**Annex 6.5.1.**

**Detailed action plan for fulfillment of ex-ante conditionality 5.1. Risk prevention and risk management: the existence of national or regional risk assessments for disaster management taking into account climate change adaptation**

| **Conditionality** | **Unfulfilled/partially fulfilled criteria** | **Actions taken to fulfill the criteria** | **Deadlines** | **Responsible body** |
| --- | --- | --- | --- | --- |
| *5.1. Risk prevention and risk management: the existence of national or regional risk assessments for disaster management taking into account climate change adaptation* | *A national or regional risk assessment with the following elements shall be in place:* | Implementation of the RO-RISK project, consisting in several activities answering to below criteria, which is to be finalised through: | 2013-2016 | MIA / GIES |
| * *Country Report on risk assessment, including the results of risk assessment, risk matrix, analysis of uncertainty, recommendations for disaster risk reduction* and *prioritisation of investements based on risk assessment, within the assessment of risk scenarios* | November 2016 | MIA / GIES |
| Setting up the Department for Emergency Situation, the National Committee for Weather and Disasters and the National Committe for Special Emergency Situations | January 2014 / Fulfilled | MIA / GIES |
| Approving the national regulatory framework for the functioning of the National Platform for Disaster Risk Management, including GLERN | December 2015 | MIA / GIES |
| – *A description of the process, methodology, methods and non-sensitive data used for risk assessment as well as of the risk-based criteria for the prioritisation of investment* | Study of legal, regulatory and institutional framework of risk management in Romania and the risk assessment, through a TA contract (Activity 1) |  |  |
| * Launching tender for TA contract | March 2015 / Fulfilled | MIA / GIES |
| * Signing the TA contract | May 2015/  Fulfilled | MIA / GIES |
| * Delivering the Study, including a set of legal and institutional measures to be approved by GLERN | October 2015 | MIA / GIES |
| Develop and implement national risk assessment methodology, through a TA contract (Activity 2) |  |  |
| * Signing the TA contract | October 2014 / Fulfilled | MIA / GIES |
| * Delivery of the first draft of the methodology to be used in the risk assessment | February 2015/ Fulfilled | MIA / GIES |
| * Finalising the methodology based on feed-back after the application of the methodology | November 2016 | MIA / GIES |
| Study on acceptable risk in Romania, through a TA contract (Activity 2) |  | MIA / GIES |
| * Signing TA contract | September 2014 / Fulfilled | MIA / GIES |
| * Delivering the Study on acceptable risk in Romania | April 2015/ Fulfilled | MIA / GIES |
|  | Setting up the database with risk exposure and response capabilities and the development of WebGIS application and GIS portal (Activity 3): |  |  |
| * Launching tender for development of the database and GIS portal | February 2015 / Fulfilled | MIA / GIES |
| * Signing contract for development of the database and GIS portal | July 2015 | MIA / GIES |
| * Development of the database and GIS portal and provision of necessary IT equipment and software | July 2016 | MIA / GIES |
| ‒ *A description of single-risk and multi-risk scenarios.* | Description and assessment of representative risk scenarios to be carried out for each of the following nine risks: floods, drought, forest fires, earthquakes, landslides, Seveso accidents, accidents during the transport of dangerous goods, nuclear accidents, epidemics and zoonotic disease, based on the national risk assessment methodology, through a project developed under OPAC (Activity 4): |  |  |
| * Developing and approving the project under OPAC | August 2015 | MIA / GIES |
|  | * Starting project activities | September 2015 |  |
| * Single-risk and multi-risk scenarios have been elaborated | * Identification of representative risk scenarios and prioritization of these scenarios in accordance with the criteria established by the methodology / Hazard analysis | February 2016 | MIA / GIES |
| * Risk scenario assessment for each type of risk | August 2016 | MIA / GIES |
| * A description of these scenarios is available. | * Country report on risk assessment including the *results of risk assessment, risk matrix, analysis of uncertainty and recommendations for disaster risk reduction* and p*rioritisation of investements based on risk assessment, within the assessment of risk scenarios* | November 2016 | MIA / GIES |
| ‒ *Taking into account, where appropriate, national climate change adaptation strategies.* |  |  |  |
| * National climate change adaptation strategies address the impact of climate change on health, agriculture and forest, biodiversity and ecosystems, water, costal and marine areas, and infrastructures and constructions. | The National Strategy on Climate Change 2013-2020 was approved by the GO 529/2013. The Strategy addresses two main components: the reduction of greenhouse gas emissions concentration (Mitigation) and adapting to the effects of climate change (Adaptation). <http://www.mmediu.ro/> beta/wpcontent/uploads/2012/10/2012-10-05-Strategia\_NR-SC.pdf  National Action Plan on Climate Changes will be elaborated through technical assistance in order to operationalize the strategy.  Development of the National Action Plan on Climate Change which will detail the sectorial actions of the National Strategy in the field is under preparation. A first draft of the Action Plan –wil be available in the first quarter of 2015, while the final version is to be apporved by end-June 2015. | October 2015 | MEWF |
| * The Climate change adaptation strategies have been taken into account to prioritise the investments to address specific risks, ensuring disaster resilience and developing disaster management systems. | Description and assessment of representative risk scenarios will take into account the National Strategy for Climate Change Adaptation and the Climate Change Adaptation Strategies, when prioritising the investments to address specific risks (reflected in the Country Report) | November 2016 | MIA / GIES |

**Working methodology to be applied for fulfillment of ex-ante conditionality**

1. **Description of the main activities and their relevance for the ex-ante conditionality criteria**

The ex-ante conditionality regarding the existence of national or regional risk assessments for disaster management taking into account climate change adaptation is applicable to Priority Axis 5 from Large Infrastructure Operational Programme.

In order to ensure the fulfillment of the ex-ante conditionality according to criteria foreseen in Regulation (EU) No 1303/2013, the assessment of the main risks in Romania will be performed through two EU funded projects, under the coordination of the Ministry for Internal Affairs, and within the framework of the Working Group on Risk Assessment at National Level (GLERN).

The RO-RISK project started at the end of 2013, is to be ended by December 2015 and will be continued with RO-RISK 2 until November 2016.

The projects consist of four activities, which consider the criteria to be used to assess the ex-ante conditionality fulfilment, as follows:

|  |  |
| --- | --- |
| **Criterion** | **Project Activity** |
| A description of the process, methodology, methods and non-sensitive data used for risk assessment as well as the risk-based criteria for the prioritisation of the investment | *Activity 1- Study of legal, regulatory and institutional framework of risk management in Romania* *and the risk assessment* in order to identify gaps and overlapping  *Activity 2 - Develop and implement national risk assessment methodology*  *Activity 3 - Setting up the database with risk exposure and response capabilities and the development of WebGIS application and GIS portal* |
| A description of single-risk and multi-risk scenarios | *Activity 4 - Description and assessment of representative risk scenarios for each of the following nine risks: floods, drought, forest fires, earthquakes, landslides, Seveso accidents, accidents during the transport of dangerous goods, nuclear accidents, epidemics and zoonotic disease, based on the national risk assessment methodology* |
| Taking into account, where appropriate, national climate change adaptation strategies |

The projects for national risk assessment will develop a set of instruments for a unitary risk assessment and the integration of the sectorial evaluation results (methodology, databases and GIS portal), and also the first assessment of risks. These instruments will facilitate the access of all stakeholders to relevant information regarding exposure, vulnerabilities, and risks, and facilitate information exchange between responsible authorities, in order to prioritise prevention measures based on the economic damages avoided, and response measures based on residual risk mapping.

Thereby it will be possible to identify interconnections between different types of risks, to avoid overlapping efforts and to prioritize common strategies for disaster risk reduction.

Moreover, it is necessary to define acceptable risk and establish the threshold for the risk as a basis for assessment process by applying the methodology in order to prioritize the measures to be taken.

It must be considered that the risk assessment provides valuable information to government by showing the population’s exposure to natural and man-made risks offers the premises for the sustainable land use planning in order to protect lives and livelihoods of people and represents the first step in the disaster risk reduction process. It will also provide instruments to prioritise the intervention measures for risk reduction, based on average annual economic damages avoided.

The funds for RO-RISK projects are assured from POAT 2007-2013 and from POCA 2014-2020.

The RO-RISK projects consist of the following activities, considering the criteria used to assess the ex-ante conditionality fulfilment:

**I. A description of the process, methodology, methods and non-sensitive data used for risk assessment as well as the risk-based criteria for the prioritisation of investment**

*Activity 1- Study of legal, regulatory and institutional framework of risk management in Romania* *and the risk assessment*, implemented though a TA contract

The study will identify the gaps and overlappings in terms of legal and institutional framework for risk management, proposing measures for improving the legal and procedural framework. The results will establish the basis for setting up a national multi-sectorial mechanism for coordination and integration of risk assessment activities.

The proposed measures are to be submitted to the National Platform for Disaster Risk Reduction, and their implementation will be monitored at Platform level.

*Activity 2- Develop and implement national risk assessment methodology,* implemented through a TA contract

The national risk assessment methodology establishes the framework for ensuring the comparability and compatibility of risk assessment in part (to be performed under Activity 4) and will take into account for sectorial methodology existing at national level and the result of other activities.

The methodology will be developed based on the Commission Staff Working Paper - Risk Assessment and Mapping Guidelines for Disaster Management / SEC (2010) 1626 and the requirements of a risk assessment process (ISO 31010):

* The risk assessment will involve a wide range of actors and stakeholders, through the National Platform for Disaster Risk Reduction and GLERN. GLERN will comprise representatives of the main public institution managing risks, the representatives of the academic and research instituions, NGOs etc. The main institutions with responsabilities in risk prevention and management were identified though GD No 2228/2004. The stakeholders will be involved in all staged of risk assessment, starting with drafting the terms of references and during the drafting and accepting the results of the technical assisstance project.
* The methodology to be used, by considering all three categories of impacts (human, economic and environmental, social and political) and will address, where possible, cross-border issues.

In order to set up the reference acceptance threshold of risks, based on certain criteria, a study regarding the level of the acceptable risk in Romania will define the level of potential losses considered acceptable in the present social, economic, politic, cultural, technical and environment conditions, in order to establish a general indicator regarding the necessity of disaster risk reduction measures. The results of the study are to be used when developing the methodology.

The first draft of national risk assessment methodology was drafted by the consultant and agreed upon by the central authorities with responsibilities in risk management (Ministry of Environment, Water and Forests, Ministry of Regional Development and Public Administration, Ministry of Agriculture and Rural Development, Ministry of Health, Ministry of Energy, Ministry of Transport, National Authority for Veterinary and Food Safety, National Commission for Nuclear Activities Control, National Agency for Environmental Protection and National Administration “Romanian Water”) during three one day workshops organized at the end of 2014, respectively at the beginning of 2015 (November, December and January). The methodology is in line with the EU guidelines and were developed integrating the experience and lessons learnt from Netherland, Norway, UK, Germany, Ireland, Switzerland.

The experts drafting the methodology will provide support and guidance during the whole scenario assessment process for each of the 9 risks considered.

The final methodology will be drafted after finalization of the risks assessment, by including the feed-back from the practical application of the first draft of the methodology.

*Activity 3 - Setting up the database with risk exposure and response capabilities and the development of WebGIS application and GIS portal,* implemented through a service contract.

Activity 3 will have as result *development of the database and GIS portal and provision of appropriate IT equipment and software.*

The GIS application and The WebGIS portal involve development of a GIS for all hazards specific to Romanian territory, a map visualization, geo-processing for GIS instruments in order to determine the multi-risk areas and information sharing, system that will be physically installed at GIES headquarters.

In order to be an operational system, it is necessary to build a database of all hazards, vulnerabilities and capabilities at administrative-territorial unit level. Significant part of this information will be collected by the authorities responsible for risk management, National Agency for Cadastre and Real Estate Publicity (ANCPI) and National Institute for Statistics (INS). Risk assessment involves a wide range of information but parts of this information were never collected. In order to fill this gap, it is necessary to collect information from the field, indicating geographical coordinates. Civil protection specific information (e.g. local government buildings, command centres) and other important data for risk assessment will be collected by professional emergency services personnel.

GIS will allow access on two levels: firstly, for authorities with responsibilities in risk management, which can input, modify and update data about risk (hazard, hazard maps, risk maps, exposure), and secondly, to the public, which can only interrogate the database.

The database and GIS portal will be developed in parallel with risk assessment process, and at the end of the project, will provide a full image and integrated instruments for risk management.

**II. A description of single-risk and multi-risk scenarios**

**III. Taking into account, where appropriate, national climate change adaptation strategies**

* **Identification of representative risk scenarios and prioritization of these scenarios in accordance with the criteria established by the methodology**
* **Risk scenarios aassessment for each type of risk, considering when appropriate the national climate change adaptation strategies**
* **Integrating the results of the assessment in a national report**

*Activity 4 - Description and assessment of representative risk scenarios for each of the following nine risks: floods, drought, forest fires, earthquakes, landslides, Seveso accidents, accidents during the transport of dangerous goods, nuclear accidents, epidemics and zoonotic disease, based on the national risk assessment methodology,* implemented through a TA contract

Assessment of representative risk scenarios for each of the following nine risks: floods, drought, forest fires, earthquakes, landslides, Seveso accidents, accidents during the transport of dangerous goods, nuclear accidents, epidemics and zoonotic disease, will be performed based on the national risk assessment methodology developed under Activity 2. The assessment involves data collection of hazards and hazards maps from authorities and research institutes, national hazard analysis, identification of 40 major risk scenarios for each risk, prioritization and assessment of the first 5 risk scenarios, considered to be representative for Romania, for each type of risk, indicating the value for impact and likelihood (risk matrix).

Once the risk assessment process will be done, a report with conclusions on the implementation process of risk assessment methodology and also proposals for improvement will be developed, as part of Activity 2.

Based on proposals for improvement of methodology, risk matrix and also efforts to lower risk level at established thresholds, there will be set up a series of criteria to be used in the prioritization of investments for covering the risks. *The prioritization will be agreed among and assumed by the responsible authorities and will take into consideration the economic damages avoided.*

After the assessment of risk scenarios for each risk, it will be elaborated a final report including the results of risk assessment, risk matrix, analysis of uncertainty and concrete proposals for disaster risk reduction, integrated into a unitary document fulfilling all criteria for the ex-ante conditionality, including the prioritization of investments.

In order to involve central authorities with responasbilities in risk management in specific activities related to sectoral risk assessment whithin Activity 4, common orders for establishing dedicated working groups were developed and are on the aproval circuit.

For the tender opening session, and assessment of tender documentation, reprezentatives from central authorities (Ministry of Environment, Water and Forests, Ministry of Regional Development and Public Administration, Ministry of Agriculture and Rural Development, Ministry of Health, Ministry of Transport, National Authority for Veterinary and Food Safety and National Commission for Nuclear Activities Control) were involved.

1. **Risks that may impact on the fulfilment of ex-ante conditionality**

Impediments that can occur and which may lead to non-fulfilment of ex-ante conditionality:

1. Delays in public procurement process for risks evaluation, taking into account the complexity of the procedure for risk assessment (9 lots) and possible appeals.

* Measures to avoid and reduce the impact:
  + 1. The maximum legal deadlines have been taken into account when establishing the schedule for each activity;
    2. The clarity of tender documentation was ensured in order to reduce the incidence of requests for clarification.
    3. In case of failure of the procurement procedure, a second solution is to be provided with ESF support, through a partnership project with research institutes or with World Bank support (OPAC)

1. Poor involvement of authorities responsible with risk management in project activities.

* Measures to avoi and reduce the impact:
  + 1. increase the no. of high level formal written correspondence with the responsible authorities in order to assure a better cooperation;
    2. increase the informal cooperation with the experts within responsible authorities;
    3. involving the responsible authorities in working groups and workshops dedicated to the implementation of the project activities;

1. Failure of legal framework approval - National Platform on Disaster Risk Reduction and National Working Group on Risk Assessment (basis for setting up a national multisectorial mechanism for coordination and integration of risk assessment activities)

* Measures to avoid and reduce the impact:
  + 1. Resumption of steps for approval of legal framework.
    2. Approval of project results through informal cooperation and usual cooperation procedures, until the institutions are in place.

1. **Monitoring procedure**

The monitoring of the action plan implementation is going to be ensured through a monthly reporting and meetings, based on activity plan to be used as monitoring tool, under the coordination of the Ministry of European Funds, within the thematic working groups organised within the Partnership Agreement Framework.

The monitoring will be focused both on timely completion of the activities, and also on the quality of deliverables, for which JASPERS assistance is available to provide support the authorities for the qualitative assessment of the ex-ante conditionality.