OECD
BETTER POLICIES FOR BETTER LIVES

High Level Risk Forum

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This OECD questionnaire is conducted under the auspices of the High Level Risk Forum, and administered by the Public Governance and Territorial Development Directorate

OBJECTIVE

Critical risks may develop quickly and through unforeseen pathways to spread across borders, resulting in adverse impacts of national significance, disrupting vital infrastructure sectors, degrading key environmental assets, negatively impacting public finances and eroding public trust in government. Effective governance of critical risks is a means of maintaining or achieving national competitive advantage against a backdrop of numerous geopolitical, environmental, societal and economic uncertainties.

This OECD survey aims to take stock of the policies, processes and practices through which OECD Member countries govern critical risks. It is a tool to gather information further to the instruction of Article X of the OECD Council Recommendation on the Governance of Critical Risks, which calls for "the Public Governance Committee to monitor the implementation of this Recommendation and to report thereon to the Council no later than three years following its adoption and regularly thereafter, in consultation with other relevant OECD Committees".

The Questionnaire is divided according to the five principles of the Recommendation:

1) Establishing a comprehensive, all-hazards and transboundary approach to country risk governance

2) Building preparedness through anticipatory capacity

3) Raising awareness of critical risks, and investing in prevention and mitigation

4) Developing adaptive capacity in 'Strategic Crisis Management'

5) Enhancing accountability, transparency and continued learning

SCOPE OF THE QUESTIONNAIRE

The OECD High Level Risk Forum Steering group helped to scope the questionnaire to ensure it would complement different international policy initiatives to enhance the management of disaster

risks, and to maximize the number of potential responses by reducing the number of questions. The OECD High Level Risk Forum has conducted several cross country studies over the past 3 years, for example on National Risk Assessments and risk communication policies. To reduce the number of questions, these topics are not fully covered in the present questionnaire, which focuses on topics of risk governance, while addressing selected aspects of risk management.

Respondents are asked to provide information on risk governance policies and practices in place at the central level of government. Central/federal government includes all line ministries/departments in the executive branch of government, including also cabinet or executive offices and executive agencies. It does not include sub-national line ministries and departments. It excludes state-owned enterprises and public corporations. While this limits the scope of the responses and will not capture the activities of sub-national governments, it ensures that the data are comparable across all responding countries.

GUIDELINES TO RESPOND TO THE SURVEY

WE RECOMMEND OPENING THE ONLINE SURVEY WITH GOOGLE CHROME AS YOUR BROWSER

High Level Risk Forum delegates are asked to kindly nominate a respondent(s), coordinate with the respondent(s) to finalise answers, and liaise between the OECD Secretariat and the respondent(s) after final submission should any further clarification or verification be needed. The delegates to the OECD High Level Risk Forum are however responsible for the validation and accuracy of the final submission of data.

For further assistance, information or advice in completing this questionnaire please contact:
jack.radisch@oecd.org

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RESPONDENT(S') CONTACT INFORMATION

Contact: Please provide the contact information for the main person responsible for responding to this questionnaire. This information will be used by the OECD in case follow-up is needed to clarify responses to enhance data comparability across countries. If you would like to list multiple contacts, you can enter the information for the additional staff at the end of this page.

*Please select your country from the list below:

Select: ▼

Surname(s)

First name(s)

What is the name of the Line Ministry/Agency you work for?

Please, provide your Line Ministry/Agency web link here:

What is your position/title?

Telephone number:
May contain numeric values only

Email address:
Summary of responses will be sent automatically to this address upon completion

Name(s) and email(s) address for additional respondent(s):

DEFINITIONS OF THE KEY TERMS

When completing this questionnaire, please recall that the definitions are used, as agreed by countries for the purpose of the OECD Recommendation on the Governance of Critical Risks.

<u>Hyper-links to these key terms could be found throughout this questionnaire.</u>

- "<u>Critical risks</u>": threats and hazards that pose the most strategically significant risk, as a result of (i) their probability or likelihood and of (ii) **the national significance** of their disruptive consequences, including sudden onset events (e.g. earthquakes, industrial accidents, terrorist attacks), gradual onset events (e.g. pandemics), and steady-state risks (notably those related to illicit trade or organised crime);

- "<u>Critical infrastructure</u>": infrastructure systems that deliver essential goods and services, in some countries these are referred to as 'Critical National Infrastructure' (this definition is not agreed in the OECD Recommendation);

- "<u>Hazard</u>": a natural or man-made source or cause of harm or difficulty;

- "<u>National risk assessment</u>": a product or process that collects information and assigns a value to risks at a strategic, national level for the purpose of informing priorities, developing or comparing courses of action, and informing decision making;

- "<u>Risk assessment</u>": a methodology to determine the nature and extent of risk by analysing potential hazards and evaluating existing conditions of vulnerability that together could potentially harm exposed people, property, services, livelihoods and their environment;

- "<u>Resilience</u>": ability to resist, absorb, recover from or successfully adapt to adversity or a change in conditions;

- "<u>Sense making</u>": a crisis management capacity that aims to understand the nature of an emerging crisis situation, its magnitude and impacts, its potential to evolve, the core societal values under threat and to clarify any associated uncertainties;

- "<u>Structural measures</u>": engineering or civil work prevention measures aimed at reducing exposure to hazards by protecting assets or communities, or controlling the variability of natural phenomena (e.g. dams or dykes for floods or storm surges, grids for rock falls, barriers for avalanches, antibomb walls or concrete blocks for terrorist attacks);

- "<u>Non-structural measures</u>": measures focused on the reduction of exposure and vulnerability through longer

term planning and adaptation to hazard patterns and threats (e.g. raising public awareness, emergency preparedness and early warning systems, land use prescriptions, urban planning, building codes or the restoration of natural functions of ecosystems to buffer extreme hazards);

- "Whole-of-society approach": the involvement of all stakeholders, from individuals to government entities, businesses, non-governmental organisations and the third sector.

Principle 1: RECOMMENDS that Members establish and promote a comprehensive, all-hazards and trans-boundary approach to country risk governance to serve as the foundation for enhancing national resilience and responsiveness.

Please indicate the types of hazards and/or threats that have been identified as potential critical risks by your government:

	Yes	No	Specify (Optional):
Sudden on-set natural hazards (e.g. earthquakes)	○	○	
Slow on-set natural hazards (e.g. drought)	○	○	
Natural hazards that are neither sudden nor slow on-set	○	○	
Infectious disease	○	○	
Terrorist attacks	○	○	
Cyber-attacks	○	○	
Industrial accidents (e.g. in nuclear/chemical plants or transport systems)	○	○	
Organized crime	○	○	
Other	○	○	

Has your government identified one type of critical risk that is the most important?

○ Yes

○ No

Please indicate one type:

○ Sudden on-set natural hazards (e.g. earthquakes)

○ Slow on-set natural hazards (e.g. droughts)

○ Natural hazards that are neither sudden not slow on-set

○ Infectious disease

○ Cyber-attacks

○ Industrial incidents (e.g. nuclear/chemical plants or transport system)

○ Organized crime

○ Terrorist attacks

○ Other:

Does your government have a national strategy for the management of critical risks?

○ Yes

○ No

Please, provide a web-link to a document containing the strategy here:

If you prefer, please upload any relevant document here:

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx

Does your government's national strategy adopt an all-hazards approach to the management of critical risks?

○ Yes

○ No

Does your government have an institution (i.e. a lead organisation or coordinating unit) that is assigned leadership at the national level for the management of critical risks?

○ Yes

○ No

Please, provide a web-link to its website and statutory authority:

If you prefer, please upload any relevant document here:

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

*Which of the following governance functions does this institution have responsibility for concerning the management of critical risks?
Please check all that apply:

☐ Design/ formulate risk management policies

☐ Set priorities and allocate resources accordingly

- [ ] Set performance targets
- [ ] Provide incentives for policy implementation
- [ ] Monitor policy implementation
- [ ] Evaluate policy implementation
- [ ] Disseminate results of evaluation to the public
- [ ] Promote policy coherence across government departments
- [ ] Address competing policy objectives
- [ ] Coordinate actions across central and local level of government
- [ ] Coordinate cooperation between government and non-governmental entities

Please, provide a link to a relevant document here:

If you prefer, please upload any relevant document here:

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

Does the institution prepare a report on these functions directly to the Head of Government and/or a Cabinet level minister?

- ( ) Yes
- ( ) No

Please, provide a link to it here:

If you prefer, please upload it here:

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx

How often does the institution report on the performance of its responsibilities to the highest level of government to which it is accountable?

Select: ▼

Does the institution consult with a variety of stakeholders in the policy-formulation process for the management of critical risks?

e.g. national and sub-national government bodies, think tanks, international organisations, NGOs etc.

- ( ) Yes
- ( ) No

Which of the following mechanisms are used for engaging national and sub-national stakeholders?

- ☐ National workshops with government officials
- ☐ Ad hoc conferences with experts
- ☐ Town hall meetings open to citizens
- ☐ Public comment periods managed by government departments
- ☐ Conferences/workshops with participation from interest groups and NGOs
- ☐ Online consultations
- ☐ Social media platforms
- ☐ Other:

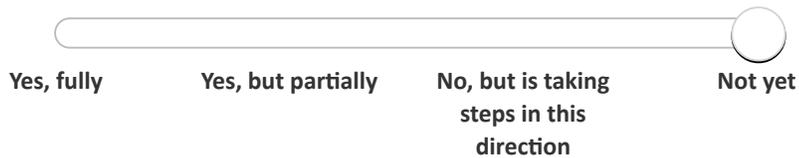**Please, provide a link to a document explaining other mechanisms here:**

If you prefer, please upload any relevant document here:

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx

Do you believe that your government has fulfilled Principle 1 of the OECD Recommendation?

| Yes, fully | Yes, but partially | No, but is taking steps in this direction | Not yet |

Principle 2: RECOMMENDS that Members build preparedness through foresight analysis, <u>risk assessment</u> and financing frameworks, to better anticipate complex and wide-ranging impacts.

Does your government undertake efforts to develop risk anticipation capacity?

○ Yes

○ No

*Please, select any of the following risk anticipation capacity measures:

Check all that apply

☐ The conduct of horizon scanning exercises

☐ The conduct of emergency response exercises

☐ The carrying out of a National Risk Assessment

☐ The conduct of local risk assessments

☐ The conduct of research on the inter-linkages between different types of critical risks

☐ The conduct of research on emerging risks

☐ Other:

Please, provide a link to a document explaining any other efforts here:

[   ]

<u>If you prefer, please upload any relevant document here:</u>

[   ] [   ]

 Select file to upload...

 Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

*How are the results of these risk anticipation efforts used by policy makers?
Check all that apply

☐ To prioritize government actions aimed at risk treatment

☐ To inform strategic policy decisions

☐ To inform tactical decisions

☐ To develop specific training exercises

☐ To inform the public about impending risks

☐ Other:

Please, provide the link to a document explaining other uses here:

If you prefer, please upload any relevant document here:

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

*Does your government designate critical infrastructure systems?

○ Yes

○ No

*Please, check all categories below that apply to your government:

Check all that apply

☐ Telecommunications networks

☐ Fibre optic interconnectors

☐ Data centres

☐ Telecommunication satellites

☐ Protective assets (e.g. flood barriers and dams/reservoirs)

☐ Electricity/gas/fuel production sites

☐ Electricity/gas/fuel distribution networks

☐ Transport networks/nodes

☐ Other:

Please, provide a web-link to a document containing the different critical infrastructure sectors here:

If you prefer, please upload any relevant document here:

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

*Does your government have a critical infrastructure protection programme (CIP)?

- ◯ Yes

- ◯ No

*How does your government partner with the operators of critical infrastructure to achieve shared responsibilities aligned with the national strategy?
Check all that apply

- ☐ Critical infrastructure protection strategy

- ☐ Mandatory emergency preparedness requirements for critical infrastructure operators

- ☐ Mandatory information sharing about vulnerabilities to critical risks

- ☐ Voluntary information sharing about vulnerabilities to critical risks

- ☐ Other:

Please, provide a link to a document explaining other ways here:

[_____]

If you prefer, please upload any relevant document here:

[_____] [_____]

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

Do you believe that your government has fulfilled [Principle 2 of the OECD Recommendation](#)?

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○————————————————————————————————○
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| **Yes, fully** | **Yes, but partially** | **No, but is taking steps in this direction** | **Not yet** |

Principle 3 : RECOMMENDS that Members raise awareness of critical risks to mobilise households, businesses and international stakeholders and foster investment in risk prevention and mitigation.

*Does your government encourage a <u>whole-of-society approach</u> to risk communication?

- ◯ Yes
- ◯ No

*Please, specify how:

Check all that apply

- ☐ It provides fora in support of debate on the need for prevention
- ☐ It provides information intended to stimulate investment in self-protective and resilience-building measures
- ☐ It conducts targeted communication to vulnerable population groups
- ☐ It provides platforms for two-way risk communication with stakeholders
- ☐ It uses the public education system to promote household resilience measures
- ☐ It provides media briefings on identified risks
- ☐ It provides information to the public in advance of imminent major hazards about protective measures to take
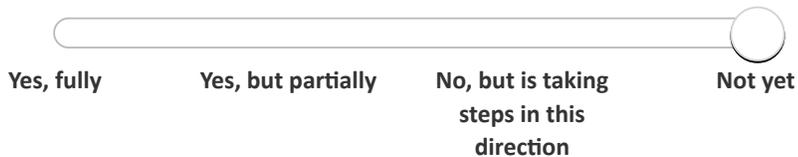- ☐ Other:

Please, provide a link to a document explaining other measures here:

If you prefer, please upload any relevant document here:

 Select file to upload...

 Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

*Does your government's national strategy for the management of critical risks promote measures to enhance risk prevention and mitigation?

- ◯ Yes
- ◯ No

What are your government's priorities for enhancing risk prevention and mitigation?
Please check at least 3 of these priorities:

☐ Increasing investments in building new physical protective infrastructure

☐ Increasing investments in maintenance of protective infrastructure

☐ Increasing risk awareness

☐ Strengthening the integration of hazard zoning and land-use planning

☐ Ensuring that the provisions of building codes are risk informed

☐ Strengthening the enforcement of building codes

☐ Relocating residents living in areas exposed to hazards

Does your government encourage the private sector to take steps to ensure business continuity?

○ Yes

○ No

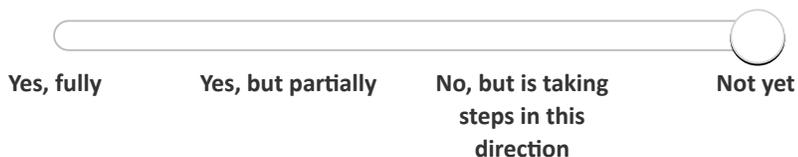## *Through which of the following measures:

Please, check all that apply

☐ It has developed standards and/ or toolkits designed to manage risks to the operations of critical infrastructure

☐ It has prepared capabilities to ensure that critical infrastructure function in the aftermath of a shock

☐ It requires first responders to be stationed in critical infrastructure facilities

☐ It provides incentives for small community-based businesses to take resilience measures

☐ Other:

Please, provide a link to any relevant document describing other measures here:

[   ]

If you prefer, please upload any relevant document here:

[   ] [   ]

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

Do you believe that your country has fulfilled **Principle 3 of the OECD Recommendation**?

| Yes, fully | Yes, but partially | No, but is taking steps in this direction | Not yet |

○   ○   ○   ○   ○
1   2   3   4   5

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Principle 4: RECOMMENDS that Members develop adaptive capacity in crisis management by coordinating resources across government, its agencies and broader networks to support timely decision-making, communication and emergency responses.

Does the lead institution on the management of critical risks report to the Centre of Government?

◯ Yes

◯ No

*How does it report to the Centre of Government:

Please check all that apply

☐ It reports directly to the Head of Government

☐ It reports through a minister to the Head of Government

☐ It reports to a Parliamentary committee

☐ It reports to a group of government appointed experts

☐ Other:

Please, provide a link to a document that explains other ways of reporting here:

[   ]

If you prefer, please upload any relevant document here:

[   ] [   ]

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

Is there a specific government department or institution whose purpose is to identify novel, unforeseen or complex crises?

◯ Yes

◯ No

Please, provide the link to this institution's web site:

Please, provide the link to this institution's web site:

[   ]

*Are inter-agency cooperation mechanisms built into your government's crisis management system?

○ Yes

○ No

Does your government have a mechanism for monitoring unexpected events in order to quickly build situation awareness about critical risks once they actually occur?

○ Yes

○ No

Please, provide the link to a relevant document explaining the mechanism here:

[   ]

If you prefer, please upload any relevant document here:

[   ] [   ]

 Select file to upload...

 Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

*Does your government possess statutory authority to draw together civil protection resources from sub-national levels of government to manage large scale disasters that overcome local capacities?

○ Yes

○ No

Do you believe that your government has fulfilled [Principle 4 of the OECD Recommendation](#)?

| Yes, fully | Yes, but partially | No, but is taking steps in this direction | Not yet |

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Principle 5: RECOMMENDS that Members demonstrate transparency and accountability in risk-related decision making by incorporating good governance practices and continuously learning from experience and science.

*Does your government make information that is used for the assessment of critical risks available to the public?

○ Yes

○ No

Information is provided to:

Check all that apply

☐ The public on its exposure to natural hazards

☐ The public on its exposure to potential technological accidents

☐ Critical infrastructure operators on the exposure of their assets to natural hazards

☐ Critical infrastructure operators on the exposure of their assets to impending terrorist threats

☐ Other:

Please, provide a link to a document containing other information receivers here:

[   ]

If you prefer, please upload any relevant document here:

[   ] [   ]

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls

Has your government conducted a post-disaster evaluation of policies that are designed to support the management of critical risks within the last three years?

○ Yes

○ No

Has your government communicated the results of any such evaluations to the public in past?

○ Yes

○ No

◯ No

Please, provide a web-link to a document containing the results here:

[   ]

If you prefer, please upload any relevant document here:

[   ] [   ]

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Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

Have the results from such evaluations been used in the design of revised risk management policies?

◯ Yes

◯ No

Please, provide a web link to a document containing the revised policy here:

[   ]

If you prefer, please upload any relevant document here:

[   ] [   ]

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Allowed file type(s): .doc, .docx, .pdf, .xls, .xlsx

Does your government provide support for scientific research that is meant to improve policies for the management of critical risks?

◯ Yes

◯ No

Please, provide a web-link to an example of such research here:

[   ]

If you prefer, please upload any relevant document here:

[   ] [   ]

Select file to upload...

Allowed file type(s): .doc, .docx, .pdf, .ppt, .pptx, .xls, .xlsx

Do you believe that your government has fulfilled [Principle 5 of the OECD Recommendation](#)?

◯───────────────────────────────────────⬤

Yes, fully   Yes, but partially   No, but is taking   Not yet

**steps in this
direction**

Thank you very much for taking the time to fill out this questionnaire!

Should you have any questions or would you like to add additional documents, please contact the Secretariat
at: jack.radisch@oecd.org