerability analysis	Yes	No
28	Handbook on Natural Disaster Reduction in Tourist Areas	World Tourism Organization, World Meteorological Organization	1998	Handbook	Book	Tourism authorities, tourism planners and developers, tour operators, resort & hotel managers, tourists, others involved in tourism industry	National, regional, local, resort	Worldwide, esp. places dependent on tourism and exposed to frequent natural disasters	Policy-oriented	Info about natural disasters; what to do before, during, after disaster; guide for resort managers, tourists, guidance on marketing and press relations associated w/ relaunching tourism after disaster	Natural: tropical cyclones, storm surges, earthquakes, avalanches, flooding	No	Contact details of authors are provided
29	Building Resilient Communities Through Disaster Mitigation- Planning for Natural Hazard Mitigation in Ontario Communities	John Newton for Canadian Office of Critical Infrastructure Protection and Emergency Preparedness	2003	Report	Book & electronic file	Planning policy makers, community leaders	Municipal level	Ontario, Canada	Policy-oriented	Report on survey of Ontario municipalities about the relationship between community planning & mitigation of natural hazards at the municipal level.	Natural disasters	N/A	Contact details of author are provided
30	Honduras: Community-based Disaster Risk Management and Intermunicipal Cooperation- A Review of experience gathered by the special intermunicipal organization MAMUCA	GTZ	2005	Report	Book	DRM professionals, municipal staff and officials	Municipal level	Honduras	Process-oriented	Info on the experiences of intermunicipal cooperation among 5 Honduran communities in DRM	Natural disasters	Yes	No
31	Community-based Disaster Risk Management: Experience Gained in Central America	Dr. Christina Bollin, GTZ	2003	Report	Book	DRM professionals, local govt staff and officials, development agencies	Community level	Central America	Policy-oriented	Info on lessons learned from years of work on DRM with municipalities in Central America	Natural disasters	Yes	No
32	Community Vulnerability Assessment Tool	NOAA Coastal Services Center	1999	Manual	Book & electronic file	Local govt staff and community members	Community level	U.S.A.	Process-oriented	Provides tutorials, case studies, framework for community vulnerability assessment, info on 3 data tools	Natural hazards, particularly coastal hazards	Yes	Contact details of author are provided

Appendix 7: Matrix of DRM Instruments

	Tool	Tool Creator	Year of Publication	Type of Tool	Format	Intended Audience	Scale of Tool	Geographical Focus	Scope / Approach	Content	Type of Disasters Covered	Case Studies/Practical Application?	Support Available from Tool Creators?
33	Preparing for Disaster- A Community-Based Approach	Danish Red Cross	2005	Manual	Book & electronic file	Community members, NGOs, local govts	Community level	The Philippines	Process-oriented	Outlines 6-step "Integrated Community Disaster Planning Programme" (select vulnerable area, partnership w/municipal & province govt units, form Community Disaster Action Team, create community risk and resource map, establish community mitigation measures, integrate DRM planning into local govt processes.)	Natural disasters	Yes	Contact details of authors are provided
34	Manual "Total Disaster Risk Management"	Asian Disaster Preparedness Center	2005	Handbook	Book	Senior and mid-level officials at Thailand's Dept of Disaster Prevention and Mitigation	Community level and multi-level	Thailand	Process-oriented	DRM methodology for Dept staff to use to ensure a safe and continually habitable Thailand.	Multi-hazard	No	No
35	Central Asia Earthquake Safety Initiative- Urban Risk Reduction Framework	Maria Petal, PhD, GeoHazards International	2005	Guide	Book	Community members, DRM field workers	Large urban setting	Central Asia	Process-oriented	Outlines 6-step planning framework for large urban areas facing risks associated with seismic and other natural hazards.	Natural disasters: earthquakes	No	Contact details of author are provided
36	Final Report: Global Earthquake Safety Initiative (GESI) Pilot Project,	GeoHazards International, UNCRD	2001	Manual; earthquake estimation method	Electronic file	Local govt officials and staff, DRM practitioners	Urban city level	Worldwide	Process-oriented	Provides summary of pilot project results and outlines Earthquake Lethality Estimation Method	Natural disasters: earthquakes	Yes	Email address of author provided
37	Pilot Project on Environment and Health Rapid Risk Assessment in Secondary Rivers of the Lower Danube Basin-Basic Methodology, Rev. 9.5	WHO (Regional Office for Europe), Italian Ministry for the Environment	2001	Guide	Book & electronic file	Local, regional, national government staff	River basin	Lower Danube River basin, Europe	Process-oriented	Ppilot project proposes, implements, and tests methodology for environmental and health rapid risk assessment in case of severe industrial accident at hazardous industrial or abandoned site near lower course of the Danube River.	Human made: industrial accidents	Yes	No, only names of project team provided
38	Pilot Project on Environment and Health Rapid Risk Assessment in Secondary Rivers of the Lower Danube Basin-Basic Methodology: Software Manual	WHO (Regional Office for Europe), Italian Ministry for the Environment	2001	Software manual	Book & electronic file	Local, regional, national government staff	River basin	Lower Danube River basin, Europe	Process-oriented	Software intended to provide a complete tool for the implementation of the methodology prepared for the pilot project.	Human made: industrial accidents	No	Yes, email address provided

Appendix 7: Matrix of DRM Instruments

Tool	Tool Creator	Year of Publication	Type of Tool	Format	Intended Audience	Scale of Tool	Geographical Focus	Scope / Approach	Content	Type of Disasters Covered	Case Studies/Practical Application?	Support Available from Tool Creators?	
39	Guidelines for Rapid Environmental Impact Assessment in Disasters	Benfield Hazard Research Centre, University College London, CARE International	2003	Guidelines	Book & electronic file	Govt, NGO or IO staff conducting field assessments or directly managing relief operations, disaster survivors (with support)	Community level	Worldwide	Process-oriented	Identifies, defines, prioritizes environmental impacts in disaster situations	Natural, technological, political disasters	No	Yes, email address provided
40	Natural Disaster Mitigation in Drinking Water and Sewerage Systems: Guidelines for Vulnerability Analysis	PAHO, Regional Office of the WHO	1998	Guidelines	Book	Engineers and technical personnel in water service companies	Community level	Latin America and the Caribbean	Process-oriented	Provides basic tools that water service companies can use to evaluate the components of their systems that are vulnerable to major natural disasters.	Natural disasters	Yes	Contact details of authors are provided
41	Working with Women at Risk: Practical Guidelines for Assessing Local Disaster Risk	E. Enerson et al	2003	Guide	Book	Local people, community groups, women's organizations	Community level	The Caribbean	Process-oriented	Step-by-step guide to assessing the resources and vulnerabilities of communities through women's eyes	Multi-hazard	Yes	Contact details of authors are provided
42	Community-Wide Vulnerability and Capacity Assessment (CVCA)	Office of Critical Infrastructure Protection and Emergency Preparedness, Canada	2001	Guide	Book & electronic file	Emergency managers and municipal planners	Community level	Canada	Process-oriented	Presents CVCA so planners can better understand and respond to need of most vulnerable groups during emergencies.	Multi-hazard, focus on vulnerability assessment	No	Contact details of authors provided

Appendix 8: Summaries of DRM Instruments Assessed at ICLEI Workshop

Group Tool	E	F	F	F	C	C	C	
	23	33	26	3	1	16	15	
No. Criterion	FEMA's Planning for a Sustainable Future: The Link Between Hazard Mitigation and Livability	Preparing for Disaster – A Community-Based Approach	Sustainable Community-Based Disaster Management Practices in Asia – A User's Guide	RADIUS	APELL Handbook	FEMA's Getting Started - Building Support for Mitigation Planning	FEMA's Developing the Mitigation Plan - Identifying Mitigation Actions and Implementation Strategies	
1	The goal of the tool is clearly described	Not spelled out, but evident	Mainly project document, some steps outlined to be followed	Very comprehensive	Very clear	Yes - prevent loss of life and ensure environmental safety	Yes, but very comprehensive / broad	Clearly described
2	Future actions are recommended	Yes, it's the essence of the document	Not sure, but education, replication is mentioned	Is rather to be seen as reference material for engaging the community in DM	Yes, different action plans	Not so clear - focus on status reports - but some general recommendations	Yes, part of a series of publications	Yes, part of a package with very high consistency
3	Indication that tool reaches its goals	Case examples provided	Very much so in the context of the project, but not sure about beyond project	Has been applied, but outcome not sure	Yes – users learn more about local distribution of earthquake risks	None	No - not included in this volume of the series	Yes, very specific goal defined
4	Target group is clearly identified	No, but it's inherent / obvious (USA), but quite universal	Target group is multiple: implementers of such projects within the Red Cross, national Red Cross societies	Geared towards DRM managers with a focus on community, but tools included for different administrative levels; should also be targeted at international community	Planning & administrative local government staff	Yes - local authorities, industry, community	Target group is very broad	Yes - same as other FEMA documents
5	The tool is adaptable to specific circumstances	Much of the info is planning-focused, but still interesting and relevant	Adaptable to specific and multiple circumstances	Yes – with a focus on community	Easily adaptable – easy in application, but limited to earthquake risks	Yes, but mainly for emergency response / preparedness	Needs to be adapted because it is too broad	Yes, but too comprehensive (creates problems in staff capacity)
6	Information is relevant to target group and “adds value”	Yes, definitely	Yes	Yes, but too heavy, lengthy to read	Yes – increases earthquake risk awareness at local government planning level	Sound methodology for getting started on DRM	Yes - focusses on preparing the community for DRM action	Yes, but they must have time to read
7	Tool raises awareness of issues covered	Yes – a strength	Yes – very candid about problems that arose during the implementation	Yes	Yes – simple application helps raise awareness of earthquake risks	Yes	Yes - checks if the community is "ready" for DRM planning	Yes - lots of issues raised

Appendix 8: Summaries of DRM Instruments Assessed at ICLEI Workshop

Group Tool	E 23	F 33	F 26	F 3	C 1	C 16	C 15
No. Criterion							
	FEMA's Planning for a Sustainable Future: The Link Between Hazard Mitigation and Livability	Preparing for Disaster – A Community-Based Approach	Sustainable Community-Based Disaster Management Practices in Asia – A User's Guide	RADIUS	APELL Handbook	FEMA's Getting Started - Building Support for Mitigation Planning	FEMA's Developing the Mitigation Plan - Identifying Mitigation Actions and Implementation Strategies
8 Tool's approach and/or philosophy are sound	Yes	Yes – also includes limitations, adjustments	Sound community-based approach	Yes	Yes, thoroughly prepared	Yes, as a part of a structured training programme	Yes - like other FEMA documents, this is excellent reference material
9 The tool is "durable"	Principles are durable, but legislative, political, institutional frameworks changed since tool's publication	Not sure – raises the question of durability, but may not be durable itself	Yes – issues raised will remain relevant for a long time	Yes – has been applied in many cities, in various cultural contexts	Yes, has been used lots over many years	Yes	Yes, should be in every library
10 Provision of clear instructions for use	Information provided enhances implementation	Very clear step-by-step models	Very general instructions	Yes	Yes	Very clear instructions	Yes, but quite comprehensive
11 Tool addresses resources needed for implementation	Mentions funding information, web links	Yes, but largely externalized	No, remains unclear what resources are required	Yes	Not mentioned	Yes: institutional and human resources: No: financial resources	Not specifically
12 User support provided	Yes-contact info for various FEMA offices provided	Yes, through the Red Cross-system	No, not obvious	Yes – training programs indifferent to location	No - no address provided	Yes, provided by tool creator	Through FEMA
13 Includes descriptive illustrations and examples that target group can relate to	Yes, many – as motivation	Yes, excellent example	Yes	Yes – e.g. Kobe case study as example	Not really - no case studies	Yes	Yes
14 Includes document templates	Yes	N.A., because more a project report, but still includes some templates	Yes, includes some examples	Yes – part of the CD-Rom (EXCEL-based)	Yes - matrices, tables	Yes, checklists, etc.	some useful templates
15 Includes case examples/ case studies	Many	Includes many excellent case studies	Yes - examples from six countries	Yes	Some useful reference	Fictional case studies	Fictional cases
16 Overall attractive appearance	Lovely, colourful, photos	Extremely well done and attractively designed	Yes - many photos	Yes - CD-Rom and booklet	Yes - well designed	Very good, but bulky / 'scary' because so big	Yes, but too much information

Appendix 8: Summaries of DRM Instruments Assessed at ICLEI Workshop

Group Tool	E	F	F	F	C	C	C	
	23	33	26	3	1	16	15	
No. Criterion	FEMA's Planning for a Sustainable Future: The Link Between Hazard Mitigation and Livability	Preparing for Disaster – A Community-Based Approach	Sustainable Community-Based Disaster Management Practices in Asia – A User's Guide	RADIUS	APELL Handbook	FEMA's Getting Started - Building Support for Mitigation Planning	FEMA's Developing the Mitigation Plan - Identifying Mitigation Actions and Implementation Strategies	
17	Information is well-written, and easily accessible to target group	Yes	Very clear language, not too dense	Lengthy document, but well written	Yes, but needs introduction / instruction	Clearly written, easy to understand - even students can understand	Easy to understand	Yes
18	Use of graphics, text boxes	Yes	Yes, very well made	Yes	In the software: very graphic layout using simple grid-based maps	Yes, lots	Yes, plenty	Yes
19	Clear and understandable structure	Yes	Very clear structure with additional information	Very long and dense; structure ok	Yes, if previous training or introduction received	Very clear structure	Extremely good structure	Well structured; good flow of process described
20	Short, concise chapters/sections	Yes, this is one of the tool's strong points	Yes - short, concise and well written	No	Yes, CD-Rom is instructive	Yes	Short chapters, but many of them	Short chapters, but many of them
21	Tool can be obtained easily	Web download	Easily downloadable	Downloadable	Dissemination through United Nations system	Not sure, because old document	Yes, downloadable	Yes, through FEMA and download
	Comments	Note that FEMA's Project Impact has been scrapped - document was prepared within this program	Sets out as DRM tool, but also covers general development issues; good example for project experience honestly and clearly documented	Very lengthy document	Tool is very useful for earthquake-prone areas; simple, computer-based application	basic tool; oldest document of all reviewed tools; limited to emergency response and preparedness, not risk reduction; however still relevant	Addresses issues that are often forgotten or not addressed; is part of a large package	

Appendix 8: Summaries of DRM Instruments Assessed at ICLEI Workshop

Group Tool	D 22	D 31	D 18	B 35	B 13	B 36
No. Criterion	FEMA's Bringing the Plan to Life - Implementing the Hazard Mitigation Plan	GTZ's Community-Based Disaster Risk Management: Experience Gained in Central America	FEMA's Multi-Jurisdictional Mitigation Planning: State and Local Mitigation Planning, How-to Guide No. 8	Central Asia Earthquake Safety Initiative Risk Reduction Framework	Assessing Resilience and Vulnerability in the Context of Emergencies	Global Earthquake Safety Initiative (GESI) Pilot Project - Final Report
1 The goal of the tool is clearly described	Yes - assuming that previous steps have been done	Somewhat vague	Very clear	Not fully described	Title is misleading - more "understanding" rather than "assessing" - but clear on its target	Not easily identifiable - not suitable for non-experts
2 Future actions are recommended	Yes	General actions mentioned	Yes, provide tips to increase quality of actions (mentoring, guiding)	Good description of the process	N.A. - focus on assessment only	N.A.
3 Indication that tool reaches its goals	Yes	Describes a process that delivered outputs, results	Amount of examples, explanations ensure success	Not clear	Yes, well in terms of understanding, presented clearly	Yes - goal is to calculate an index for earthquake risks
4 Target group is clearly identified	Yes	Somewhat confusing - could be improved	Very clear	No	Yes - Australian disaster managers and what their focus of attention should be	Unclear - questionable who it is designed to address - seems to be the scientific community, very high-level officials in large cities
5 The tool is adaptable to specific circumstances	USA-focussed	More or less (can be)	Specific target group with specific responsibilities	Would need to be adapted, but not laid out to be adaptable	Tool is specific to designated (Australian) context, however generic for Disaster Managers and clear what it is about	Yes, but data hungry - tool is a model that can be used in other contexts
6 Information is relevant to target group and "adds value"	Yes	Discussion of national/regional/local interaction is valuable	Tips are valuable, thoroughly documented	Yes	Tool itself aids understanding at the intersection of education, training; training elements built into it	Not sure who target group is and how useful it is for local governments
7 Tool raises awareness of issues covered	Definitely	Yes, but dated, e.g. definition of disaster is from 1991	Yes, describes issues and gives tips to raise awareness	It does raise awareness, however it could be applied to any subject	Yes - well; tool educates Disaster Managers	Yes - raises awareness of earthquake risks

Appendix 8: Summaries of DRM Instruments Assessed at ICLEI Workshop

Group Tool	D	D	D	B	B	B	
	22	31	18	35	13	36	
No. Criterion	FEMA's Bringing the Plan to Life - Implementing the Hazard Mitigation Plan	GTZ's Community-Based Disaster Risk Management: Experience Gained in Central America	FEMA's Multi-Jurisdictional Mitigation Planning: State and Local Mitigation Planning, How-to Guide No. 8	Central Asia Earthquake Safety Initiative Risk Reduction Framework	Assessing Resilience and Vulnerability in the Context of Emergencies	Global Earthquake Safety Initiative (GESI) Pilot Project - Final Report	
8	Tool's approach and/or philosophy are sound	Process is good (e.g. monitoring & evaluation), pragmatic (addresses question of why should we bother?)	N.A - it is a report	Yes	Target with already some knowledge	Yes	Tool has a very scientific / technical approach
9	The tool is "durable"	Process is durable	Yes, but one of many similar documents	N.A. - because tool was only recently produced	Yes	N.A. - country-specific (Australia)	May be durable as a project report
10	Provision of clear instructions for use	Yes, step-by-step instructions	Not intended to be a "tool" - more a report	This is the main strength of this tool	Yes - steps provided	Yes - short but useful instructions provided	No - not much of a tool, rather a report on project methodology and outcomes
11	Tool addresses resources needed for implementation	Not specifically	No	No	No	N.A.	No
12	User support provided	Through FEMA	N.A, because it is more a report than a tool.	Yes - through FEMA	No	Yes - but only through authors' contacts provided	No
13	Includes descriptive illustrations and examples that target group can relate to	Yes - many examples	Few, very brief	Yes, this is a very strong point for this tool	No	Rather skeletal examples	Yes - report is based on in-depth case studies
14	Includes document templates	Yes	No	Yes	Yes	No	Yes - templates for questionnaires
15	Includes case examples/ case studies	Yes	Few, brief - very specific to illustrate a point	Provides completed templates as examples	No	No	Yes
16	Overall attractive appearance	Colourful	Average	Yes, tips are shown in yellow, sample forms in red	No	Simple	No - highly scientific presentation

Appendix 8: Summaries of DRM Instruments Assessed at ICLEI Workshop

Group Tool	D	D	D	B	B	B
	22	31	18	35	13	36
No. Criterion	FEMA's Bringing the Plan to Life - Implementing the Hazard Mitigation Plan	GTZ's Community-Based Disaster Risk Management: Experience Gained in Central America	FEMA's Multi-Jurisdictional Mitigation Planning: State and Local Mitigation Planning, How-to Guide No. 8	Central Asia Earthquake Safety Initiative Risk Reduction Framework	Assessing Resilience and Vulnerability in the Context of Emergencies	Global Earthquake Safety Initiative (GESI) Pilot Project - Final Report
17 Information is well-written, and easily accessible to target group	Very clear, but there is a lot of information	Report style, not direct	Yes, well presented	No (target group?)	Simplicity provides understanding, ease of access - clear, easily accessible (e.g. for newcomers)	If scientist are target group, then YES
18 Use of graphics, text boxes	Yes	Some	Yes	No, but some templates	OK	Yes
19 Clear and understandable structure	Definitely	Yes	Sequential process	Good reference	Very much so!	Yes
20 Short, concise chapters/sections	Lengthy document	OK, sometimes text heavy	N.A.	Yes (not a guide, rather a report)	Yes	No - rather detailed and technical
21 Tool can be obtained easily	Web download	Tricky to find on GTZ website	Web download	No	Yes	Not sure
Comments		Mix of program reporting, conceptual discussion, methodological approach; useful material in the annexes	Very new document (Aug. 2006) so very relevant; documents the process rather than the product; guided step-by-step approach	More directed towards central governments, very specific to Central Asian context, not a methodology rather a report	Would need wider elaboration if, were it to be applied more widely, beyond Disaster Managers (e.g. a good understanding of vulnerability is presumed)	This tool is a mathematical model, it needs lots of data input, not very relevant to local governments

Appendix 8: Summaries of DRM Instruments Assessed at ICLEI Workshop

Group Tool		B	B	A	A	A	A
		2	42	9	17	12	32
No.	Criterion	APELL's Hazard Identification and Evaluation in a Local Community	OCIPEP's Community-Wide Vulnerability and Capacity Assessment	British Columbia Hazard, Risk & Vulnerability Analysis Tool Kit	How-To-Guide: Understanding Your Risk: Identifying Hazards & Estimating Losses	Emergency Risk Management Applications Guide: Manual 5	NOAA's Community Vulnerability Assessment Tool
1	The goal of the tool is clearly described	Yes	Yes	Very clear goal	Yes - applicable to states, tribes, communities	Yes	Yes, but broad and general
2	Future actions are recommended	No future action plan	No recommendations - ends with a mapping process	Checklist of suggested measures	N.A. - 2nd step of a 4-part process	N.A.	Yes - specific to coastal context
3	Indication that tool reaches its goals	Not sure	Easy-to-use	N.A. (too recent) - however, clear legal support could help reaching goals	Not clear, but legal basis for implementation (but now, post 9/11?)	Yes, if post-disaster evaluation is done	Yes - one applied example
4	Target group is clearly identified	Target group clearly identified	Evaluation of target group is part of the 16 steps included	HRVA & committee (leader)	Yes, but target group is very broad	Lots of examples of target groups, but a bit confusing	Yes - specific area
5	The tool is adaptable to specific circumstances	Yes, has successfully been adapted to cities world wide	Results depending on the composition of the team	Canadian oriented, but good model	Multi-hazard, for high-tech, highly resourced environment	Yes, methodology provided	Only for coastal communities in a developed country
6	Information is relevant to target group and "adds value"	Yes, but information is a little outdated (newer version available)	Yes	Good explanation of concepts	Very didactical, specific info on various hazards	It's simply an overview, an introduction	Yes - also includes social, environmental, economic analyses and actual case studies
7	Tool raises awareness of issues covered	Yes - well	Yes	Limited to small target group	Very strong, shows that mitigation is possible	Yes, it's informative	Yes

Appendix 8: Summaries of DRM Instruments Assessed at ICLEI Workshop

Group Tool	B	B	A	A	A	A	
	2	42	9	17	12	32	
No. Criterion	APELL's Hazard Identification and Evaluation in a Local Community	OCIPEP's Community-Wide Vulnerability and Capacity Assessment	British Columbia Hazard, Risk & Vulnerability Analysis Tool Kit	How-To-Guide: Understanding Your Risk: Identifying Hazards & Estimating Losses	Emergency Risk Management Applications Guide: Manual 5	NOAA's Community Vulnerability Assessment Tool	
8	Tool's approach and/or philosophy are sound	Partly - doesn't talk about avoiding risks and doesn't mention natural-technical disasters	Tool doesn't give holistic picture. Not sure how useful it is once assessment has been carried out.	Conceptual doubts; data validation not ensured	Loss and damage only expressed in monetary terms - ignores social cost and social vulnerability focus	It's basic, a generic overview	People-oriented, social, environmental, economic analyses; basic info only
9	The tool is "durable"	Tool is durable	Probably not - it doesn't address follow-ups etc.	Unknown, but probable due to legal basis	Unsure, since new direction for homeland security, but information is very good	Yes	Yes
10	Provision of clear instructions for use	Yes - in many worksheets	No - 18 steps are quite lengthy and need to be consolidated	Yes	Well-developed	Yes	Not particularly detailed
11	Tool addresses resources needed for implementation	No	Permanent availability of resources is presumed (question of sustainability / maintenance costs)	Assumed ok	Not included	No	No
12	User support provided	Not sure	No	Yes	Provides web-links, no technical support numbers provided	No	Yes
13	Includes descriptive illustrations and examples that target group can relate to	Yes, plenty of graphs, diagrams and illustrations	Yes	Yes	Fictional case example	Yes	Yes - linked to actual case study
14	Includes document templates	Yes, many	Yes, in the appendix	Yes	Yes - show example for fictional case	Yes	No
15	Includes case examples/ case studies	Case studies are included	One hypothetical example case	No	Fictional case only	Yes - short Australian examples	It is a case study with tutorial and data tools
16	Overall attractive appearance	Average	Average	No	Colourful	Satisfactory, simple, easy to understand	Quite attractive

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17	Information is well-written, and easily accessible to target group Yes, overall well-written	Yes	Yes	Readers addressed very directly	Yes	Quite technical - aimed at technical staff
18	Use of graphics, text boxes Yes, some	No, mainly text	Minimal	Yes	Yes - lots of white space, not too much text	Yes
19	Clear and understandable structure Structure is not up to scratch, not good enough	Average	Yes	Sections separated by colour	Yes, for the most part	Confusing
20	Short, concise chapters/sections Yes	Yes	Yes	Sections are short, but document is long (160 p.)	Yes, digestible	?
21	Tool can be obtained easily Yes, very much so, tool is public domain (free of charge)	Currency of OCTIPEP?	From the web and through contact information provided	Large file to download, too long to read	Website download or order CD-Rom	CD-Rom - not user-friendly
Comments	This is not the latest document - need to get the latest version.	Interesting tool, going through 18 steps that should be consolidated; very much based on mapping; has assessment as ultimate objective.	Emergency-oriented; Canada-focussed; target group too small	Need to develop shorter policy brief as an intro; attractive & useful but too ambitious for MDC or LDC	It's a guide, not a tool; not a standalone guide - must be read with other manuals in the series.	Hazard-only focus; quite technical, better for developed countries