

Index of Governance and Public Policy in Disaster Risk Management (iGOPP)

National Report Haiti

Sergio Lacambra
Hori Tsuneki
Ginés Suarez
Lina Salazar
Rolando Duran
Ana María Torres
Ernesto Visconti

Environment, Rural
Development and Risk
Management Division (RND)

TECHNICAL
NOTE N°
IDB-TN-01534

Index of Governance and Public Policy in Disaster Risk Management (iGOPP)

National Report Haiti

Sergio Lacambra
Hori Tsuneki
Ginés Suarez
Lina Salazar
Rolando Duran
Ana María Torres
Ernesto Visconti

Cataloging-in-Publication data provided by the
Inter-American Development Bank
Felipe Herrera Library

Index of Governance and Public Policy in Disaster Risk Management (iGOPP): national report Haiti / Sergio Lacambra, Tsuneki Hori, Ginés Suárez, Lina Salazar, Rolando Durán, Ana María Torres, Ernesto Visconti.

p. cm. — (IDB Technical Note ; 1534)

1. Natural disasters-Government policy-Haiti. 2. Emergency management-Government policy-Haiti. 3. Environmental risk assessment-Government policy-Haiti. I. Lacambra, Sergio. II. Tsuneki, Hori. III. Suárez, Ginés. IV. Salazar, Lina. V. Durán, Rolando. VI. Torres, Ana María. VII. Visconti, Ernesto. VIII. Inter-American Development Bank. Environment, Rural Development and Risk Management Division. IX. Series. IDB-TN-1534

Key words: natural disasters, risk management, governance, Latin America
JEL codes: Q1; Q54; Q58

<http://www.iadb.org>

Copyright © 2016 Inter-American Development Bank. This work is licensed under a Creative Commons IGO 3.0 Attribution-NonCommercial-NoDerivatives (CC-IGO BY-NC-ND 3.0 IGO) license (<http://creativecommons.org/licenses/by-nc-nd/3.0/igo/legalcode>) and may be reproduced with attribution to the IDB and for any non-commercial purpose. No derivative work is allowed.

Any dispute related to the use of the works of the IDB that cannot be settled amicably shall be submitted to arbitration pursuant to the UNCITRAL rules. The use of the IDB's name for any purpose other than for attribution, and the use of IDB's logo shall be subject to a separate written license agreement between the IDB and the user and is not authorized as part of this CC-IGO license.

Note that link provided above includes additional terms and conditions of the license.

The opinions expressed in this publication are those of the authors and do not necessarily reflect the views of the Inter-American Development Bank, its Board of Directors, or the countries they represent.



This document was prepared by:

The IDB specialists in Risk Management: Sergio Lacambra, Ginés Suárez and Tsuneki Hori.
The external consultants in Risk Management and Adaptation to Climate Change: Rolando Durán, Ana María Torres as an expert in financial protection and Ernesto Visconti.

The inestimable collaboration of the Government of Haiti was also counted.

The development and publication of this document was financed through the Regional Technical Cooperation RG-T2064, financed by the Multi-Donor Fund for Disaster Prevention with contributions from Canada, Spain, Japan and Korea.

Table of Contents

Executive Summary	4
I. Introduction:.....	6
II. Institutional Framework.....	13
III. Breakdown by component	14
a. General framework of governance for disaster risk management (GF)	17
b. Risk Identification (RI)	21
c. Risk Reduction (RR)	24
d. Disaster preparedness (DP):	27
e. Recovery Planning (RC)	30
f. Financial Protection (FP):	32
IV. Conclusions:.....	38

Graphics Index

Graph 1: iGOPP Haiti Components of Public Policy Reform in DRM.....	5
Graph 2: Public Policy Phases According to the iGOPP as applied to Haiti.....	6
Graph 3: Components of public policy reform in DRM according to the iGOPP. Haiti (2013).....	15
Graph 4: Public policy phases according to the iGOPP. Haiti (2013).....	16
Graph 5: General Framework for Governance of DRM by Public Policy Phase. Haiti (2013)...	18
Graph 6: Risk Identification by Public Policy Phase. Haiti (2013).....	22
Graph 7: Risk Reduction by Public Policy Phase. Haiti (2013).....	25
Graph 8: Disaster Preparedness by Public Policy Phase Haiti (2013).....	28
Graph 9: Recovery Planning by Public Policy Phase. Haiti (2013).....	31
Graph 10: Financial Protection by Public Policy Phase. Haiti (2013).....	33

Table index

Table 1. Classification and coding of the iGOPP.....	12
Table 2: Components of public policy reform in DRM according to the iGOPP. Haiti (2013).....	15
Table 3: Public policy phases according to the iGOPP. Haiti (2013).....	16
Table 4: General Framework for Governance of DRM by Public Policy Phase. Haiti (2013)....	18
Table 5: Risk Identification by Public Policy Phase. Haiti (2013).....	22
Table 6: Risk Reduction by Public Policy Phase. Haiti (2013).....	25
Table 7: Disaster Preparedness by Public Policy Phase Haiti (2013).....	28
Table 8: Recovery Planning by Public Policy Phase. Haiti (2013).....	31
Table 9: Financial Protection by Public Policy Phase. Haiti (2013).....	33

Executive Summary

Haiti is a unique case when it comes to its institutional structure regarding risk management. While in terms of historical evolution Haiti's focus has followed patterns like those of the region (beginning with structures and regulations focused on preparedness and later shifting towards a systemic and preventative approach), Haiti has fallen short of achieving even a minimal regulatory framework. In fact, the current structure is not backed by any inherent laws.

In 2001, the Council of Ministers approved the National Disaster Risk Management Plan. Due to the continuous political crises in the country and their impact on the availability of files and documents from different periods, it was impossible to obtain a print or electronic copy of this approval. At the time, the National Plan established an organizational and strategic structure that remains to date, recognized both nationally and internationally.

Specifically, one of the aspects of the National Disaster Risk Management Plan that was evident during the January 12, 2010 earthquake crisis, was the local structure it had conceived of. This structure has also been validated in other situations by, among others, national regulatory instruments and international projects.

The National Disaster Risk Management System does, in fact, exist and is operative in almost all its structures, except for the National Committee.

The Permanent Secretariat for Disaster Risk Management (SPGRD) is a multi-institutional structure coordinated by the Ministry of Social Assistance which is not only operative, but also meets weekly, practically without interruption.

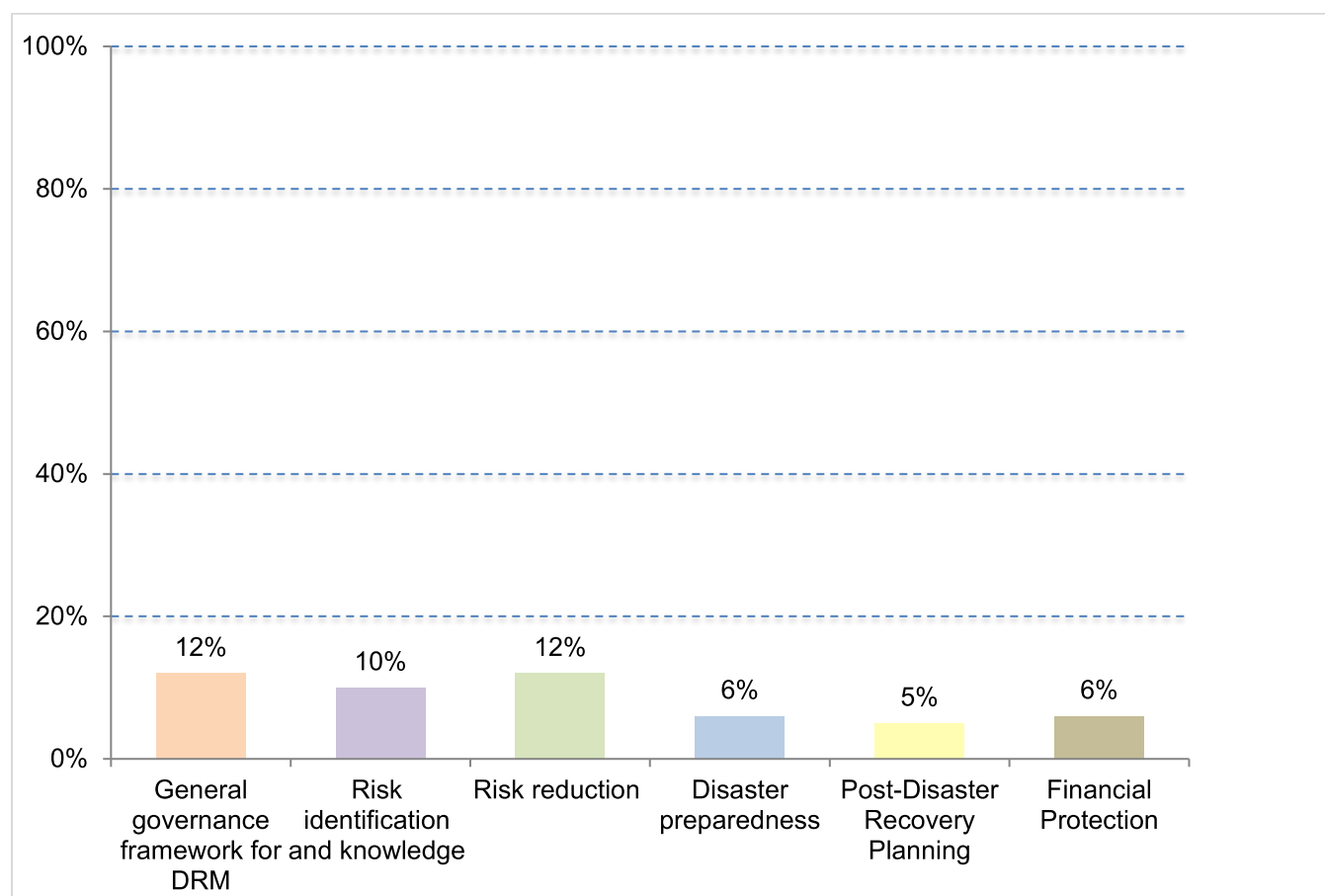
The Thematic and Sectorial Committees are one of the coordinating organizations conceived of in the plan. Many of the them have an active dynamic, such as: Education and Training, Construction Codes and Early Warning.

Since the creation of Civil Protection, the civil structure has functioned and with some level of efficiency, comprising more than 100 organized community-based (municipal) committees.

Applying the Index of Governance and Public Policy in Disaster Risk Management (iGOPP) demonstrated completion of some 8.53% of the indicators, which places the country in the "low" range.

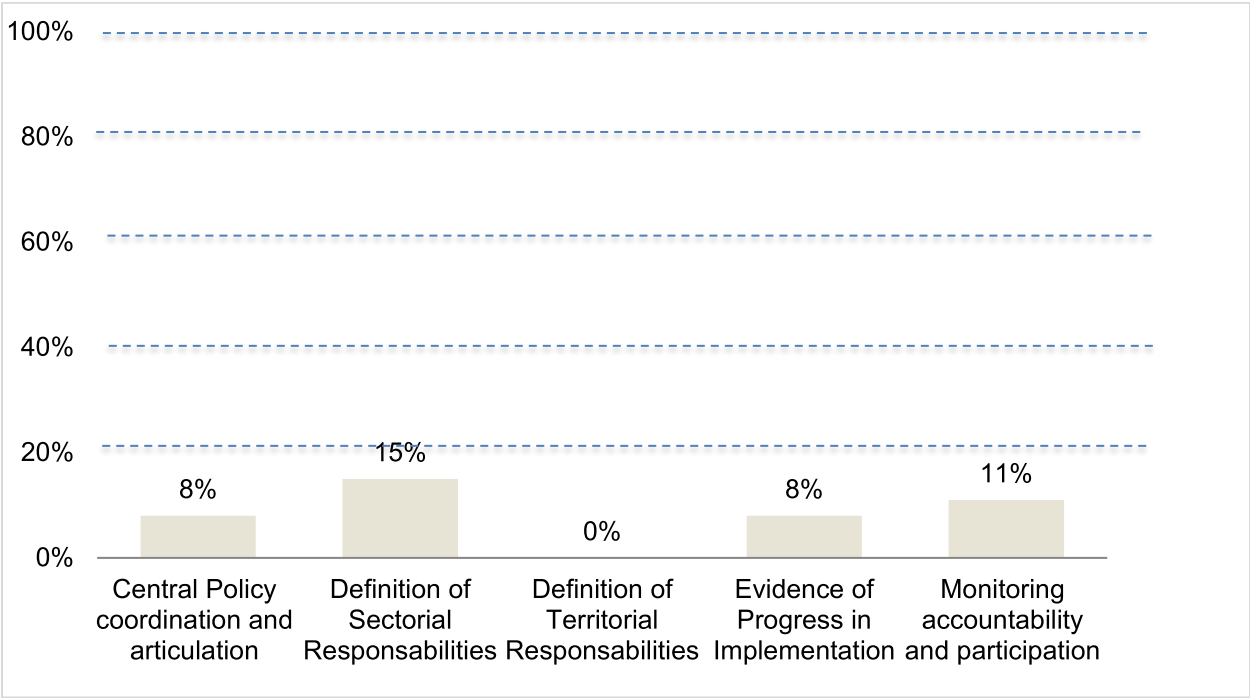
In terms of the policy components, General Framework for Governance and Risk Reduction are the components that have the highest completion rates, 12% and 10% respectively. However, these two components remain in the "low" range, which is characteristic of virtually the entire iGOPP application. The Financial Protection component only satisfies two indicators and the Post-Disaster Recovery Planning just one.

Graph 1: iGOPP Haiti Components of Public Policy Reform in DRM



Public policy phases also score in the "low" range, with considerable correlation between phases: all between 8.33% and 10.83% except for Definition of Territorial Responsibilities in which no indicators were satisfied.

**Graph 2: Public Policy Phases According to the iGOPP
As Applied to Haiti**



I. Introduction:

The Index of Governance and Public Policy in Disaster Risk Management (iGOPP) has been designed to evaluate the formal, and therefore provable, existence of a series of legal, institutional and budgetary conditions that are considered fundamental for the processes of disaster risk management to be implemented in a country.

The iGOPP does not replace or substitute other indicators related to the subject, but rather complements the different methodologies that exist for the comprehensive evaluation of risk and disaster risk management.

The practical use of the iGOPP consists in identifying the voids in the legal, institutional and budgetary framework that may exist in a particular country. It helps to focus a country's efforts (and the IDB's support, when applicable) on relevant aspects of governance aimed at strengthening the disaster risk management public policy options in the countries of Latin America and the Caribbean.

The iGOPP is a composite or synthetic indicator that allows for verifying whether a country possesses the appropriate governance conditions for implementing a public policy for comprehensive disaster risk management. The index makes it possible to quantify to what extent the actions, policies and reforms of the government and its institutions are consistent with the objectives, results and processes of disaster risk management.

The design of the iGOPP is based on two conceptual pillars:

- The Disaster Risk Management conceptual framework and its main processes
- The Governance conceptual framework and public policy phases

Disaster Risk Management (DRM) refers to all the processes to design, apply and evaluate strategies, policies and measures aimed at improving the understanding of disaster risk, to foster disaster risk reduction, retention and transfer, and to promote the continuous improvement of preparedness, response and recovery practices for disaster scenarios, with the explicit objective of increasing human safety, well-being, quality of life, resilience and sustainable development. It includes prospective, corrective and reactive risk management. DRM constitutes an indispensable development policy for ensuring territorial sustainability and security and collective rights and interests, and therefore is intrinsically associated with the planning of safe development and sustainable territorial environmental management in all levels of government.

Within the conceptual framework of the iGOPP, DRM is approached as a set of processes aimed at adopting and implementing policies, strategies and practices to reduce risk and its potential effects, and is analyzed based on 6 components that are necessary for it to be effectively implemented. The selection of these components is based on the experience of the political reform processes developed by the Bank:

1. General Framework of Governance for DRM (GF): This refers to the regulatory foundation suitable for the organization and coordination of DRM in each country, which includes both the specific regulations in DRM and the enabling territorial and sectorial regulations that guarantee their viability. Likewise, the availability of resources to implement the DRM processes, and the establishment of adequate data and citizen participation mechanisms, as well as mechanisms for the monitoring, evaluation and follow-up of said processes.
2. Risk Identification and Knowledge (RI): This is the process of DRM focused on the knowledge of the origins, causes, scope, frequency and possible evolution, among other aspects, of the potentially dangerous phenomena, as well as of the location, causes, evolution and resistance and recovery capacity of the exposed socioeconomic elements. This process includes the preliminary analysis of the consequences and contains both objective and scientific interpretations as well as social and individual perception interpretations. The conceptual framework of the iGOPP references the existence of a regulatory, institutional and budgetary framework that facilitates the continuous development of risk analysis, a tool that makes it possible to identify risk factors and causes and evaluate the probable damages and losses to be caused by natural events.
3. Risk reduction (RR): This is the DRM process focused on minimizing vulnerabilities and risks in a society, to avoid (prevention) or limit (mitigation) the adverse impact of hazards, within the broad context of sustainable development. This process includes the prospective and corrective interventions of disaster risk, and for it to be appropriately implemented it is necessary to have a good foundation of data on the risk conditions. The conceptual framework of the iGOPP references the existence of a regulatory, institutional and budgetary framework that enables the timely and appropriate intervention in the causes that generate the conditions of vulnerability.
4. Disaster Preparedness (DP): This is the DRM process whose objective is to plan, organize and test the society's response procedures and protocols in the event of a disaster, guaranteeing appropriate and timely assistance to affected persons, facilitating the normalization of the essential activities in the zone affected by the disaster. Preparedness is carried out through the monitoring of events and the definition of risk scenes, the planning, organization, training, resources and simulation for actions of alert, evacuation, search, rescue, aid, and humanitarian assistance that must be made in case of

emergency. The conceptual framework of the iGOPP references the existence of a regulatory, institutional and budgetary framework that enables the implementation of mechanisms for a quick and appropriate response to an event or imminent event of an emergency.

5. Post-Disaster Recovery Planning (RC): Ex-ante process focused on preparation for a quick and appropriate reestablishment of acceptable and sustainable life conditions through the rehabilitation, repair or reconstruction of infrastructure, goods and services that were destroyed, interrupted or deteriorated in the affected area, and the reactivation or impulse of the economic and social development of the community under conditions of lower risk than what occurred before the disaster. The conceptual framework of the iGOPP references the existence of a regulatory, institutional and budgetary framework that enables the implementation of mechanisms to reestablish means to life, basic services and infrastructure in such a way that reduces the improvisation, inefficiency and ineffectively in the post-disaster recovery processes.
6. Financial Protection (FP): This is the DRM process that seeks the optimal combination of financial mechanisms or instruments for the retention and transfer of risk to have ex-post access to timely economic resources, which improves the response capacity to disasters (smaller and recurrent events and large infrequent disasters) and protects the fiscal balance of the State¹. The conceptual framework of the iGOPP references to the existence of a regulatory, institutional and budgetary framework that enables the design and implementation of a suitable structure for the retention and transfer of disaster risk.

On the other hand, **Governance** refers to the capacity to govern a public problem. This capacity manifests itself in the ongoing and stable management on behalf of the governments and administrations but also of the sectorial and private stakeholders of a country. As the capacity to govern a public problem increases, there should be an observable increase in the effectiveness of the adopted decisions and implemented policies, thus helping to prevent a greater number of negative consequences that result in the event of a disaster.

¹ Ghesquiere and Mahul, (2010). Financial Protection of the State against Natural Disasters, A Primer, The World Bank, Latin American and the Caribbean Region, Finance and Private Sector Development, Sustainable Development Network, September 2010

Within the conceptual framework of the iGOPP, governance is approached from the perspective of the phases of the public policy process, namely:

A. Inclusion on the governmental agenda and in policy-making

The inclusion on the policy agenda is largely a response to the degree of the public problem and to the political and level of political and social pressure exerted on the institutions. For the political leadership and social and economic pressure to give rise to substantive action it may be necessary for the political realm to make significant progress toward defining the responsibilities of the different stakeholders involved in the analysis process. The iGOPP analyzes the agenda inclusion by verifying the existence of appropriate legal frameworks for DRM, or the inclusion of the subject in sectorial and territorial regulations. The iGOPP analyzes the inclusion on the agenda and formulation of public policy at three levels: (i) Central policy coordination and articulation; (ii) Definition of sectorial responsibilities; and (iii) Definition of territorial responsibilities.

B. Policy implementation

The iGOPP analyzes evidence of implementation by verifying the actions taken or the availability of resources allocated to the parties responsible for implementing the DRM policy, in its different components and governmental levels.

C. Policy Evaluation

The iGOPP analyzes public policy evaluation by looking at the existence of monitoring and accountability mechanisms, as well as citizen participation and data mechanisms.

Both dimensions (DRM and Governance/Public Policy) are shown on the iGOPP matrix structure, in 5 columns that analyze the public policy phases, and on 6 rows that analyze the components of the public policy reform process in DRM. This matrix structure is expressed in 30 cells that make up a variable number of binary indicators.

The index scoring goes from 0 to 100 and uses the following classification system:

%	Rating
91 - 100%	Outstanding
71 - 90%	Very good
41 - 70%	Considerable
21 - 40%	Incipient
0 - 20%	Low

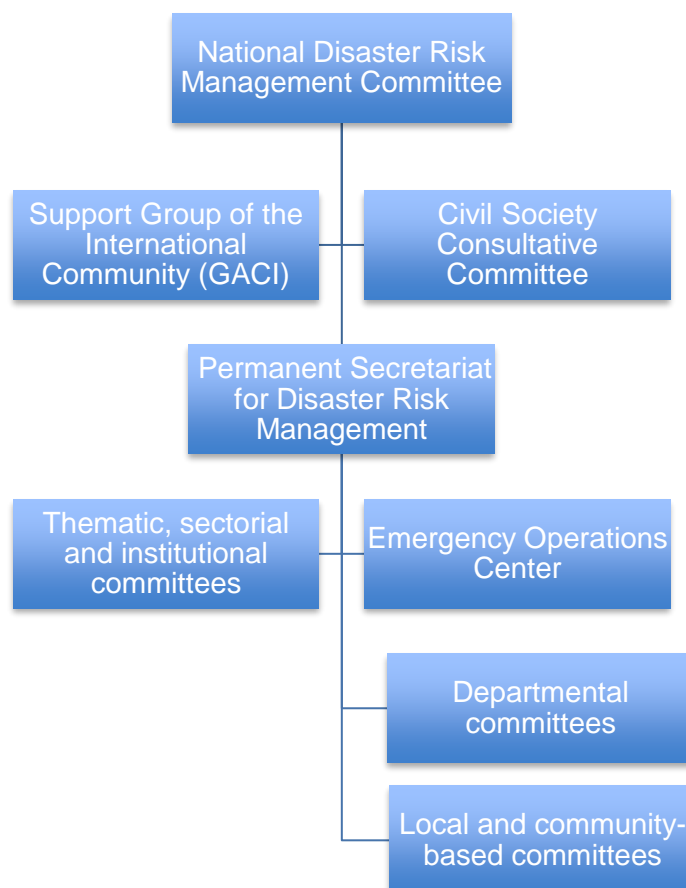
Table 1. Classification and coding of the iGOPP

Public Policy Phases Components of public policy reform in DRM	1. Inclusion on the Governmental Agenda and in Policy-Making			2. Policy implementation	3. Policy evaluation:
	Central policy coordination and articulation	Definition of sectorial Responsibilities	Definition of territorial Responsibilities	Evidence of Progress in Implementation	Monitoring, accountability and participation
General Framework of Governance for DRM (GF)	GF-1A	GF-1B	GF-1C	GF-2	GF-3
Risk identification (RI)	RI-1A	RI-1B	RI-1C	RI-2	RI-3
Risk reduction RR	RR-1A	RR-1B	RR-1C	RR-2	RR-3
Disaster preparedness (DP)	DP-1A	DP-1B	DP-1C	DP-2	DP-3
Planning of post-disaster recovery (RC)	RC-1A	RC-1B	RC-1C	RC-2	RC-3
Financial Protection (FP)	FP-1A	FP-1B	FP-1C	FP-2	FP-3

II. Institutional Framework

Haiti is a unique case when it comes to its institutional structure regarding risk management. While in terms of historical evolution Haiti's focus has followed patterns like those of the region (beginning with structures and regulations focused on preparedness and later shifting towards a systemic and preventative approach), Haiti has fallen short of achieving even a minimal regulatory framework. In fact, the current structure is not backed by any inherent laws.

In 2001, the Council of Ministers approved the National Disaster Risk Management Plan. Due to the continuous political crises in the country and their impact on the availability of files and documents from different periods, it was impossible to obtain a print or electronic copy of this approval. At the time, the national plan established an organizational and strategic structure that remains to date, recognized both nationally and internationally. The structure is as follows:



Specifically, one of the aspects of the National Disaster Risk Management Plan that was evident during the January 12, 2010 earthquake crisis, was the local structure it had conceived of. This structure has also been validated in other situations by, among other examples, national regulatory instruments and international projects.

The body originally created by law –the Organization of Pre-Disaster and Assistance (OPDES)– was formally shut down in 1998 through its founding regulations remain in force. Contrastingly, the Civil Protection Directorate (DPC), a body created at that time, exists as technical leadership for the Ministry of the Interior and backed by a Ministry of Organic Law mandate. The DPC has no legal status in and of itself, and thus does not formally replace the OPDES, though in practice it has for almost two decades.

The National Disaster Risk Management System does, in fact, exist and is operative in almost all its structures (see organizational chart), except for the National Committee.

The Permanent Secretariat for Disaster Risk Management (SPGRD) is a multi-institutional structure coordinated by the Ministry of Social Assistance which is not only operative, but also meets weekly, practically without interruption.

The Thematic and Sectorial Committees are one of the coordinating organizations conceived of in the plan. Many of the them have an active dynamic, such as: Education and Training, Construction Codes and Early Warning.

Since the creation of Civil Protection, the civil structure has functioned and with some level of efficiency, comprising more than 100 organized community-based (municipal) committees.

III. Breakdown by component

The following tables and graphs show the general levels of completion for each iGOPP indicator both by components of public policy reform in DRM and by public policy phases.

Table 2: Components of public policy reform in DRM according to the iGOPP. Haiti (2013)

1	General governance framework for DRM	12%
2	Risk identification and knowledge	10%
3	Risk reduction	12%
4	Disaster preparedness	6%
5	Post-Disaster Recovery Planning	5%
6	Financial Protection	6%

Graph 3: Components of public policy reform in DRM according to the iGOPP. Haiti (2013)

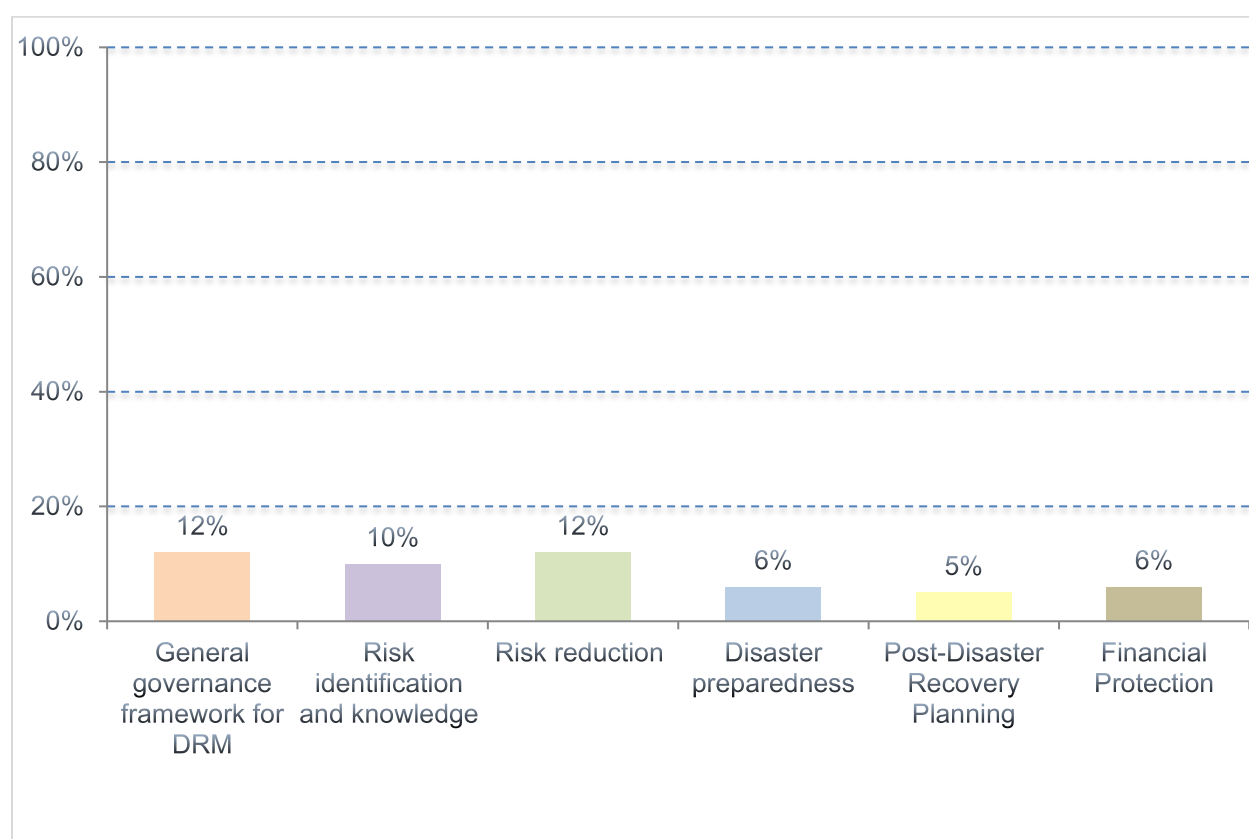
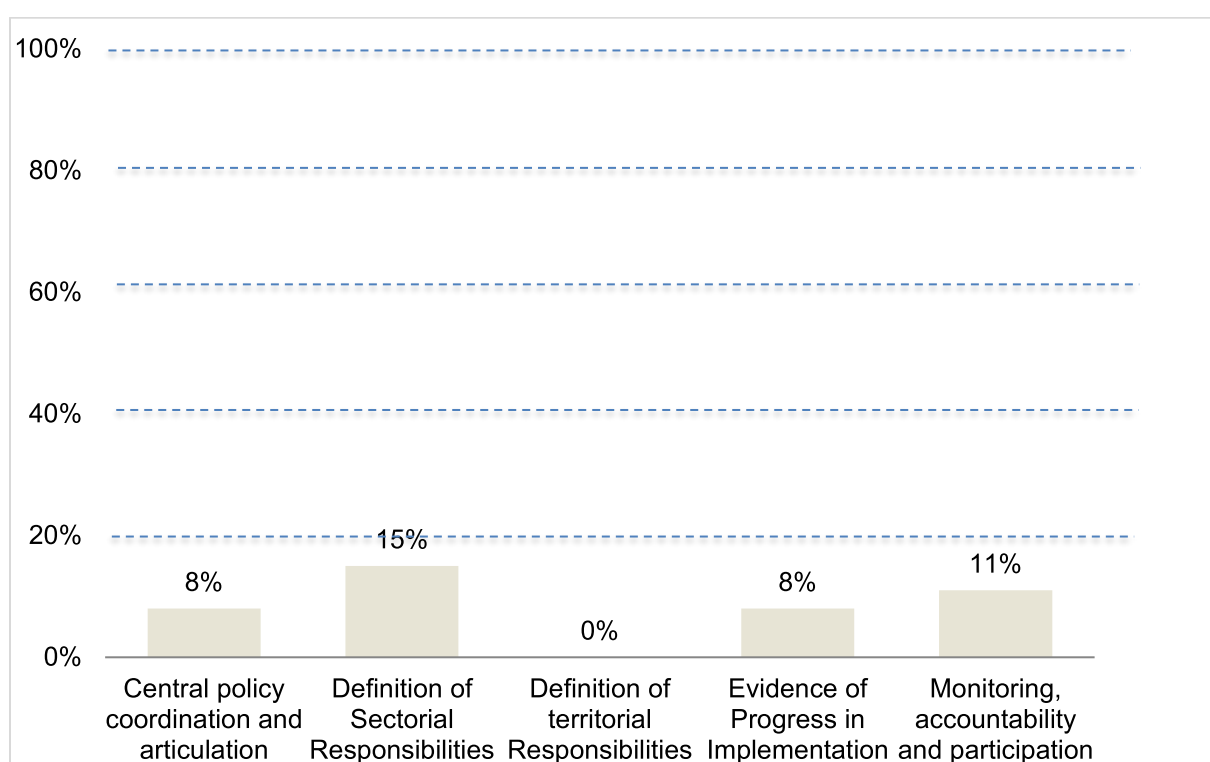


Table 3: Public policy phases according to the iGOPP. Haiti (2013)

1	Central policy coordination and articulation	8%
2	Definition of Sectorial Responsibilities	15%
3	Definition of territorial Responsibilities	0%
4	Evidence of Progress in Implementation	8%
5	Monitoring, accountability and participation	11%

Graph 4: Public policy phases according to the iGOPP. Haiti (2013)



It is important to note that, in broad terms, the country has passed very little legislation since the 1991 crisis (the first time President Jean Bertrand Aristide was ousted). Much of the progress made in different public policy areas has been made by consensus and by the development of technical instruments. In fact, at many times, the country has operated in the absence of a Parliament.

The most important elements identified in the general framework of public policy are as follows:

- The National Development Plan expressly includes Disaster Risk Management, with concrete objectives and goals.
- Haiti has an articulated platform to coordinate with civil society (AGERCA) that has been operating for over a decade.

The following shows a *qualitative analysis of the indicators* for each component of the DRM organized by public policy phase: 1. Inclusion on the Governmental Agenda and in Policy-Making: 1.1. Central policy coordination and articulation, 1.2. Definition of sectorial responsibilities, 1.3 Definition of territorial responsibilities; 2. Policy implementation: 2.1 Evidence of Progress in Implementation 3. Policy Evaluation: 3.1. Monitoring, accountability and participation

A. General framework of governance for disaster risk management (GF)

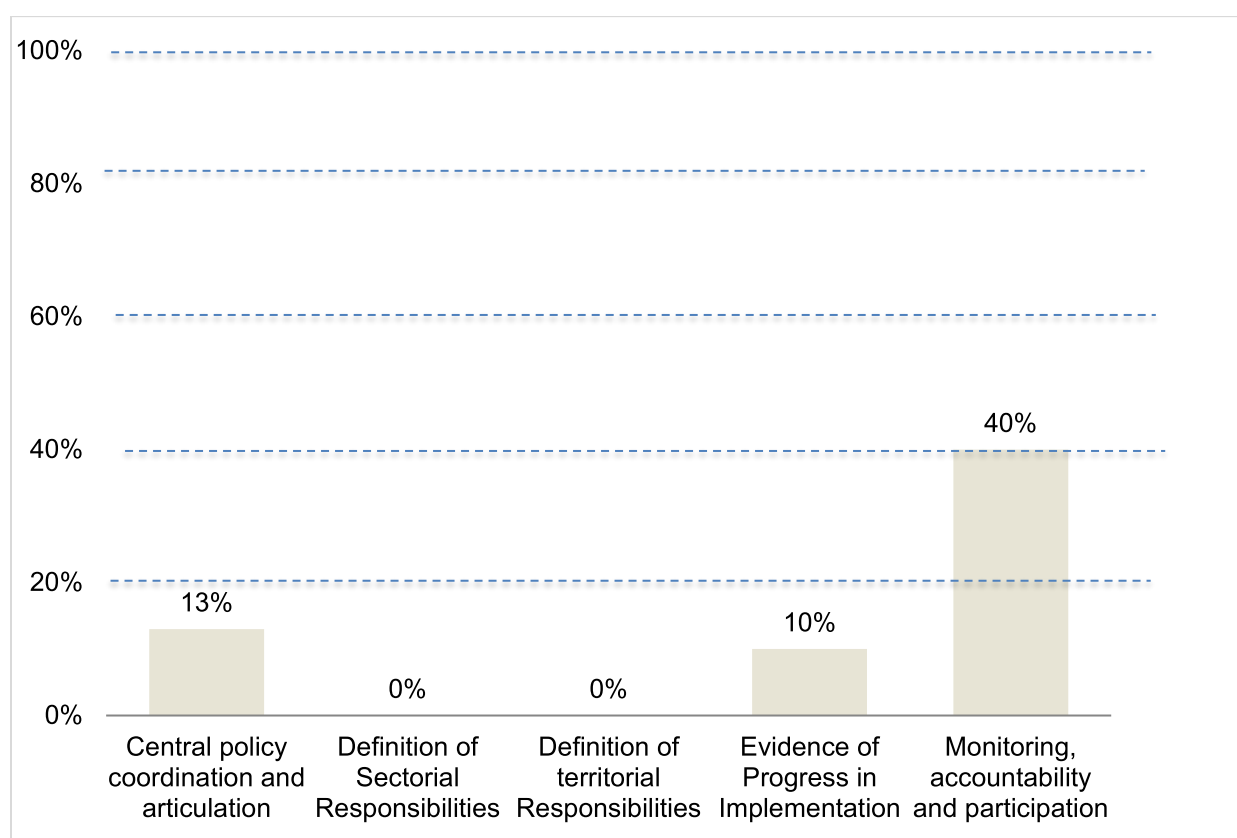
Result for this component: 12% (low)

The aspects related to the General Framework of Governance for DRM and their inclusion on the governmental agenda are in the "Low" range, with a completion score of 12%. In the "Monitoring, accountability and participation" phase there is a higher rate of completion at 40%, while in the "Definition of sectorial responsibilities" and "Definition of territorial responsibilities" no indicators are fulfilled.

Table 4: General Framework for Governance of DRM by Public Policy Phase. Haiti (2013)

1	Central policy coordination and articulation	13%
2	Definition of Sectorial Responsibilities	0%
3	Definition of Territorial Responsibilities	0%
4	Evidence of Progress in Implementation	10%
5	Monitoring, accountability and participation	40%

Graph 5: General Framework for Governance of DRM by Public Policy Phase. Haiti (2013)



The following is a description of the most significant achievements of the iGOPP analysis for this component as they relate to the three main public policy phases 1. Inclusion on the government agenda and in policy making, 2. Policy implementation, and 3. Policy evaluation, at the different levels addressed by the iGOPP.

1. Inclusion on the Governmental Agenda and in Policy-Making:

1.1. Central policy coordination and articulation

When considering the inclusion of Risk Management in Haiti's political agenda, the fact that Haiti has endured various political crises in the past 20 years must be taken into account. Also significant is the fact that the United Nations Stabilization Mission in Haiti has played a considerable role in governance-related processes.

As has already been mentioned, as of 2001 the institutional structure for risk management changed in Haiti. This revision was not made at a legislative level which is why, to date, the country has an organizational and strategic structure that operates without legal backing.

However, one indication that there is political and strategic interest in risk management, at least at the Executive level, is the inclusion of corresponding criteria in the Strategic Development Plan.² In chapter 4, section 4.3, risk management is defined as a cross-cutting goal (gestion des risques).

1.2. Definition of Sectorial Responsibilities

None of the indicators in this policy phase was met.

1.3 Definition of territorial Responsibilities

None of the indicators in this policy phase was met.

² See indicator GF-1A-5a

2. Policy implementation

2.1 Evidence of progress in implementation

In this policy phase 10% of indicators were met. There is a budgetary distinction under the Law of Finance (Loi de finances) 2013-2014, used by various sectors to allocate resources for ex ante risk management activities³: (i) A watershed Management Program which includes as a subcomponent an emergency program to precede the rainy season and cyclone season in climatic risk zones; (ii) A Central Administration Modernization Program which includes support for disaster risk management as a subcomponent and (iii) a Territorial Management and Development Program.

It should be noted that no evidence of a program aimed at allocating resources to climate change adaptation activities was found under the Law of Finance 2013-2014⁴.

No evidence was found of budgetary resources to finance stewardship and articulation activities as they relate to disaster risk management, because the Directorate of Civil Protection is a technical branch of the Ministry of the Interior and thus has no budget of its own (though it does receive resources to carry out its function)⁵.

Regarding the existence of resources to finance ex ante disaster risk management activities, there was no evidence of funds apportioned for this purpose ⁶. Nor was there evidence of funds apportioned to finance activities related to climate change adaptation⁷.

Regarding mechanisms to acquire risk transfer tools, Haiti participates in the Caribbean Catastrophe Risk Insurance Facility (CCRIF). However, the country does not have a financial mechanism that allows the purchase of insurance⁸. Nor are there budgetary incentives for sectors and territories to allocate resources to Disaster Risk Management⁹.

³ See indicator GF-2-3a

⁴ See indicator GF-2-4a

⁵ See indicator GF-2-2a

⁶ See indicator GF-2-5a

⁷ See indicator GF-2-6a

⁸ See indicator GF-2-7a

⁹ See indicators GF-2-9a and GF-2-10a

3. Policy evaluation

3.1. Monitoring, accountability and participation

This is the policy phase that has the highest level of completion with two of five of the group's indicators met (40%). It was shown that DRM progress is periodically evaluated¹⁰ as part of the compliance monitoring process of the Hyogo Framework for Action.

Of utmost relevance is that Haiti is one of the few countries that has a permanent mechanism in place for the participation of civil society. The PNGR expects the formation of the Civil Society Advisory Group¹¹ and there is a nation-wide association –The Alliance for Risk Management and Continuity of Operations (AGERCA)– that has ample non-governmental and private-sector support, which meets periodically and participates in the Permanent Secretariat and the COE.

B. Risk Identification and knowledge (RI)

Introduction:

Result for this component: 10% (low)

The RI component puts general progress in the "low" range for Haiti at 10%. With regards to the public policy phases within this component, "Central policy coordination and articulation" meets with the highest number of indicators for a completion rating of 25%. The "Definition of territorial responsibilities" and the "Monitoring, accountability and participation" components do not satisfy any indicators.

In terms of risk identification, Haiti has organizations dedicated to hazards monitoring and analysis, though these institutions are remarkably weak. In recent years three entities that are expected to play an important role in this area have been established: The National Observatory

¹⁰ See indicator GF-3-4a

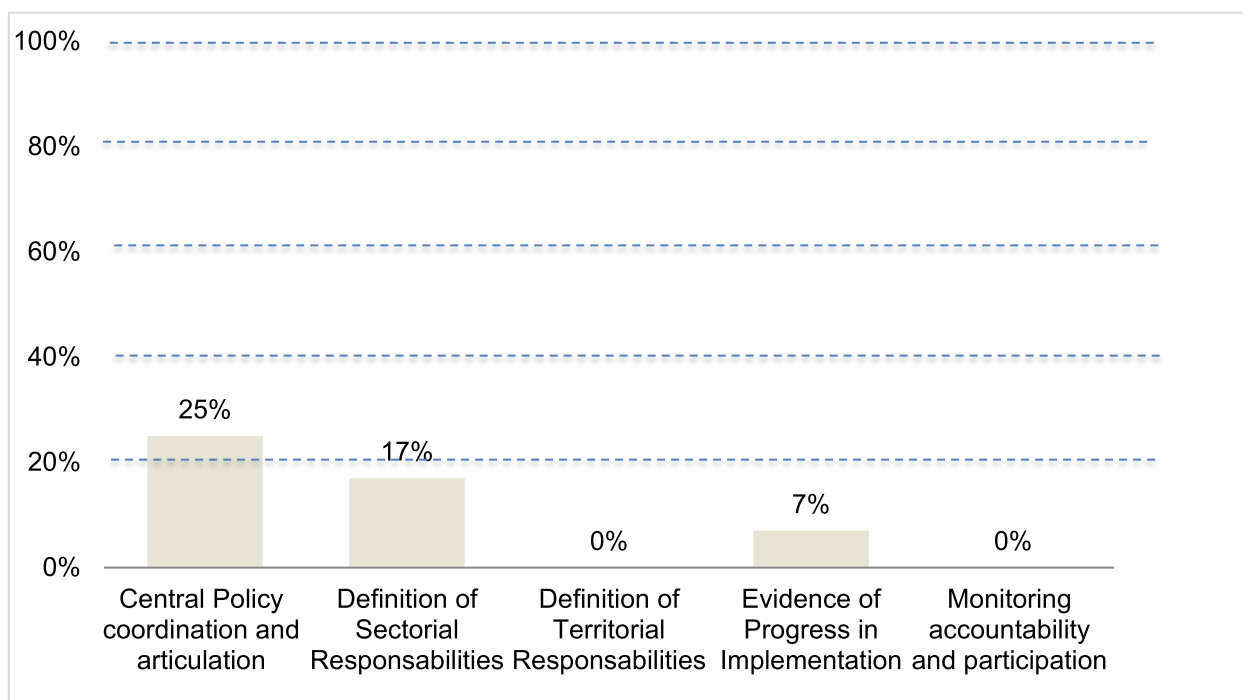
¹¹ See indicator GF-3-5a

for Environment and Vulnerability (ONEV), The National Center for Geospatial Information (CNIGS) and The Intergovernmental Commission for Territorial Planning (CIAT).

Table 5: Risk Identification by Public Policy Phase. Haiti (2013)

1	Central policy coordination and articulation	25%
2	Definition of Sectorial Responsibilities	17%
3	Definition of territorial Responsibilities	0%
4	Evidence of Progress in Implementation	7%
5	Monitoring, accountability and participation	0%

Graph 6: Risk Identification by Public Policy Phase. Haiti (2013)



The following is a description of the most significant achievements of the iGOPP analysis for this component as they relate to the three main public policy phases 1. Inclusion on the government

agenda and in policy making, 2. Policy implementation, and 3. Policy evaluation, at the different levels addressed by the iGOPP.

1. Inclusion on the Governmental Agenda and in Policy-Making:

1.1. Central policy coordination and articulation

In this phase one of four indicators are met, resulting in a score of 25%. For the most part, there are no general regulations for Risk Identification. However, the responsibility to provide disaster risk information and to integrate it into territorial planning does exist as part of environmental sector regulations¹².

1.2. Definition of Sectorial Responsibilities

In this policy phase three indicators were met for a score of 17%. The environmental and agricultural sectors establish risk management responsibilities within their respective regulations¹³.

An area that has shown significant progress is that of construction regulations. Presently there are defined risk categories related to buildings¹⁴. Among them is that of civil protection which provides for fundamental services in the event of a natural disaster (protection civile où sont fournis les services essentiels en cas de catastrophe).

1.3 Definition of Territorial Responsibilities.

None of the indicators in this policy phase was met.

¹² See indicator RI-1A-3a

¹³ See indicators RI-1B-8a and RI-1B-9a

¹⁴ See indicator RI-1B-18a

2. Policy Implementation:

2.1 Evidence of progress in implementation

It was only possible to demonstrate the allocation of resources the disaster risk analysis in the agricultural sector. These can be identified in the Law of Finance 2013-2014¹⁵.

In terms of utility companies (water, sanitation, electricity and telecommunications), there was no evidence of the allocation of resources to identify disaster risk¹⁶.

3. Policy Evaluation:

3.1. Monitoring, accountability and participation

None of the indicators in this policy phase was met.

C. Risk Reduction (RR)

Introduction:

Result for this component: 10% (low)

In the RR component for Haiti, the iGOPP shows a completion level of 10% of all categories for a resulting score in the "low" range.

Just as in the other components, the absence of a binding legal framework combined with the general state of governance in the country boils down to limited options when it comes to controlling risk creation processes.

A crucial aspect in the development of DRM in Haiti was the recent publication of a National Construction Code which establishes criteria for seismic hazards, hurricanes and floods. The

¹⁵ See indicator RI-2-4

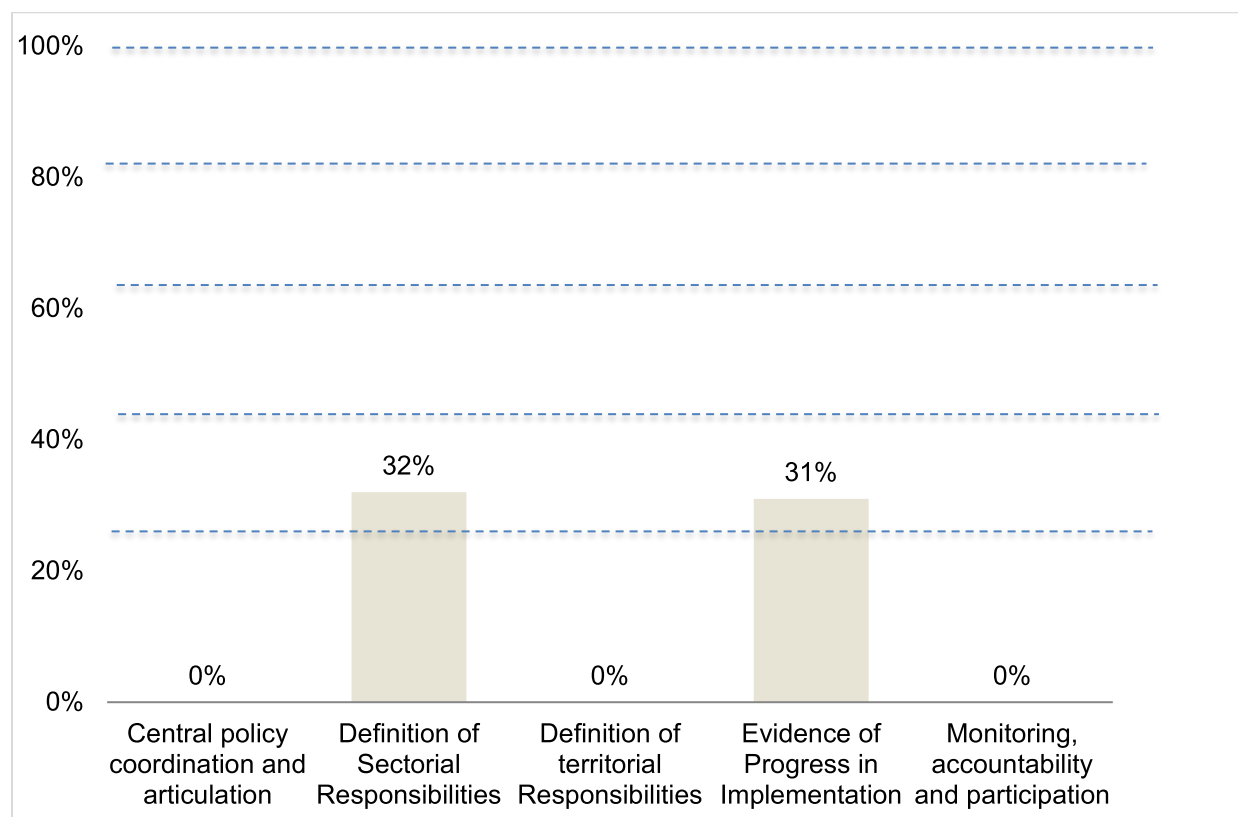
¹⁶ See indicators RI-2-13 and RI-2-14

code has not yet been formally adopted as a regulation –and thus in applying the iGOPP is not counted as a met condition. However, it does highlight a meaningful prospect: a shift towards the adoption of regulations that build on risk identification to pave the way for risk reduction and prevention mechanisms.

Table 6: Risk Reduction by Public Policy Phase. Haiti (2013)

1	Central policy coordination and articulation	0%
2	Definition of Sectorial Responsibilities	32%
3	Definition of Territorial Responsibilities	0%
4	Evidence of Progress in Implementation	31%
5	Monitoring, accountability and participation	0%

Graph 7: Risk Reduction by Public Policy Phase. Haiti (2013)



The following is a description of the most significant achievements of the iGOPP analysis for this component as they relate to the three main public policy phases 1. Inclusion on the government agenda and in policy making, 2. Policy implementation, and 3. Policy evaluation, at the different levels addressed by the iGOPP.

1. Inclusion on the Governmental Agenda and in Policy-Making:

1.1. Central policy coordination and articulation

None of the indicators for this political phase was met.

1.2. Definition of Sectorial Responsibilities

Before the January 2010 earthquake, the country was progressing towards the creation of guidelines for earthquake resistant construction. Unfortunately, the seismic event occurred shortly before this process was completed. However, with the impetus created by the ramifications of the natural disaster, one thing that was bolstered, in terms of political and institutional commitment, was the publication of a National Construction Code ¹⁷ (Règles de calcul intérimaires pour les bâtiments en Haïti. Surcharges dues à l'usage, au vent et considérations parasismiques) which has not yet been formally adopted as a regulation.

Additionally, environmental management regulations in the agricultural and health sectors were shown to incorporate criteria of risk management¹⁸.

It was demonstrated that Haiti lacks regulations requiring disaster risk analysis to be incorporated into the different phases of the public investment project cycle¹⁹. Nor are there regulations that require climate change studies to be carried out as a part of the pre-public investment process²⁰.

¹⁷ See indicator RR-1B-3a

¹⁸ See indicators RR-1B-6a, RR-1B-7a, RR-1B-8a, RR-1B-9a,

¹⁹ See indicators RR-1B-17 and RR-1B-19

²⁰ See indicator RR-1B-18

1.3 Definition of territorial responsibilities.

None of the indicators for this political phase was met.

2. Policy Implementation:

2.1 Evidence of progress in implementation

This policy phase has the highest indicator completion rate for this component with a score of 31%.

In applying the iGOPP, it was shown that the environmental²¹, agricultural²², educational²³, transport²⁴ and energy²⁵ sectors allocate resources to disaster risk reduction activities. These can be identified in the Loi de finances 2013-2014.

In terms of utility companies (water, sanitation, electricity and telecommunications), there was no evidence of the allocation of resources for disaster risk reduction activities²⁶.

3. Policy Evaluation:

3.1. Monitoring, accountability and participation

None of the indicators for this policy phase was met.

D. Disaster preparedness (DP):

Result for this component: 6% (low)

²¹ See indicator RR-2-1

²² See indicator RR-2-2

²³ See indicator RR-2-5

²⁴ See indicator RR-2-7

²⁵ See indicator RR-2-10

²⁶ See indicators RR-2-11, RR-2-12 and RR-2-13

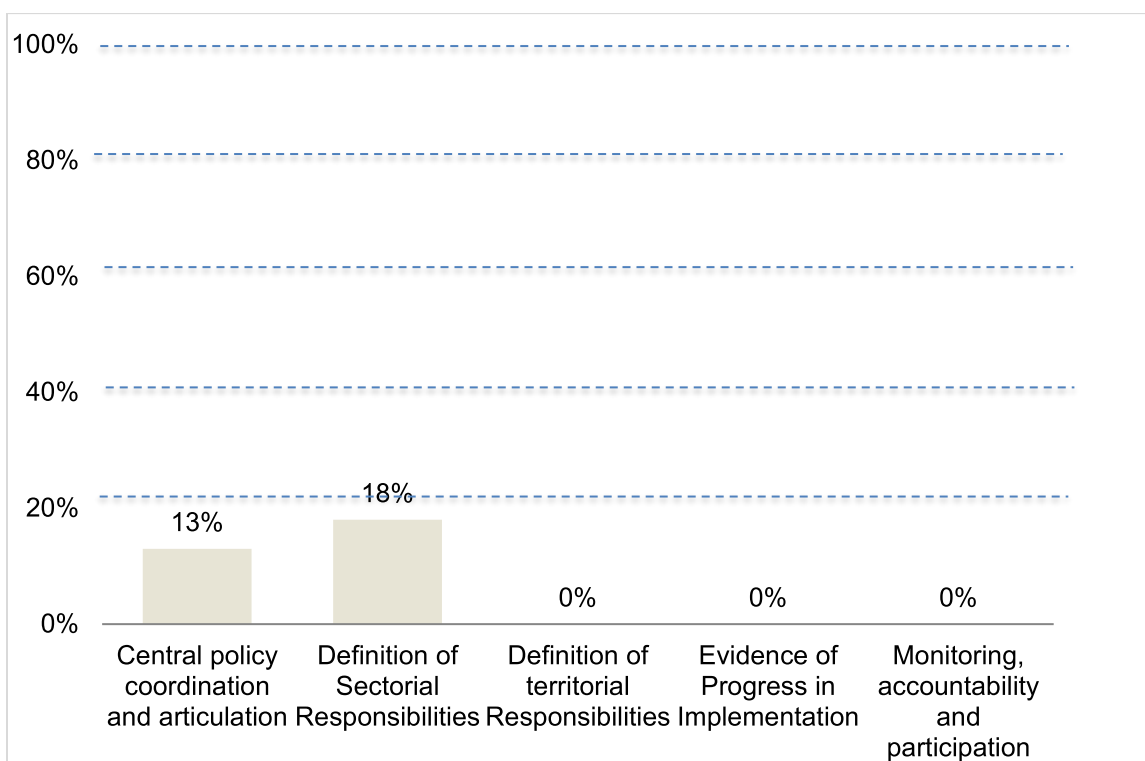
The iGOPP results show a completion rate of 6.03% of the indicators for the DP component, for a resultant score in the "low" range.

Despite what might be expected of a country with disaster preparedness legislation in place, this is not the component with the highest completion level. To the contrary, not only does this component come in at fourth place, but three out of the five of the policy phases do not meet with any indicators at all.

Table 7: Disaster Preparedness by Public Policy Phase Haiti (2013)

1	Central policy coordination and articulation	13%
2	Definition of Sectorial Responsibilities	18%
3	Definition of Territorial Responsibilities	0%
4	Evidence of progress in implementation.	0%
5	Monitoring, accountability and participation	0%

Graph 8: Disaster Preparedness by Public Policy Phase Haiti (2013)



The following is a description of the most significant achievements of the iGOPP analysis for this component as they relate to the three main public policy phases 1. Inclusion on the government agenda and in policy making, 2. Policy implementation, and 3. Policy evaluation, at the different levels addressed by the iGOPP.

1. Inclusion on the Governmental Agenda and in Policy-Making:

1.1. Central policy coordination and articulation

Only one of eight indicators in this policy phase was met, for a score of 13%.

Following the 2010 earthquake, the State of Emergency Law²⁷ was adopted (Lois sur l'État d'Urgence), which modified and clarified the State of Emergency described in the National Constitution.

1.2. Definition of Sectorial Responsibilities

In this policy phase 18% of indicators were met. The environmental, agricultural and health²⁸ sectors have responsibilities related to disaster preparedness processes built into their regulations.

1.3 Definition of territorial responsibilities

None of the indicators for this policy phase was met.

2. Policy implementation

2.1 Evidence of progress in implementation

²⁷ See indicator DP-1A-4a

²⁸ See indicators DP-1B-3a, DP-1B-4a and DP-1B-5a

No budgetary allocation for the Civil Protection Directorate could be found²⁹. Additionally, there was neither evidence of resources allocated for disaster preparedness activities in the firefighter's corps³⁰, nor in the entity responsible for preventing and fighting forest fires³¹.

With the application of the iGOPP it was noted that there are no emergency or contingency plans at the sectorial level; additionally, in some sectors, there was no evidence of resources allocated to disaster preparedness activities³².

In terms of utility companies (water, sanitation, electricity and telecommunications), there was no evidence of existing emergency or contingency plans.³³

3. Policy Evaluation:

3.1. Monitoring, accountability and participation

None of the indicators for this policy phase was met.

E. Recovery Planning (RC)

Result for this component: 5% (Low)

The iGOPP results indicate a score in the "low" range for this component with 5% completion of related indicators.

Of all the indicators in this set, only one was met which shows that, yet, processes related to recovery have not been prioritized in policy making.

²⁹ See indicator DP-2-1

³⁰ See indicator DP-2-2

³¹ See indicator DP-2-3

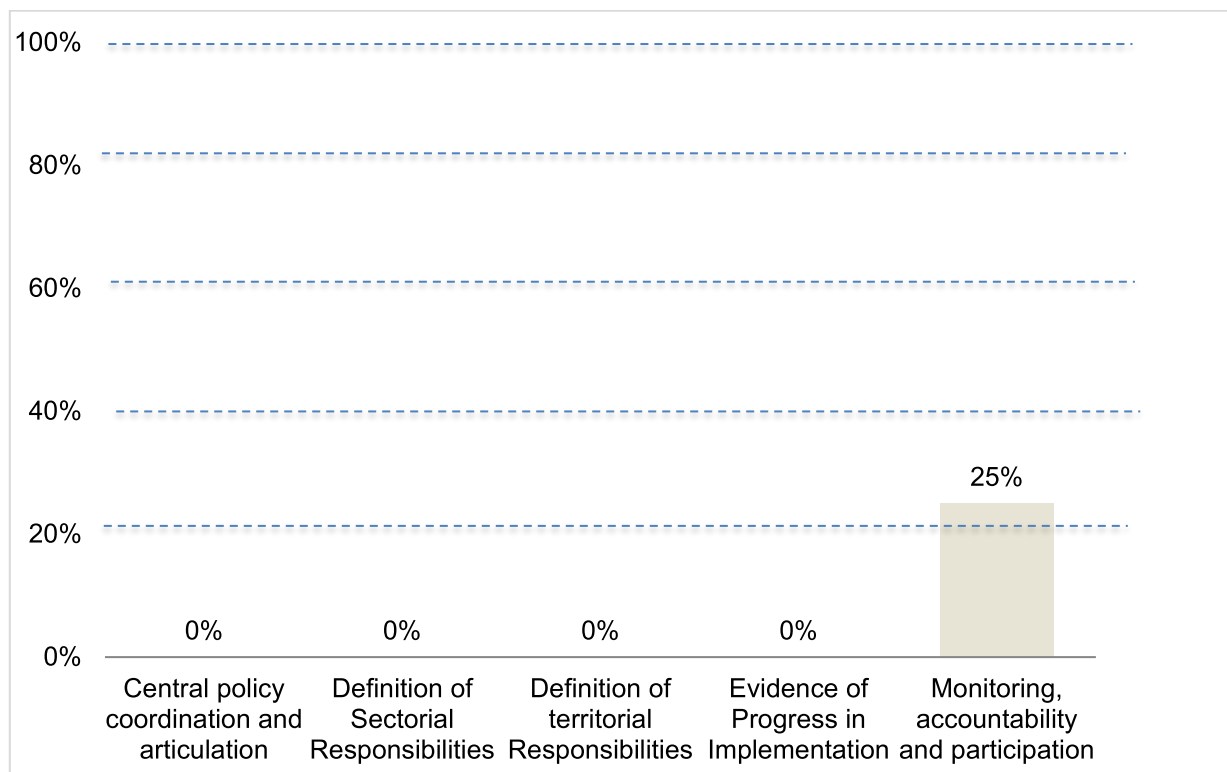
³² See indicators DP-2-4 through DP-2-12

³³ See indicators DP-2-13 through DP-2-15

Table 8: Recovery Planning by Public Policy Phase. Haiti (2013)

1	Central policy coordination and articulation	0%
2	Definition of Sectorial Responsibilities	0%
3	Definition of Territorial Responsibilities	0%
4	Evidence of progress in implementation.	0%
5	Monitoring, accountability and participation	25%

Graph 9: Recovery Planning by Public Policy Phase. Haiti (2013)



The following is a description of the most significant achievements of the iGOPP analysis for this component as they relate to the three main public policy phases 1. Inclusion on the government agenda and in policy making, 2. Policy implementation, and 3. Policy evaluation, at the different levels addressed by the iGOPP.

1. Inclusion on the Governmental Agenda and in Policy-Making:

1.1. Central policy coordination and articulation

None of the indicators was met.

1.2. Definition of Sectorial Responsibilities

None of the indicators was met.

1.3 Definition of territorial responsibilities

None of the indicators for this policy phase was met.

2. Policy Implementation

2.1 Evidence of progress in implementation

None of the indicators was met.

3. Policy Evaluation

3.1. Monitoring, accountability and participation

This is the only policy phase where one indicator was met. It was demonstrated that during the 2010 disaster a mechanism to inform the public about the recovery process was activated³⁴.

F. Financial Protection (FP):

Result for this component: 1% (Low)

³⁴ See RC-3-3a

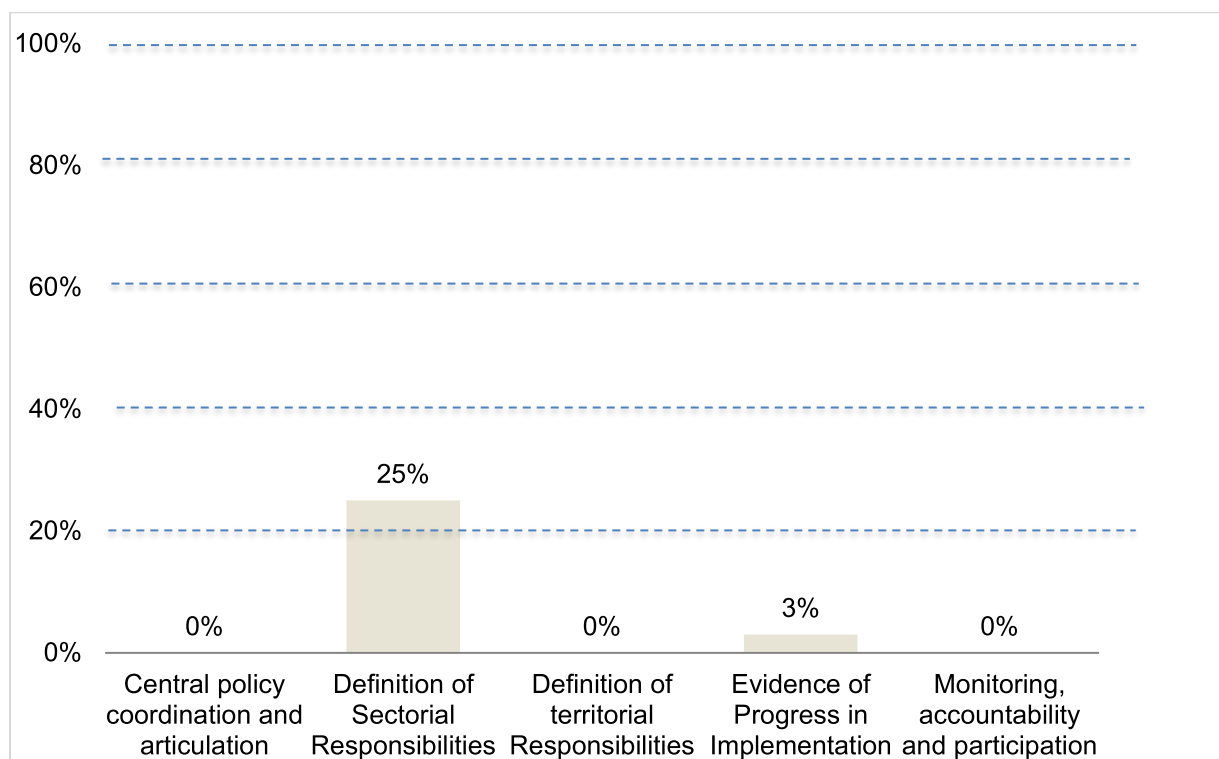
The iGOPP results for the FP component place general progress in the "low" range, with 1% of the conditions met.

Public policy analysis illustrates that all the phases have a general progress level in the "low" range: "Central policy coordination and articulation" (0%), "Definition of sectorial responsibilities" (25%), "Definition of territorial responsibilities" (0%), "Evidence of progress in implementation" (3%) and "Monitoring, accountability and participation" (0%). (See Table 8, Graph 11)

Table 9: Financial Protection by Public Policy Phase. Haiti (2013)

1	Central policy coordination and articulation	0%
2	Definition of Sectorial Responsibilities	25%
3	Definition of Territorial Responsibilities	0%
4	Evidence of progress in implementation.	3%
5	Monitoring, accountability and participation	0%

Graph 10: Financial Protection by Public Policy Phase. Haiti (2013)



The following is a description of the most significant achievements of the iGOPP analysis for this component as they relate to the three main public policy phases 1. Inclusion on the government agenda and in policy making, 2. Policy implementation, and 3. Policy evaluation, at the different levels addressed by the iGOPP.

1. Inclusion on the Governmental Agenda and in Policy-Making:

1.1. Central policy coordination and articulation (FP-1A):

There are no national regulations regarding Disaster Risk Management and consequently no funds for disaster management created by DRM regulations. It should be noted that en the Loi de

finances 2013-2014, in the section titled Fonds de Gestion et de Développement des Collectivités Territoriales (FGDCT), there are resources earmarked for the Fond d'Urgence³⁵.

However, there was no evidence of development funds apportioned to finance disaster management activities³⁶.

The iGOPP could not demonstrate the existence of regulations to develop a strategy for the retention and transfer of disaster risk³⁷.

1.1. Definition of Sectorial Responsibilities (FP-1B):

In the Development Plan, promoting the insurance of the private sector is an established objective³⁸. This is because, given the State's limited resources, the greater the number of insured private entities, the greater the amount of resources that can be allocated to aiding the most vulnerable populations.

The iGOPP found no existing regulations that give the Ministry of Economy and Finance jurisdiction in the field of financial protection when facing disaster risk³⁹.

At the sectorial level, there are no regulations to require the insurance of public assets⁴⁰.

1.2. Definition of Territorial Responsibilities (FP-1C):

In territorial administrations, there is no evidence of existing regulations to require the insurance of public assets⁴¹.

³⁵ See indicator FP-1A-1

³⁶ See indicator FP-1A-6

³⁷ See indicator FP-1A-3

³⁸ See indicator FP-1B-4

³⁹ See indicator FP-1B-2

⁴⁰ See indicator FP-1B-3

⁴¹ See indicator FP-1C-1

Additionally, there were no regulations to mandate the implementation of financial protection structures in the case of disasters in cities with more than 100,000 inhabitants⁴². Nor was there evidence of a fund for disaster management activities in Port-au-Prince⁴³.

2. Policy implementation

2.1 Proof of progress in implementation (FP-2):

Regarding risk-retention instruments, Haiti has a Fund for the Development and Management of Collective Territories to finance disaster management activities⁴⁴, which does not have the ability to consolidate resources over time⁴⁵. However, the country has no Contingency Loans for Emergencies caused by Natural Disasters⁴⁶.

Regarding financial protection strategies in the event of natural disasters, the Capitol City of Port-au-Prince has no such structure⁴⁷.

In terms of other risk transfer instruments, because public assets are not required to be insured, there was neither evidence of existing standards for insuring public assets⁴⁸, nor of concessions⁴⁹, nor directives regarding territorial entities⁵⁰.

Moreover, there was no evidence of ex ante financial instruments to encourage economic recovery in areas affected by disasters in any sector, including the agricultural sector⁵¹. It is worth noting that the development of a project to create a contingency reserve to respond to agricultural crises is underway. The iGOPP also demonstrated the absence of a financial protection structure in the agricultural sector⁵². Nevertheless, an agricultural assurance project is progressing, being piloted in two of the country's departments.

⁴² See indicator FP-1C-2

⁴³ See indicator FP-1C-3

⁴⁴ See indicator FP-2-8

⁴⁵ See indicator FP-2-9

⁴⁶ See indicator FP-2-11

⁴⁷ See indicator FP-2-1

⁴⁸ See indicator FP-2-4.

⁴⁹ See indicator FP-2-5.

⁵⁰ See indicator FP-2-7.

⁵¹ See indicator FP-2-14

⁵² See indicator FP-2-15

3. Policy Evaluation (PF 3)

3.1. Monitoring, accountability and participation:

The iGOPP demonstrates the absence of monitoring, accountability and participation in this component⁵³; none of the indicators was met.

⁵³ See indicators FP-3-1 to FP-3-3

IV. Conclusions:

1. The country has a considerable lack of General Regulations which impedes or hampers progress in all risk management processes. Specifically, since there is no express regulation to clearly define instruments and responsibilities at the appropriate political level, the scope and impact of many initiatives are hindered.
2. There are factors at the sectorial and transectoral level, such as an important dynamic that was reinforced following the January 12, 2010 earthquake. However, this sectorial dynamic, quite evident in the areas of agriculture, health or energy and transportation is not backed by sectorial regulations.
3. The Haitian decentralization process is in its very beginnings, above all in terms of financial and political decentralization. This means that though there is clear interest in developing risk management measures in most of communities (municipalities), the ability to do so is extremely limited from a regional perspective.
4. The implementation of management strategies in Haiti is clearly visible, with key participation from the international cooperation effort. At the same time, most plans and strategies are not backed by existing law.

V. Recommendations for Political Reform:

DRM Component	Short-term (1-4 years)	Medium-term (4-8 years)	Long-term (8+ years)
<i>a. General governance framework for DRM (GF)</i>			
Increase and support decision making processes aimed at the adoption of a legislative framework		X	X

for risk management and adapting to climate change.			
Promote the adoption of legislation that legitimizes or adequately defines the institutional structure of the DRM and gives it the technical and political status it requires, such as budgetary autonomy.	X		
The design and implementation of a tool that identifies budgetary allocations related to climate change adaptation activities is recommended.	X		

DRM Component	Short-term (1-4 years)	Medium-term (4-8 years)	Long-term (8+ years)
<i>b. Risk identification and knowledge (RI)</i>			
Promote the creation of a law that clearly outlines institutional responsibilities and the mechanisms of information exchange.	X		
Promote the adoption of a geospatial data infrastructure, as well as protocols and regulations that allow for adequate exchange and mainstreaming of information.	X		
Funding mechanisms should be incentivized so that different sectors may access resources to perform disaster risk analysis.	X		

DRM Component	Short-term (1-4 years)	Medium-term (4-8 years)	Long-term (8+ years)
<i>c. Risk Reduction (RR)</i>			
Foster the adoption of regulations (by executive decree) that integrate the aims of risk management and climate change adaptation.	X		
Promote regulations that expressly define the responsibilities of every sector and level of government as they relate to the risk reduction component.	X		
Legislation that would require risk analysis to be taken into account in pre-investment phases and other public investment phases should be promoted.	X		
Legislation stipulating that public investment approval should be subject to prior consideration of climate change studies should be made a part of existing requirements.	X		
Funding mechanisms should be incentivized so that different sectors have access to disaster risk reduction resources.	X		

DRM Component	Short-term (1-4 years)	Medium-term (4-8 years)	Long-term (8+ years)
<i>d. Disaster preparedness (DP)</i>			
Promote the crucial adoption of regulations that legitimize and organize the institutional structure for disaster preparedness.	X		

Promote legislation, at least at the regulatory level, that organizes monitoring and early alert systems according to clearly defined criteria.	X		
In the hope of enhancing disaster preparedness, utility companies and other sectors should be encouraged to draft emergency, contingency and continuity of operations plans.	X		

DRM Component	Short-term (1-4 years)	Medium-term (4-8 years)	Long-term (8+ years)
<i>e. Recovery Planning (RC)</i>			
Promote the adoption of a strategic framework for post-disaster recovery.	X		
Promote the adoption of ex ante recovery plans in the different sectors and ministries.	X	X	
Promote the adoption of measures that require business and service continuity plans from utility companies.		X	

DRM Component	Short-term (1-4 years)	Medium-term (4-8 years)	Long-term (8+ years)
<i>f. Financial Protection (FP):</i>			
Responsibilities should be assigned to the Ministry of Economy and Finance regarding the development of a strategy for the financial management of disaster risk.	X		
Regulations that require public assets to be insured should be developed as well as corresponding standards.		X	
Studies should be done to estimate the maximum probable losses in catastrophic and recurring events.	X		

A financial protection structure for the agricultural sector should be designed.			X
Ex ante financial instruments aimed at encouraging economic recovery in disaster-affected areas should be designed.		X	