

ESR-11 RESEARCH UPDATE

*Comparing risk governance strategies for
different EU countries*

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CHANGES Meeting
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Research progress

Brief reminder

- Connecting what's been done to current process...

Conceptual framework developed

Purpose: understand risk governance theory



Indicators for 'good' risk governance developed

Purpose: necessary for strengthening practices in face of changing environment



EU policy integrated into indicators

Purpose: supports indicators used in case study analysis and cross-analysis...



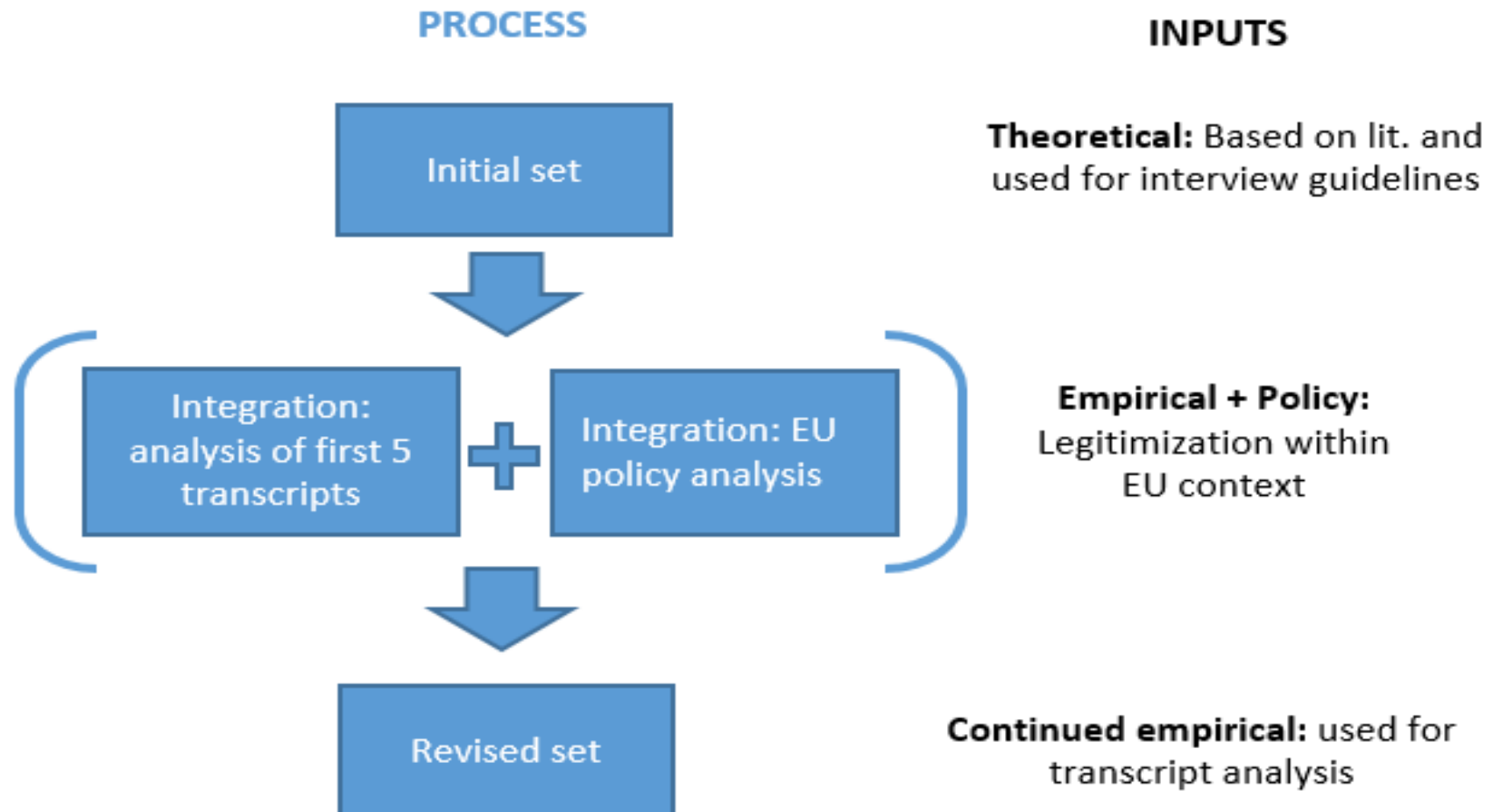
Transcripts analyzed and result chapters written

Purpose: address research hypotheses, RQs, and Obj.s & provide material for dissemination

Research progress

Analysis progress

Category and indicator analysis (simplified flow diagram)



Research progress

Analysis progress

Getting from EU policy integration to continued and future work...

Research progress

Analysis progress

- Policy analysis process: using initial set of indicators and indicator categories, coded EU policy documents, initial set adjusted into revised set

The screenshot displays the MAXQDA software interface for analyzing EU policy documents. The main window is titled "E:\For tonight\MAXQDA Analysis\EU Policy Analysis.mx5 - MAXQDA 11 (Release 11.0.6)". The interface is divided into several panes:

- Documents:** A list of imported policy documents, including "COM EU Internal Security Strategy", "Green Paper on the insurance of net...", "White Paper European Governance", and "Communication A Budget for Europe 2020".
- Code System:** A list of codes and indicator categories, such as "General Good Governance, Governance", "Indicator Category 13: Risk Culture", and "Indicator Category 12: Cooperation".
- Document Browser:** A view of a document snippet from the "Official Journal of the European Union" (C 115/18, EN, 4.5.2010). The text discusses "solidarity between Member States" and "forging a common culture".

Three callout boxes highlight key components of the analysis process:

- Imported policy doc groups:** Points to the list of documents in the Documents pane.
- Code system:** Points to the list of codes and indicator categories in the Code System pane.
- Analyzed policy doc:** Points to the document snippet in the Document Browser pane.

Image: MAXQDA software screenshot of EU policy analysis process

Research progress

Analysis progress

- **Completion of EU policy analysis**
 - Coding completed & analyzed
 - 21 EU policy documents analyzed
 - 874 segments coded based on initial indicator set (nearly all segments analyzed)
 - EU policy indicators derived (adjustment of initial set)
 - Output: Analysis process and results provided in category description 'book'
 - created for process transparency...

[Click here for list of EU policy docs](#)

Research progress

Analysis progress

List of indicator categories within 'book':

- Openness & Transparency
- Accountability
- Participation
- Strategic Vision
- Effectiveness
- Efficiency
- Equity
- Trust
- Resources
- Coordination
- Cooperation
- Risk Culture

[Click here for definition reference](#)

Research progress

Analysis progress

- Book includes for each of the indicator categories
 - Definition
 - Connections to theoretical framework
 - Sources & connections to EU policy
 - Indicators (based on initial set with policy integrated)
 - Sources & connections to empirical research
 - Relevant questions asked
 - Potential overlaps
 - References

(Visuals next two slides...)

Research progress

Analysis progress

- Example of connections to EU policy for ‘accountability’ category

Sources & connections to EU policy:

Document	Segment	Analysis
White Paper_ Towards a harmonized EU civil protection	Increase the coherence on r procedures across EU countr the resilience of Emergency services across the whole Protection chain. <i>(Under "Recommendation 4 – Develop a common EU Risk Assessment methodology for increased interoperability of Civil Protection operational techniques, procedures and systems", p.14)</i>	Need for clear coherent risk management procedures. (in referring to emergency services across the EU)
White Paper European Governance	Already within the existing Treaties the Union must start adapting its institutions and establishing more coherence in its policies so that it is easier to see what it does and what it stands for <i>(Within "Executive Summary", p.3)</i>	Policies must also be coherent in order to understand what authorities do and what they promote. (referring to EU institutions and policies)
White Paper European Governance	The White Paper proposes opening up the policy-making process to get more people and organisations involved in shaping and delivering EU policy. It promotes greater openness, accountability and responsibility for all those involved. <i>(Within "Executive Summary", p.3)</i>	Accountability is connected to the openness of development and implementation of policy (highlights connection to category 1 Openness & Transparency)
White Paper European Governance	Accountability. Roles in the legislative and executive processes need to be clearer. Each of the EU Institutions must explain and take responsibility for what it does in Europe. But there is also a need for greater clarity and responsibility from Member States and all those involved in developing and implementing EU policy at whatever level. <i>(Within "II. Principles of Good Governance", p.10)</i>	Legal responsibilities (as well as processes) must be clear. The differentiation of responsibilities at different levels must be clear.
White Paper European Governance	Coherence. Policies and action must be coherent and easily understood. The need for coherence in the Union is increasing; the range of tasks has grown; enlargement will increase diversity; challenges such as climate and demographic	Especially in the face of a complex system (such as that which is affected by multiple challenges, including climate change) both policies and

Coded segment & ref pt.

Policy docs

Analysis statement

Image: Word screenshot from description book of connections to EU policy for accountability category.

Research progress

Analysis progress

- Example of indicators for 'accountability' category

The screenshot shows a word document with a table of indicators. On the left is a navigation pane with a search bar and tabs for HEADINGS, PAGES, and RESULTS. The table contains the following data:

Indicator	Supporting Policy Document (reference location)	
1. Risk management procedures, including their supporting policies and legal framework, are clear and coherent. <ol style="list-style-type: none"> Laws and policies for particular roles are clear and coherent. The legal system itself is perceived as clear and coherent. 	White Paper_ Towards a harmonized EU civil protection (Under "Recommendation 4 – Develop a common EU Risk Assessment methodology for increased interoperability of Civil Protection operational techniques, procedures and systems", p.14) (referring to emergency services across the EU) White Paper European Governance (Within "Summary", p.3) (referring to EU institutions and...) White Paper European Governance (Within "I. Principles of Good Governance", p.10) The Stockholm Programme (Under, "1. Towards a Citizen's Europe in the Area of Freedom, Security and Justice", under "1.2 The tools", within "1.2.3 Legislation", p.6)	Policy docs & reference point
2. The differentiation of responsibilities is clear. <ol style="list-style-type: none"> Responsibilities are clear between different levels (vert.) There are no overlaps in responsibilities at the same level (horiz.) 	White Paper European Governance (Within "II. Principles of Good Governance", p.10)	
3. Authorities are held accountable for their respective roles and responsibilities <ol style="list-style-type: none"> Monitoring and reporting of procedures are put in place to ensure fulfilment of responsibilities Authorities themselves review, monitor, and report on particular tasks Incentives exist to ensure 	Seveso Directive and Amendments (Article 4, p.3) COM_2011_proposal-decision-CPMechanism_en (Under "2. Management Measures", within Box under "2.1 Monitoring and reporting rules", p.50) Flood Risk Management Directive (Under Chapter VIII "Reviews, Reports and Final Provisions", within Article 14, clauses 1-3, p.33) (referring to the preliminary flood risk assessment, flood hazard maps, flood risk maps, and flood risk management plans).	

Image: Word screenshot from description book of indicators for accountability category.

Research progress

Analysis: Connecting to current and future work

- Revised indicators used in transcript coding
- Coding finished for almost all case studies
 - France still in progress
 - currently 2414 coded segments
- Have started working on case study chapters for case studies with completed coding
 - Chapters to be used as basis for dissemination (and publications)

Research progress

Analysis progress

- Example of coded segments for resources category (360 segments)

Code: Indicator Category 10: Resources

360 coded segments from 59 documents and 3 document groups

Basically, well the idea would be that this access by satellite is not open for the public you have to be part of the database which belongs to the defense, to the military to the army. And...

Because they are using military satellites, not normal satellites, at least this is the case here that they are using, only the army is allowed to have access to satellite communication using military satellites. In the worst case scenario by involving the army.

Comment	Document	Code	Begin	End	Weight score	Preview	Author	Creation date	Document g...	Page	Text segment	Area	Coverage %
	Transcript R-3...	Indicator Cate...	64	64	0	Romanian pers...	Tess	1/27/2014 1:27	Transcripts Ro...	1	<input checked="" type="checkbox"/>	1123	1.84
	Transcript R-3...	Indicator Cate...	78	78	0	(Waltrin: in ou...	Tess	1/27/2014 1:55	Transcripts Ro...	1	<input checked="" type="checkbox"/>	1093	1.79
	Transcript R-3...	Indicator Cate...	82	82	0	(Tess: ok, so f...	Tess	1/27/2014 1:58	Transcripts Ro...	1	<input checked="" type="checkbox"/>	881	1.44
	Transcript R-4...	Indicator Cate...	37	41	0	Resources: o...	Tess	1/27/2014 2:14	Transcripts Ro...	1	<input checked="" type="checkbox"/>	428	12.35
	Transcript R-4...	Indicator Cate...	31	31	0	As regarding t...	Tess	1/27/2014 2:23	Transcripts Ro...	1	<input checked="" type="checkbox"/>	485	2.98
	Transcript R-4...	Indicator Cate...	44	46	0	And they inter...	Tess	1/27/2014 2:34	Transcripts Ro...	1	<input checked="" type="checkbox"/>	550	3.38
	Transcript R-4...	Indicator Cate...	48	48	0	And this, the u...	Tess	1/27/2014 2:35	Transcripts Ro...	1	<input checked="" type="checkbox"/>	147	0.90
	Transcript R-4...	Indicator Cate...	49	50	0	The helicopter ...	Tess	1/27/2014 2:36	Transcripts Ro...	1	<input checked="" type="checkbox"/>	954	5.86
	Transcript R-4...	Indicator Cate...	51	51	0	They feel som...	Tess	1/27/2014 2:37	Transcripts Ro...	1	<input checked="" type="checkbox"/>	239	1.47
	Transcript R-4...	Indicator Cate...	53	53	0	...and therefo...	Tess	1/27/2014 2:38	Transcripts Ro...	1	<input checked="" type="checkbox"/>	347	2.13
	Transcript R-4...	Indicator Cate...	55	57	0	(Tess: and are...	Tess	1/27/2014 2:38	Transcripts Ro...	1	<input checked="" type="checkbox"/>	340	2.09
	Transcript R-4...	Indicator Cate...	58	59	0	For example, ...	Tess	1/27/2014 2:41	Transcripts Ro...	1	<input checked="" type="checkbox"/>	479	2.91
	Transcript R-4...	Indicator Cate...	61	64	0	(Tess: and the ...	Tess	1/27/2014 2:42	Transcripts Ro...	1	<input checked="" type="checkbox"/>	616	3.78
	Transcript R-4...	Indicator Cate...	65	67	0	Basically, well ...	Tess	1/27/2014 2:44	Transcripts Ro...	1	<input checked="" type="checkbox"/>	960	5.90
	Transcript R-1...	Indicator Cate...	18	18	0	In the last 20 ...	Tess	1/27/2014 2:47	Transcripts Ro...	1	<input checked="" type="checkbox"/>	151	1.83
	Transcript R-1...	Indicator Cate...	45	47	0	Question aske...	Tess	1/27/2014 3:01	Transcripts Ro...	1	<input checked="" type="checkbox"/>	703	8.51
	Transcript R-1...	Indicator Cate...	52	55	0	Other informat...	Tess	1/27/2014 3:02	Transcripts Ro...	1	<input checked="" type="checkbox"/>	664	8.04
	Transcript R-1...	Indicator Cate...	21	24	0	Question aske...	Tess	1/27/2014 3:10	Transcripts Ro...	1	<input checked="" type="checkbox"/>	564	7.99
	Transcript R-1...	Indicator Cate...	30	34	0	There is a law ...	Tess	1/27/2014 3:10	Transcripts Ro...	1	<input checked="" type="checkbox"/>	489	6.50
	Transcript R-1...	Indicator Cate...	44	46	0	He says that ...	Tess	1/27/2014 3:12	Transcripts Ro...	1	<input checked="" type="checkbox"/>	328	4.65
	Transcript R-1...	Indicator Cate...	48	50	0	Within the PAL...	Tess	1/27/2014 3:13	Transcripts Ro...	1	<input checked="" type="checkbox"/>	463	6.56
	Transcript R-1...	Indicator Cate...	54	55	0	Question aske...	Tess	1/27/2014 3:14	Transcripts Ro...	1	<input checked="" type="checkbox"/>	264	3.74
	Transcript R-1...	Indicator Cate...	57	58	0	Insurance c...	Tess	1/27/2014 3:14	Transcripts Ro...	1	<input checked="" type="checkbox"/>	300	4.25
	Transcript R-1...	Indicator Cate...	11	14	0	he walls are re...	Tess	1/27/2014 6:35	Transcripts Ro...	1	<input checked="" type="checkbox"/>	523	2.68
	Transcript R-1...	Indicator Cate...	18	18	0	They register ...	Tess	1/27/2014 6:36	Transcripts Ro...	1	<input checked="" type="checkbox"/>	229	1.23
	Transcript R-1...	Indicator Cate...	32	32	0	(Tess: and bes...	Tess	1/27/2014 6:39	Transcripts Ro...	1	<input checked="" type="checkbox"/>	217	1.11
	Transcript R-1...	Indicator Cate...	34	36	0	The main goal ...	Tess	1/27/2014 6:40	Transcripts Ro...	1	<input checked="" type="checkbox"/>	1379	7.07
	Transcript R-1...	Indicator Cate...	54	58	0	No according t...	Tess	1/27/2014 6:46	Transcripts Ro...	1	<input checked="" type="checkbox"/>	1184	6.07
	Transcript R-1...	Indicator Cate...	45	48	0	So, even if the...	Tess	1/27/2014 6:49	Transcripts Ro...	1	<input checked="" type="checkbox"/>	675	3.46
	Transcript R-1...	Indicator Cate...	49	53	0	So basically, ju...	Tess	1/27/2014 6:49	Transcripts Ro...	1	<input checked="" type="checkbox"/>	752	3.86
	Transcript R-1...	Indicator Cate...	69	69	0	So for exampl...	Tess	1/27/2014 6:57	Transcripts Ro...	1	<input checked="" type="checkbox"/>	370	1.90
	Transcript R-1...	Indicator Cate...	73	75	0	(Tess: ok, and...	Tess	1/27/2014 6:58	Transcripts Ro...	1	<input checked="" type="checkbox"/>	375	1.92
	Transcript R-1...	Indicator Cate...	77	77	0	He says that ...	Tess	1/27/2014 6:58	Transcripts Ro...	1	<input checked="" type="checkbox"/>	688	3.56

Image: MAXQDA software screenshot of resource coded segments for EU policy analysis process

Research progress

Analysis progress

Coded material:

- Openness & Transparency (106)
- Accountability (270)
- Participation (112)
- Strategic Vision (51)
- Effectiveness (155)
- Efficiency (37)
- Equity (84)
- Trust (68)
- Resources (360)
- Coordination (324)
- Cooperation (218)
- Risk Culture (210)

Department	Code	Name	Status	Priority	Date	Count
TU Dortmund	100	100	100	100	100	100
TU Dortmund	101	101	101	101	101	101
TU Dortmund	102	102	102	102	102	102
TU Dortmund	103	103	103	103	103	103
TU Dortmund	104	104	104	104	104	104
TU Dortmund	105	105	105	105	105	105
TU Dortmund	106	106	106	106	106	106
TU Dortmund	107	107	107	107	107	107
TU Dortmund	108	108	108	108	108	108
TU Dortmund	109	109	109	109	109	109
TU Dortmund	110	110	110	110	110	110

Research progress

Results progress

- Observations prior to final write-up:
 - **Openness & Transparency:** wide range, some cases information secret/not available or \$\$\$ vs some very good examples for public
 - **Accountability:** evidence of clear understanding of differentiation of roles and responsibilities (at least for crisis phase)
 - **Participation:** public participation primarily on consultative basis
 - **Strategic Vision:** connected to long-term goals, difficulty in responses, issues arise of inability to consider long-term
 - **Effectiveness:** ineffective maintenance is issue in all (dif. reasons), parts of regulatory frameworks not enforced
 - **Efficiency:** some issues in terms of resource distribution

Research progress

Results progress

- Observations prior to final write-up:
 - **Equity:** some strategies acknowledge and try to overcome issues of isolation and special needs of difficult geographies
 - **Trust:** trust local more than regional (strong local actor networks)
 - **Resources:** wide range between cases, however money always an issue (often related to issues for maintenance)
 - **Coordination:** generally very well in crisis time (all), peacetime not always the same
 - **Cooperation:** some good examples of information exchange (e.g. trainings)
 - **Risk Culture:** differs between cases, though some similarities with attachment to land and importance of local knowledge

Research progress

Results progress

Additional observations...

- Issue of trust
 - Very little on trust in policy (inherent understanding)
 - Similar for interviews: difficult to ask about this, sensitive issues

- Policy primarily targets efforts for cooperation and coordination (two are used interchangeably both policy and in-practice)
 - Similar for efficiency and effectiveness

- Prevention: importance stressed in policy and in interviews, but little elaboration/implementation compared to other phases

- Risk culture synonymous with 'culture of safety', though in-practice can relate more broadly

Next steps

- Analyze coded segments for meta-analysis (individual case study, then cross analysis)
- Take results write up and work into additional publications, esp. for collaboration...

Collaborations

Access points with other ESRs

- **Kathrin (ESR-08): Spatial planning and risk information**
 - Role of the spatial planner among many actors in risk management
 - Examples from current case study sites (e.g. Italy and Romania/Poland)
 - How might this role be improved
 - How this strengthens risk management objectives and can improve decision-making

Collaborations

Access points with other ESRs

- **Zar Chi (ESR-09): alternatives for internet-based DSS**
 - Important considerations for alternatives and multi-criteria analysis from stakeholder perspective
 - Use priorities for agenda setting-related and risk culture coded segments
 - Can consider what kind of attributes should be added to better incorporate stakeholder preferences

Collaborations

Access points with other ESRs

- **Juliette (ESR-10): emergency preparedness and early warning**
 - Challenges in organizational capacity for disaster risk management at the local level
 - Use esp. coded segments from resources category for addressing in-practice examples
 - Can connect this to suggestions provided by EU policy and how this compares in-practice

Collaborations

Access points with other ESRs

- **Marie (ESR-12): Visualization and risk communication**
 - How risk communication operates in practice
 - e.g. using case study examples identify good practices and challenges
 - Theoretical perspective on how visualization and communication of risks fits within the risk governance framework

Collaborations

Publications

- Collaborative
 - Prenger-Berninghoff, K., Cortes, V. J., Sprague, T., Aye, Z. C., Greiving, S., Głowacki, W. and S. Sterlacchini (2014/2015). The connection between long-term and short-term risk management strategies: examples of land-use planning and emergency management in four European case studies (paper based on Deliverable 4.1, **submitted to NHESS**)
 - Charriere, M. and T. Sprague (2014/2015) Visualization and communication of risks: a case study analysis in Barcelonnette, France (collaborative paper with Marie, ESR-12, title not finalized)
- Other:
 - Sprague, T. et al. (2014/2015). Comparing risk governance frameworks. (in progress)
 - Sprague, T. (2014/2015). Understanding risk governance systems: a conceptual and practical application (in progress)

Thank you for your attention!

Backup slides

- Reminder: what we are dealing with
- Connection between 'good' and risk governance
- List of policy documents analyzed
- Definitions for indicator categories

Research progress

Brief reminder

- What we are dealing with:
 - DRR is achieved through...
 - minimizing risk governance deficits,
 - encouraging good governance practices,
 - and taking a place-based approach
 - In order to...
 - better understand contextual factors and respond to challenges posed by changing environments

Connection between 'good' and risk governance

- *Risk governance espouses good governance within the interactions and decision-making processes of all actors involved in the assessment, management and communication of risks.*
- *Further: The concept encompasses the underlying **aspects of risk culture** as well as the **administrative (regulatory and legal) systems** within a given spatial unit.*

List of policy documents analyzed

(MAXQDA abbrev. reference given)

- COM EU Internal Security Strategy
- The Stockholm Programme
- Green Paper on the insurance of natural and manmade disasters
- White Paper European Governance
- Communication A Budget for Europe 2020
- EU White Paper on Adaptation to Climate Change
- COM_2010_600_European_disaster_response_en
- Draft Conclusions on a Community Framework on disaster prevention
- Communication on Reinforcing the Union's Disaster Response Capacity
- EU Communication A Community approach to prevention of natural
- Council conclusions on a Community framework on disaster prevention
- EU Strategy for Supporting Disaster Risk Reduction in Developing Countries
- Common Implementation Strategy WFD and FRD
- Seveso Directive and Amendments
- Water Framework Directive
- Flood Risk Management Directive
- COM_2011_proposal-decision-CPMechanism_en
- COM-2011-Report on Eval EU Civil Protection Mechanism
- White Paper_ Towards a harmonized EU civil protection
- Council Decision establishing Community Civil Protection Mechanism
- Treaty of Lisbon Article 196
- Hyogo-framework-for-action-english

[Click here to return to analysis progress](#)

Definitions for indicator categories

- **Openness & Transparency:** Information related to risk-management practices, and the practices themselves should be available, accessible, and coherent for all those who assess, manage, and are affected by risks.
- **Accountability:** Roles and responsibilities (and the distribution thereof) must be clear and a form of evaluation, reporting, or monitoring should exist to ensure the fulfillment of these roles and responsibilities.
- **Participation:** The existence and extent of involvement of stakeholders (including the local community) in the disaster risk management framework is adequate.
- **Strategic Vision:** There exists a future goal that risk assessment, management, and communication activities work toward within the disaster risk management framework.

Definitions for indicator categories

- **Effectiveness:** Disaster risk management frameworks consist of efforts which are well-maintained, flexible, and enable the ability to achieve strategy objectives and end-goals.
- **Efficiency:** Resources, including time, are not wasted but rather optimized through efforts made at the lowest, most appropriate level.
- **Equity:** Strategies do not disadvantage particular groups, but rather encourage intergenerational equity and solidarity through non-discriminatory strategies, especially those assisting vulnerable groups and areas.
- **Trust:** Interactions between and among public and non-public actors occur based on an assurance (and belief) of mutual reliability, including confidence in capacities of authorities, honesty and integrity.

Definitions for indicator categories

- **Resources:** Resources are adequately available and enable sufficient and or improved capacity for risk management practices (including both physical e.g. money, human capital, and equipment and non-physical e.g. time, knowledge resources).
- **Coordination:** Formal (legally required) tasks and interactions between multiple stakeholders (including the public) within different sectors and levels run smoothly and are positively perceived.
- **Cooperation:** Informal (not legally required) tasks and interactions between multiple stakeholders (including the public) within different sectors and levels run smoothly and are positively perceived.
- **Risk Culture:** beliefs, norms, traditions, and values that influence the behavior of individuals, communities and organizations toward risk and risk decision-making encourage risk reduction (***most exploratory component***)

[Click here to return to list of indicator categories](#)

Analysis Process

Metadata output

- Once finalized, the coding system based on the indicator categories and indicators will be used to analyze the transcripts using MAXQDA software
- Coded segments will be filtered through a 'traffic light' system indicate points for improvement (red), points in progress (yellow), and good practice examples (green) as expressed by stakeholders
 - This is conducted for each of the 12 indicator codes

Traffic Light	Numeric Value	Description
Red	1	Not existing, this is a problem area
Yellow	2	Existing to some extent. In the beginning stages of development
	3	Past initial stages of development, established and beginning to implement
	4	Implemented
Green	5	Highly effective. Provides a good or best practice example of practice implementation

- The finalized meta analysis is used for comparison and dissemination