

## Acuerdos Bilaterales

Clasificación: 76-2004

Fecha de Ingreso: 31 de agosto de 2004

Nombre de Acuerdo: Public Entity Risk Institute - General Secretariat of the Organization of American States Gran Agreement, Grant # 2004-02, Disaster Vulnerability Reduction of University Campuses in the Americas

Materia: Medio Ambiente

Partes: SG/OEA y Public Entity Risk Institute

Referencia: PERI

Fecha de Firma: 15 de julio de 2004

Fecha de Inicio:

Fecha de Terminación:

Lugar de Firma:

Unidad Encargada: Unidad para el Desarrollo Sostenible y el Medio Ambiente

Persona Encargada: Thomas Scott Vaughan

Original:

Claves:

Cierre del proceso:

General Secretariat of the Organization of American States  
**Grant Agreement**  
**Grant # 2004-02**  
**Disaster Vulnerability Reduction of University Campuses in the Americas**

This agreement is made as of this \_\_\_\_\_ day of July, 2004 (the "Effective Date") between the Public Entity Risk Institute ("PERI"), a Virginia nonprofit corporation with principal offices located at 11350 Random Hills Road, Suite 210, Fairfax, Virginia 22030, and the General Secretariat of the Organization of American States through its Unit for Sustainable Development and Environment, ("Grantee"), an international organization of member states with principal offices located at 17th Street & Constitution Ave., N.W., Washington, D.C. 20006, sometimes collectively referred to as the "parties":

**WHEREAS**, Grantee has submitted a proposal for a project to be funded by PERI; and

**WHEREAS**, PERI desires to provide grants to fund projects that further its purposes as a nonprofit corporation, including its commitment to stimulate fresh and creative thinking, generate original research and practical applications of research, and maintain vibrancy in its programming; and

**WHEREAS**, PERI has determined that providing a grant for Grantee's project will further such purposes of PERI.

**NOW THEREFORE**, for and in consideration of the mutual covenants contained herein, and other good and valuable consideration, the receipt and sufficiency of which each party acknowledges from every other party, the parties hereby agree as follows:

1. **Project and Proposal:** Grantee will conduct and complete the project work plan (the "project") as stated in the May 20, 2004 proposal submitted to PERI, entitled *Disaster Vulnerability Reduction of University Campuses in the Americas* (referred to as "the proposal"), a copy of which is attached hereto and incorporated herein as **EXHIBIT A**, subject to the specific terms and conditions set forth in this agreement.
2. **Project Term:** Grantee will begin the project by July 15, 2004 and complete the project by July 15, 2005 (the "project term"). PERI may approve extension of the project term based upon Grantee's written request for good cause. The decision to approve or deny extension of the project term will be made by PERI in its sole discretion. Any approved extension of the term will be a no-fee extension, inasmuch as in no event will the grant, as defined in paragraph 6, below, increase due to such extension.
3. **Project Work Plan and Work Schedule:** Grantee will implement the project in accord with the work plan and work schedule, both of which are set forth in the Grantee's proposal.
4. **Project Deliverables:** Grantee, as part of this project, will produce and deliver the following, as further described in the proposal:
  - a. Two workshops:

- b. Guidance materials for conducting hazard risk assessment and developing vulnerability reduction plans for campus installations, emphasizing low cost approaches, and presented both in Spanish and English;
- c. Training manual (Spanish and English) for presentation of Guidance materials;
- d. Website for posting project deliverables, which will be freely available without charge to all interested parties;
- e. Publicity campaign;
- f. Creation of mentoring program; and
- f. Final Report.

PERI will be provided with a copy of any written or electronic material generated as a project deliverable, and with the opportunity to send a representative to attend any meetings held as part of this project

5. **Project Staff:** Grantee has the sole responsibility to staff the Project. Grantee will implement the Project through Stephen Bender Chief, Division III, Unit for Sustainable Development and Environment. Grantee will negotiate, execute, and manage subcontracts for specific program delivery and coordination of elements. Grantee may make such changes in staff as it deems necessary, provided such changes have no adverse effect on the project.

6. **Grant Funding:** PERI will award a one-time grant in an amount up to a maximum of \$123,000 (the "grant") to Grantee to fund the project, allocated according to the expenditure categories in the proposed budget submitted by Grantee as part of its full proposal (hereafter referred to as the "project budget"), and subject to the following terms and conditions:

a. Grantee will use all grant funds solely in accordance with the categories in its project budget. Any redistribution of funds among budget categories requires prior written approval of PERI.

b. When this Agreement has been signed by both parties, PERI will make an initial payment of grant funds, not to exceed 40% of the total award, based on the Grantee's submission to PERI in writing of detailed estimate of direct grant expenditures expected during the first quarter of the project plus funds the Grantee must encumber for payment of contracts with project consultants. All expenses must be for a budget item identified in the Grantee's full proposal. All amounts requested in advance to secure funding for contracted consultants will be individually identified by consultant, scope of work, time within which work will be performed, and total consulting fee.

c. Within thirty days after the end of each quarter, Grantee will submit to PERI properly documented invoices for payment of additional grant funding, based on an itemized estimate of Grantee's direct expenditures for the next quarter. Each invoice will include.

- the amount originally awarded for each budget category,
- a cumulative total of prior payments made by PERI under that budget category,
- a cumulative total of expenditures made to date by Grantee under that budget category,
- the variance between PERI's cumulative payments to Grantee and the Grantee's cumulative expenditures under that budget category,
- the balance remaining in the budget category, and
- expenditures anticipated for the following quarter for that budget category.

- d. The invoice amount for the next quarter's expenditures will give credit for any funds advanced by PERI but not yet utilized for project expenditures.
- e. PERI will make quarterly payments of grant funds on or about the 15th day after receipt of such invoice.
- f. For the purpose of quarterly and final Grantee invoices, proper invoice documentation includes a current, detailed progress report for quarterly activities, identification of the appropriate category in the project budget for each fee and cost for which payment is requested, submission of copies of invoices from contractors and vendors providing goods and services to the project, itemization of hours expended on the project during the quarter for services that are billed on an hourly basis, or such other documentation as may be required by PERI.
- g. The sum of the initial and quarterly grant payments are not to exceed 90% of the maximum grant funds awarded for the project.
- h. Upon timely and satisfactory completion of the project by Grantee, including submission of a final report and properly documented final invoice to PERI, PERI will pay Grantee the balance of grant funds owed for the project costs and expenditures included in the project budget. Under no circumstances will total grant payments exceed the maximum awarded in this paragraph. Grant funds awarded but not expended in connection with the project are not payable to Grantee. Because PERI is agreeing to make advance payments based on estimates of actual expenses, Grantee agrees to return excess funds paid but not used to project expenses.
7. **Acknowledgement & Approval of Material:** PERI will receive prominent and ongoing credit in all project deliverables, all marketing of project deliverables, all materials distributed in conjunction with project activities, and all public announcements regarding the project. PERI will be provided with a draft copy of such materials and the credit given prior to final publication, and has the right to pre-approve the form and placement of credit given on all project deliverables. PERI's web site will be included as a prominent direct link from any Grantee web pages housing or promoting individual project deliverables, and PERI will be identified as a funder of those deliverables. Grantee will permit PERI to establish direct links from PERI's web site and/or from the Risk Management Resource Center to any project deliverables on the Grantee's web site.
8. **Project Evaluation:** Grantee shall evaluate the project outcome as described in its proposal, and as further described in this agreement. Grantee shall further provide reasonable assistance to PERI in any other efforts it makes to evaluate this project.
9. **Books and Records:** PERI at all times has the right, upon reasonable notice and at reasonable times, to review and audit the books and records of Grantee in connection with this project and to receive copies from Grantee of all evaluations and reports in connection with the project. Grantee shall retain all books and records related to this project for two years following the end of the project term ("record retention date").
10. **Default:** Upon a default in the performance of any of the terms and conditions of this agreement by either party, the non-defaulting party has the right to take such actions deemed

appropriate, provided however that in no event shall PERI have any liability to Grantee under this agreement in excess of any unpaid amount of the grant.

a. A default may be declared by either party only if such default continues fifteen (15) or more days after the date of written notice by the non-defaulting party to the defaulting party of the default and its nature, and the defaulting party fails to cure the default within that time period.

b. If Grantee's default is a violation of any material term of this agreement, PERI may, among other remedies: (i) suspend any further grant payments, (ii) terminate all or part of its grant, and/or (iii) require Grantee to refund all or part of the grant.

c. A violation of a material term of this agreement includes but is not limited to a failure by Grantee to make reasonable progress on the project or to complete the project by the end of the project term; repeated failure without reasonable cause to complete tasks by the dates established in the work schedule; failure to submit quarterly progress reports and invoices; repeated failure to communicate with or respond to PERI staff or others involved in the project; or such other violation of the agreement that significantly endangers substantial performance of the project.

11. **Indemnification:** Grantee will indemnify and hold harmless PERI for any claims by or liability to third parties to which PERI may be subject on account of this project other than those caused by PERI's willful misconduct or knowing violation of the criminal law in the performance of its duty.

12. **Notices:** Any notices required to be given to any party under this Agreement shall be given in writing to the following:

PERI: Claire Lee Reiss  
Deputy Executive Director  
Public Entity Risk Institute  
11350 Random Hills Road, Suite 210  
Fairfax, Virginia 22030

Grantee: Thomas Scott Vaughan  
Director  
Unit for Sustainable Development and Environment  
Organization of American States  
1889 F St., NW  
Washington, D.C. 20006

13. **Rights in Data and Copyright:** PERI reserves a royalty-free, non-exclusive and irrevocable license to reproduce, publish or otherwise use the project data. "Project data" means the recorded information, whether or not copyrighted, that is produced or specified to be produced under this agreement, including but not limited to text, graphics, drawings, photographs, computer materials, videotapes and information retained in computer memory. Examples of project data include, but are not limited to: guidelines, books, workbooks, computer software, engineering drawings and associated lists, specifications, standards, manuals, Internet web sites, reports,

catalogs, videotapes and similar and related information. The term does not include financial reports, cost analyses, and similar information incidental to grant administration.

14. **Term of Agreement:** This agreement begins as of the effective date and terminates upon the record retention date, unless sooner terminated as otherwise provided herein.
15. **One-Time Grant:** Nothing in this agreement obligates, or can be construed to obligate, PERI to grant any funds other than as set forth herein. Anything written or oral to the contrary in the proposal or elsewhere notwithstanding, PERI has no obligation to fund this project, whether or not such project is determined to be feasible or useful, other than the one-time grant set forth in Paragraph 6 of this agreement.
16. **Independent Contractor:** Grantee is an independent contractor, and nothing in this agreement is intended to, nor does it, create any partnership, agency or other such relationship between PERI and Grantee.
17. **Definitions:** Unless otherwise specified herein, the words will have the meaning as set forth in this agreement.
18. **Headings:** Wherever headings are used, they are intended for convenience only, and shall not in any way affect the interpretation of this agreement.
19. **Governing Law:** The laws of the state of Virginia will govern the interpretation and enforceability of this agreement. Nothing in this Agreement constitutes a waiver, express or implied, of the privileges and immunities of GS/OAS and its personnel.
20. **No Assignment:** This agreement, in whole or in part, and all rights and obligations hereunder, are personal to the parties and may not be assigned by any party without the written agreement of the other.
21. **No Beneficiaries:** Nothing in this agreement, express or implied, is intended or shall be construed to confer upon or give any person or entity other than the parties to this agreement any rights or remedies under, or by reason of, this agreement.
22. **Counterparts:** This agreement has been executed in counterparts, and each counterpart shall be treated the same as if it were the original.
23. **Invalidity of Particular Provisions:** If any provision or application of this agreement to any extent is invalid or unenforceable, the remainder of this agreement, and the application of all provisions other than any which is invalid or unenforceable, shall not be affected thereby, and each provision of this agreement shall be valid and enforced to the fullest extent permitted by law.
24. **Entire Understanding, Amendment:** This agreement constitutes the entire understanding among the parties, and shall be binding and effective on the date when signed by all parties, and may be modified or amended only in writing signed by all parties. In the event of a conflict between the proposal and this agreement, this agreement controls.

25. **Authority:** Each signatory represents and warrants it has the authority to sign on behalf of the entity for which its signature appears.

The following signatures of the parties are made as of the date of each signature:

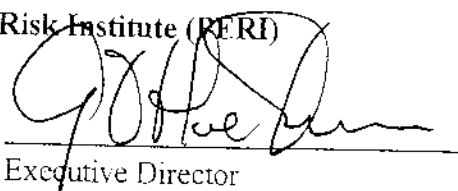
DATE:

6/30/04

Public Entity Risk Institute (PERI)

BY:

TITLE:

  
Executive Director

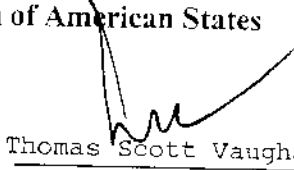
DATE:

7/15/04

General Secretariat of the  
Organization of American States

BY:

TITLE:

  
Thomas Scott Vaughan

Director, USDE



Organización de los Estados Americanos  
Organização dos Estados Americanos  
Organisation des États Américains  
Organization of American States

17<sup>th</sup> and Constitution Ave., N.W. • Washington, D.C. 20006

GENERAL SECRETARIAT OF THE  
**ORGANIZATION OF AMERICAN STATES**  
UNIT FOR SUSTAINABLE DEVELOPMENT AND ENVIRONMENT

Full Proposal  
to the

**PUBLIC ENTITY RISK INSTITUTE**

**DISASTER VULNERABILITY REDUCTION OF UNIVERSITY CAMPUSES  
IN THE AMERICAS**

**I. EXECUTIVE SUMMARY OF PROPOSAL**

**Date Submitted:** May 20, 2004

**Applicant:** General Secretariat of the Organization of American States ("GS/OAS"), Unit for Sustainable Development and Environment ("OAS/USDE")  
1889 F Street, NW  
Washington, DC 20006

**Tax I.D. number:** 52-1336464

**Responsible Project Manager:**

Stephen O. Bender  
Chief, Division III  
Unit for Sustainable Development and Environment

1889 F Street, NW  
Washington, DC 20006  
Telephone: 202-458-3005  
Email: [sbender@oas.org](mailto:sbender@oas.org)

**Project title:** Disaster Vulnerability Reduction of University Campuses in the Americas

**Total project cost:** \$181,000

**Funding requested from PERI:** \$123,000

**Exhibit A**

**Time period:** June 15, 2004 to July 15, 2005

Campus Vulnerability Reduction  
OAS USDE Proposal to PERI

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Spring 2004



**Project purpose and audience:**

The proposed project will reinforce the content and sharing of knowledge, experience and expertise for conducting vulnerability and risk assessments, and developing disaster reduction plans for university and college campus installations, and make more visible and accessible those elements to other universities and colleges throughout the Western Hemisphere where risk management issues related to natural hazard events have not yet been addressed.

**Products and results to be produced:**

Two workshops will be held in October 2004 and March 2005, and guidance materials for conducting hazard risk assessment and developing vulnerability reduction plans for campus installations will be collaboratively developed with specialists and institutions that have begun undertaking risk assessments and vulnerability reduction measures on college and university campuses. A working group will be set up among hemispheric specialists and institutions with experience in vulnerability reduction of university and college campuses to work with those who wish to initiate such activities.

**Relation to PERI's mission, goals and funding interests:**

This proposed project exemplifies PERI's mission to serve public, private, and nonprofit organizations as a dynamic, forward thinking resource for the practical enhancement of risk management. It also advances PERI's stated goals to:

- a. Facilitate the development and delivery of education and training on all aspects of risk management for public and private [particularly small nonprofit organizations and businesses entities.
- b. Serve as a resource center and clearinghouse for risk management, environmental impairment liability, and disaster management.
- c. Operate an innovative, forward-looking grants and research program in risk management, environmental impairment liability, and disaster management.

We believe this project, which involves collaboration and information sharing among a number of institutions advancing in the area of risk management, will help PERI in its goal to provide synergy among existing programs and organizations and be a catalyst in the risk management field and a vehicle for allocating greater resources to key needs in risk management. In addition, the proposed project also reflects four of PERI's five funding priorities for this year: Risk Evaluation and Control, Risk Identification and Assessment, Safety and Health Protection, and Risk Management Best Practices.

We are seeking PERI's support to complement and further utilize the knowledge, expertise and experience that institutions and specialists in the United States and elsewhere in the hemisphere have gained to date in this subject area (see Project Description below). Over 90% of the financial resources used by the OAS/USDE for development cooperation in vulnerability reduction of OAS member states to natural disasters comes from external financing. This has been true for the last 21 years. We believe that the proposed project will allow PERI to support

an effort with significant contributions of others because of the nature of their participation, and for it to maximize the potential for use of the results of the support that it has committed to date in the area.

## **2. PROJECT DESCRIPTION**

### **2.1. USDE/OAS mission, expertise and capability**

Among its other activities in vulnerability reduction to natural hazards as part of environmental sustainability, the OAS/USDE supports the needs of its member states in addressing natural disaster mitigation through technical assistance, knowledge exchange, and citizen participation. Over the past several years the OAS/USDE developed several technical guides and information sharing forums for vulnerability reduction in the K-12 sector in Latin America and the Caribbean (see *Appendix B: Technical Documents 1998-2001: Guidelines And Practices For Educational Sector Vulnerability Reduction*).

The OAS/USDE will now expand its efforts in vulnerability reduction planning for the education sector to include the higher education sector. This effort to support the higher education sector will utilize EDUPLANhemisferico, a consortium of education and natural hazard risk management specialists and institutions, and research/school construction centers throughout the hemisphere dedicated to coordinating programs for risk reduction of the education sector to natural hazards. Since 1992 EDUPLANhemisferico has supported programs dealing with the improvement of physical infrastructure, academic policy and curriculum, and public participation and public information by the educational sector. Products will thus be able to be used, promoted, and shared via this network, continuing the project and dissemination of project resources. Nine universities in five countries including the United States are the core of this expanding network of volunteer technical secretariats that promote policy, program and project initiatives in the thematic areas of physical infrastructure vulnerability reduction, academic aspects for formal education programs at all levels, and public information and public participation.

The OAS has the ability to convene its member states to discuss the adoption of actions as it has as its members all of the independent countries of the Western Hemisphere. The experiences of such a wide array of players will be valuable in that shared experiences may cross national boundaries. For example, United States west coast universities such as those in California and Washington may have relatively more experience with earthquakes and South American, Central American and Caribbean countries have more experience with severe flooding and landslides. Thus the flow of information and learning will flow in both directions and stand to benefit.

### **2.2. Problem/needs addressed by the project**

Taking into account initiatives of the Inter-American Committee on Natural Disaster Reduction (IACNDR), the OAS's Unit for Sustainable Development and the Environment (OAS/USDE) is pursuing a program of natural disaster vulnerability reduction throughout the Americas in the area of vulnerability assessment with a focus on individual sectors. As part of that program, the OAS/USDE has created EDUPLANhemisferico, which supports the design and implementation of activities that focus on the reduction of natural disaster vulnerability in the education sector. It

has been created to interface with government and non-governmental organizations of the countries in OAS member states. EDUPLANhemisferico aims to: (i) change the role of the education sector to one of a proactive stakeholder in disaster reduction; (ii) support the design and implementation of activities that focus on the reduction of natural disaster vulnerability in the education sector; and (iii) identify and promote national, regional, and hemispheric mechanisms that will facilitate carrying out the activities agreed upon, through programs for advisory services, training, technological transfer, and investment. EDUPLANhemisferico is made up of volunteer technical secretariats composed of universities, research centers, school construction foundations and individuals. It focuses on three thematic areas: physical infrastructure, academic aspects, and public participation and public information. The OAS/USDE coordinates activities related to physical infrastructure and vulnerability reduction of educational facilities to natural disasters.

EDUPLANhemisferico recognizes that the higher education sector serves a particularly important social and economic function, not only supporting education, training, and research, but also playing an integral role in local commerce as well as in public and community service. Many colleges and universities in the Western hemisphere face a significant threat of damage and disruption of operations from natural hazard events, yet to date very few institutions have performed risk assessments or developed plans to reduce their vulnerability.

Several years ago in the United States, the Federal Emergency Management Agency funded a small number of institutions to begin this process (Disaster Resistant Universities Program - DRU). Similar efforts have occurred within a handful of institutions in Canada, Latin America and the Caribbean. The results of these initial efforts have illustrated the importance of conducting vulnerability and risk assessments, and devising reduction plans. A self-assessment conducted by the University of California at Berkeley concluded that "...under current conditions, structural and nonstructural damage could close 50 to 75 percent of campus space for up to one year after a magnitude 7.0 or larger earthquake on the Hayward fault." (Report: The Economic Benefits of a Disaster Resistant University: Earthquake Loss Estimation for UC Berkeley, Comerio, 2000, p. 7). Examples of the actual damages that have occurred to campuses in the Americas from natural disasters support such projections. A 1986 earthquake in El Salvador resulted in damage to more than 70% of the campus infrastructure of Universidad de El Salvador and cost more than \$30 million in reconstruction. The Universidad Iberoamericana in Mexico City experienced complete destruction of its campus from an earthquake in 1979.

Drawing on expertise and documentation from these initial efforts, as well as drawing from expertise in private sector in contingency and continuity planning, the OAS proposes to develop a working group of experienced specialists to produce and disseminate technical guidelines for conducting campus vulnerability assessment and vulnerability reduction planning. The project will emphasize cost-effective strategies utilizing, to the extent possible, campus-based expertise and resources and training opportunities for faculty, staff, and students in the field of disaster risk assessment.

### **2.3. Method for identifying need**

The proposed activity will draw from the expertise of a group of U.S., Canadian, and Latin America and Caribbean specialists and institutions that have undertaken disaster risk assessment

and vulnerability reduction activities for their campuses. A list of these candidate institutions for participation in a working group is provided in Appendix A. The project will take particular advantage of the early work of several U.S. universities in the Disaster Resistant University (DRU) program sponsored by the Federal Emergency Management Agency.

These universities have developed a certain institutional capacity based on need. The OAS/USDE is in a position to recognize this capacity, understand that there are many more colleges and universities who should undertake vulnerability reduction measures, and create a initiative that links these emerging resources to that need. Commitment of the specialists and their institutions to sharing their experience, knowledge and expertise will be obtained on the basis of a formal statement by the OAS on forming the working group. Through initial consultations the universities have expressed interest in participating including the Universities Washington, Colorado, North Dakota, and the DRU program at FEMA. These and other institutions in Central and South America and the Caribbean see their contributions of documentation as a constructive way forward, and look forward to interacting with others who have been through a similar experience.

#### **2.4. Project audience, benefits to accrue, and their relation to PERI's constituency**

This project would build on, utilize, and further the PERI interests already demonstrated, such as its grant support to FEMA's Higher Education Project which is publishing course material that can serve as the foundation for academic courses of study related to hazards risk management.

The benefit of the proposed project to U.S. institutions of higher education is two-fold. First, U.S. institutions will have the opportunity to serve as a resource to the international higher education community in the Western Hemisphere, with relevant opportunities for faculty, staff, and students in technical assistance and training. Secondly, the project will supplement the efforts of U.S. FEMA to encourage the higher education sector's adoption of disaster plans by supporting additional forums for documentation and knowledge transfer which will be available to higher educational institutions in all OAS member states.\*

#### **2.5. Geographic distribution of the audience:**

The primary audience is in the United States, Canada, and Mexico, which have the closest ties and deepest experience in areas of university campus development in its various aspects, as well as educational development and natural hazard risk management. But ever strengthening ties between North America and Latin America and the Caribbean allow for those regions to be seen as the immediate audience also. Moreover, institutional linkages through educational and professional organizations will most likely expand the reach of the proposed project to university communities throughout the globe.

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\* OAS member states include: Antigua and Barbuda, Argentina, The Bahamas (*Commonwealth of*), Barbados, Belize, Bolivia, Brazil, Canada, Chile, Colombia, Costa Rica, Cuba, Dominica (*Commonwealth of*), Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago, United States, Uruguay, and Venezuela.

## **2.6. Project work plan and description**

A working group of representatives of U.S., Canadian, Latin American and Caribbean colleges and universities with prior experience in disaster planning for campuses will contribute documentation and respond to a questionnaire, and later be convened to review a draft of guidance materials for vulnerability reduction of campus facilities. This draft will be prepared by the OAS/USDE in consultation with the participating institutions and specialists. The guidance materials will address overall organizational considerations for designing and implementing a program for vulnerability assessment, risk analysis and mitigation planning for campus infrastructure to varying natural hazards. The technical focus will be on risk to building systems including structures, utility systems, and information and communication systems, and will address special considerations for varying conditions of data availability, expertise, and technical services (e.g., risk data, building codes, alternate and backup sites, and coordination with local public agencies). It will address both physical (structural and non-structural) and financial aspects of mitigation.

The guidance materials will emphasize low cost approaches, use of internal expertise, and developing networks for exchange of expertise among participating institutions can support university campus disaster reduction. The guidance materials will also deal with evaluating the need for specialized professional advisory services. The guidance materials will be produced in both English and Spanish and disseminated through a number of outlets, including existing networks of universities and professional groups.

Two workshops will be convened. The first workshop will involve those specialists and institutions (the working group) that have contributed documents to the preparation of the draft guidance materials. During the workshop, whose site will be targeted if possible for an active member of the FEMA DRU program, the guidance and training materials will be reviewed, as will the project information dissemination strategy and plans for the second workshop. Participants for the second workshop will include those of the first workshop as well as invited representatives of universities and colleges that have not undertaken vulnerability assessments. The guidance and training materials will be presented and discussed, progress on information dissemination will be discussed, and a work plan for the Working Group including a mentoring program for institutions looking to initiate a vulnerability reduction program will be put forward for implementation. A Latin American university will host the second workshop, if possible.

### **2.6.1. Project staff**

The project will be coordinated and technically directed by Stephen Bender, principal specialist and chief, Division III of the Unit for Sustainable Development and Environment (USDE) of the General Secretariat of the Organization of American States. Mr. Bender is the founder of the Natural Hazards Project (NHP), an integrated set of policy, program and project activities undertaken by the USDE since 1983 to support OAS member states and the General Secretariat of the OAS in natural hazard risk management and disaster reduction through development policy, planning and investment. Mr. Bender serves as technical support to the Inter-American Committee for Natural Disaster Reduction (IACNDR), which is chaired by the secretary general of the OAS, chairs of the Working Group on Vulnerability Assessment and Indexing of the IACNDR, represents the USDE in a consortium composed of the OAS, U.S. NOAA CSC and

the Caribbean Development Bank for research and dissemination related to Vulnerability Assessment Techniques and Application (VATA), is a member of the global ProVention Consortium and the UN ISRD/IATF Working Group 3 on Risk, Vulnerability and Indices. Mr. Bender currently directs NHP activities related to natural hazard risk management and disaster reduction in collaboration with the World Bank, UN HABITAT and UNDP, and the International Federation of Red Cross and Red Crescent Societies and ProVention. He also serves as coordinator of the steering committee of EDUPLANhemisferico.

### 2.6.2. Consultants

Ms. Sylvana Ricciarini, MS in Civil Engineering, specializing in natural hazard risk management, will serve as the lead consultant. She is a former staff member of the USDE, where she assisted the Natural Hazards Project for more than two years in technical assistance, training and technology transfer activities at headquarters and in the field related to Hurricane Mitch reconstruction. Responsibilities included researching, organizing, reviewing and drafting guidance for sector specific vulnerability reduction to natural hazard events. She also participated in identifying, coordinating and presenting at technical meetings and workshops at headquarters and in the field. She most recently completed a two-year program at the World Bank as a Junior Professional Associate, where among other activities she participated in environmental sector work on country-specific projects focusing on disaster mitigation and reconstruction, and catastrophic insurance and reinsurance approaches. Ms. Ricciarini is currently completing an academic program at the certificate level in Risk and Disaster Integrated Management.

Ms. Carolina Peña, who holds an undergraduate degree in business administration and finance, will serve as a consult/project assistant. She worked previously with the USDE, also directly with the Natural Hazards Project and EDUPLANhemisferico. Her responsibilities included initiating and responding to technical and general inquiries about project activities, assisting in designing and developing meeting and workshop programs with the participants, assisting in the preparation of presentation and guidance documents, and assisting in coordinating administrative matters related to project activities. Most recently she has worked with the Pan American Health Organization, where she is carrying out similar functions.

### 2.6.3. Project goals, products and measurable objectives

**a. Project goals** are to reinforce the content and sharing of knowledge, experience and expertise for conducting vulnerability and risk assessments, and developing disaster reduction plans for university and college campus installations, and make more visible and accessible those elements to other universities and colleges throughout the Western Hemisphere where risk management issues related to natural hazard events have not yet been addressed.

**b. Project products** include guidance materials (handbook in English and Spanish, reference documents, and bibliography), and a training manual in English and Spanish to present the guidance materials; two workshops for review, consultation and networking through the Working Group; and the posting of the guidance materials and training manual on a website with numerous links to relevant educational, emergency management, and campus planning groups.

c. **Project measurable** objectives include completion of the guidance materials and training manual, execution of workshops, posting of the guidance materials and training manual, and creation of the working group with its mentoring program in collaboration with EDUPLANhemisferico.

#### 2.6.4. Timetable

| Activities                             | 2004 |      |     |      |     |     |     |     | 2005 |     |     |     |     |      |  |
|--|------|------|-----|------|-----|-----|-----|-----|------|-----|-----|-----|-----|------|--|
|  | Jun  | July | Aug | Sept | Oct | Nov | Dec | Jan | Feb  | Mar | Apr | May | Jun | July |  |
| Send out questionnaires                | x    | x    |     |      |     |     |     |     |      |     |     |     |     |      |  |
| Compile responses, technical documents |      | x    | x   | x    |     |     |     |     |      |     |     |     |     |      |  |
| Invitation list, workshop logistics    |      |      | x   | x    | x   | x   | x   | x   | x    | x   |     |     |     |      |  |
| Workshop #1                            |      |      |     |      |     | x   |     |     |      |     |     |     |     |      |  |
| Workshop #2                            |      |      |     |      |     |     |     |     |      | x   |     |     |     |      |  |
| Draft guidance materials               |      |      | x   | x    | x   | x   |     |     |      |     |     |     |     |      |  |
| Finalize guidance materials            |      |      |     |      |     |     | x   | x   | x    | x   |     |     |     |      |  |
| Finalize training materials            |      |      |     |      |     |     |     |     | x    | x   | x   |     |     |      |  |
| Disseminate information                |      |      |     |      |     |     |     |     |      |     | x   | x   | x   | x    |  |
| Follow up on mentoring activity        |      |      |     |      |     |     |     |     |      |     |     | x   | x   | x    |  |
| Evaluation                             |      |      |     |      |     |     |     |     |      |     |     | x   |     | x    |  |

#### 2.6.5. Dissemination of project results

Upon completion, publication of the guidance documents will consist of both hardcopy and electronic publications (predominantly CDs, web-based text) that will be distributed and linked through the OAS website as well through participating institutions, associations and web sites. Attention will be paid during the project to identifying contacts that will lead to making the guidance documents accessible to the smaller public and private colleges and universities in the United States, particularly those in known earthquake, hurricane and flood disaster areas (as exemplified by the those counties with the greatest number of declared emergencies due to those hazards). The following information dissemination initiatives will be undertaken:

- a. The Working Group on Disaster Vulnerability Reduction of University Campuses in the Americas in association with EDUPLANhemisferico technical secretariats will establish one or more Internet sites where full text versions of the guidance documents will be posted;
- b. The organizations and associations identified in Appendix C, Candidate Dissemination Channels, will be approached for posting documentation or providing links to Internet sites where the documentation is posted;
- c. A great deal of learning, sharing, and cross-fertilization will occur at the workshops by design, including the voluntary initiation of a mentoring activity by the working group;
- d. Since a number of networks exist in the United States (associates of the FEMA Disaster Resistant University (DRU) program), Canada (College and University Safety Association (CUSA)) and Mexico (Red Universitaria para la Prevencion y Atencion de Desastres - University Network for Disaster Prevention and Response), and together with EDUPLANhemisferico, coverage of the Western Hemisphere with the results of the proposed project will be broad; and
- e. The Working Group will propose to the organizers of the University of Colorado, Natural Hazards Center Hazards Workshop (July 2005) as well as the FEMA EMI Higher

Education Workshop (June, 2005) opportunities for presentations and discussion on the subject matter including poster sessions, side meetings, panels or plenary sessions.

Additionally, since the products will be available in English and Spanish in full text on the Internet and in CD and paper format upon request, anyone in the world with Internet access will be able to use the information and guidance.

#### **2.6.6. Project results transfer and/or utilization by a wider audience**

The establishment of the Working Group on Disaster Vulnerability Reduction of University Campuses, over and above the production of the guidance documents, will initiate a transfer and utilization by a wider audience as the working group as a unit and its individual participants carry on its work in the following way:

- a. Formation by the Working Group of a mentoring program to assist specialists and institutions to begin a vulnerability reduction process where none has existed before;
- b. Continuing web updates of participating universities and their disaster planning coordinating officers to aid continued knowledge sharing;
- c. The organizations and associations identified in Appendix D, Candidate Wider Dissemination Channels – institutions and associations related to the education and natural hazards management community - will be approached for posting documentation or providing links to Internet sites where the documentation is posted; and
- d. Dissemination through EDUPLANhemisferico of a training module based on the guidance documents to be developed (available in English and Spanish) and made available through a variety of university forums.

#### **2.6.7. Project continuation beyond PERI funding period**

As discussed in the comments on project transfer and utilization by a wider audience the Working Group on Disaster Vulnerability Reduction of University Campuses in the context of EDUPLANhemisferico and its technical secretariats will continue to broaden and deepen the hemispheric discussion of the subject. It is anticipated that given the knowledge, expertise and information that the Working Group will command, it will be in a position to advise governments at all levels, consult with and be included in consulting groups formed by the private sector, and dialogue with higher education disaster management curriculum specialists on including the subject matter in degree courses. As one example of continued outreach it is expected that entities listed in Appendix C, Candidate Dissemination Channels and Appendix D, Candidate Wider Dissemination Channels will incorporate campus vulnerability reduction themes into their periodic meeting agendas, workshops and newsletters, and solicit participants from the Working Group to support them in such initiatives.

### **3. POST-PROJECT EVALUATION**

#### **3.1. Evaluation and measurement of short term and long term success**

In the short term, considered to be during the time period the OAS/USDE coordinates the project, the following evaluations will be made:



- a. During the first workshop the participating professionals and institutions will be asked to evaluate the draft guidance materials, work plan to disseminate the guidance materials when completed, and the proposed structure and direction of the Working Group following the second workshop; and
- b. During the second workshop the participating professionals and institutions will be asked to evaluate the completed guidance materials, the dissemination effort, and the initial work program of the Working Group.

In the long term, considered to be that period beginning with the implementation of the Working Group work plan and beyond, it will be suggested that the work plan include an evaluation mechanism. The Working Group may set quantitative as well as qualitative goals in terms of supporting individuals and institutions, and most certainly will pursue measures to solidify and sustain the participation of its participants with a working structure that permits the Working Group to be accessible and visible.

#### **4. PROJECT REVENUE AND RETURN OF PERI GRANT FUNDS**

The project is not expected to generate revenue or cash flow back to the applicant or its partners. The guidance materials developed by the OAS/USDE will be distributed free of charge. Guidance materials developed by the individual specialists and institutions and made available to interested parties will, no doubt, follow policies set by the distributing entity. It is expected that the participating specialists and institutions will donate the use of their materials for the generation of the proposed guidance materials to be developed under the coordination of the OAS/USDE.

#### **5. PROJECT BUDGET INFORMATION**

Project support of \$123,000 is requested for implementation of the project by the OAS/USDE during a proposed period beginning June 15, 2004 and ending July 15, 2005. Costs include travel and per diem for Working Group participants in Phase I, and partial travel and per diem for attendees of the Phase II dissemination meeting; technical and administrative staffing for a production of the guidance materials and organization of the two workshops; the cost of printing and web publication and dissemination; and the costs of developing training materials. The OAS/USDE and the EDUPLANhemisferico Working Group participants will make an estimated contribution of US\$58,000 in in-kind support through their donation of senior staff time, technical materials, serving as workshop sites and hosting a web site, and technical participation in the project. A breakdown of this contribution is included in the attached budget sheet (Attachment A). While a nominal value has been identified for the donated time directly related to participation in this project by the Working Group participants (collecting and reviewing existing materials, review drafts of proposed guidance materials, participation in workshops, recruiting and selecting participants for the second workshop) and the donated materials, it in no way represents an attempt to put a value on the knowledge, experience and expertise those participants will contribute. Indeed, one of the very tenants of the proposal is that the accumulated wealth of knowledge by individuals and institutions can be harnessed and made accessible to others.

#### **6. ORGANIZATIONAL BUDGET AND FINANCIAL STATEMENT**

See attached tables in Appendix B, which are the relevant records (pp. 48 and 58-60) from the 2002 Report to the Permanent Council of the Organization of American States entitled "Audit of Accounts and Financial Statements December 31, 2002 and 2001." This is the latest official audit. The full report, conducted by the Board of External Auditors is available upon request. The Regular Fund budget of the OAS for the USDE for fiscal (calendar) 2004 is \$1,666,900 (budget item 44E-440-WS1). Full execution of these funds is expected. The USDE also receives specific funds through contributions, grants, contracts, memorandums of understanding, etc. These cover technical cooperation activities, and payments are received throughout the fiscal year, including payments for multi-year projects. Generally the USDE receives in excess of US\$10,000,000 per year in specific funds for execution of technical cooperation activities.

**7. AUTHORIZED SIGNATURE:**

Authorized Signature:

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Thomas Scott Vaughan  
Director  
Unit for Sustainable Development and Environment  
General Secretariat of the Organization of American States

## Attachment A

### PERI Full Project Proposal

#### Disaster Vulnerability Reduction of University Campuses in the Americas Proposed Budget

| Direct Cost Item   | Description  | Requested from PERI | OAS           | Participating Institutions |
|--|--|---------------------|---------------|----------------------------|
| OAS staff costs <sup>1</sup> :                               | Project Coordinator: 1/10 time x \$9000/month x months               |                     | 14,625        |                            |
|  | Project Administrative Officer: 1/25 time x \$7000/month x 13 months |                     | 3,640         |                            |
| Participating institution staff costs <sup>2</sup> (average) | 5 months x \$2,800/month x 25 institutions                           |                     |               | 35,000                     |
| Participating institution materials contribution             | \$125 x 25 institutions  |                     |               | 3,125                      |
| Participating institution workshop arrangements contribution | \$1,000 x 2 institutions   |                     |               | 2,000                      |
| Consultants/professionals                                    | 1 <sup>st</sup> Consultant: 3/4 time x \$5,500/month x 11 months     | 45,375              |               |                            |
|  | 2 <sup>nd</sup> Consultant: 1/5 time x 2,700/month x 13 months       | 7,020               |               |                            |
| Travel/per diem  | 1 <sup>st</sup> Workshop: 25 participants x \$850/participant        | 21,250              |               |                            |
|  | 2 <sup>nd</sup> Workshop: 50 participants x \$750/participant        | 37,500              |               |                            |
|  | OAS staff trips: 4 x \$850   | 3,400               |               |                            |
| Equipment  |  | 0                   |               |                            |
| Supplies   |  | 1,405               |               |                            |
| Printing/copying   |  | 3,000               |               |                            |
| Telephone/fax/email/internet                                 |  | 1,495               |               |                            |
| Postage and delivery   |  | 650                 |               |                            |
| Other – administrative processing fees                       |  | 1,905               |               |                            |
| <b>Total direct costs</b>                                    |  | <b>123,000</b>      | <b>18,265</b> | <b>40,125</b>              |

<sup>1</sup> Includes salary, fringe benefits and fees

<sup>2</sup> Includes salary, fringe benefits and fees



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## Appendix A

### University Disaster Reduction Project Working Group Candidate Institutions

#### North America

Florida International University  
Instituto Tecnológico de Estudios Superiores de Monterrey, Campo Monterrey, México  
Millersville University  
Tulane University  
University of Alaska, Fairbanks  
University of British Columbia, Canada  
University of California at Berkeley  
University of Colorado, Boulder  
University of Louisville  
University of Miami  
University of North Carolina at Chapel Hill  
University of North Dakota  
University of South Florida  
University of Washington, Seattle  
University of Western Ontario, Canada

#### Central America

Universidad de Costa Rica, Costa Rica  
Universidad del El Salvador, El Salvador  
Universidad Nacional de Ingeniería, Nicaragua

#### South America

Escuela Politécnica Nacional, Ecuador  
Universidad Católica de Chile  
Universidad Católica de Guayaquil, Ecuador  
Universidad de los Andes, Colombia  
Universidad Federico Villarreal, Perú  
Universidad Nacional de Colombia, Bogota  
Universidad Nacional de Colombia, Manizales  
Universidad Nacional de San Juan, Argentina

#### Caribbean

University of the West Indies, Barbados, Jamaica, and Trinidad and Tobago campuses  
Université Quisqueya, Haiti



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## Appendix B

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### **GS/OAS Technical Documents 1998-2001: Guidelines And Practices For Educational Sector Vulnerability Reduction**

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In response to Hurricanes Georges and Mitch in 1998, the OAS/USDE's Natural Hazard Project led a series of technical assistance efforts to establish guidelines and practices for K-12 educational infrastructure reconstruction, repair and retrofitting. The NHP made available existing technical material through announcements on its website, as well as through Internet networks and field contacts. A listing of the work produced is as follows:

Organization of American States/USAID Office of Foreign Disaster Assistance/Caribbean Regional Program, 2001. "Caribbean Disaster Mitigation Project." Washington, DC.

Organization of American States/United States Agency for International Development/European Community Humanitarian Office/Government of Antigua and Barbuda, June 1998. "Antigua and Barbuda National Plan to Reduce the Vulnerability of School Buildings to Natural Disasters." Washington, DC.

Organization of American States/Government of the Commonwealth of Dominica/United States Agency for International Development/European Community Humanitarian Office, 1998. "Plan to Reduce the Vulnerability of School Buildings to Natural Disasters, Dominica." Washington, DC.

Organization of American States/USAID-OAS Caribbean Disaster Mitigation Project/OAS-ECHO Project to Reduce the Vulnerability of School Buildings to Natural Hazards, October 1998. "Maintenance Manual for School Buildings in the Caribbean." Washington, DC.

Organization of American States/United States Agency for International Development, October 1998. "Vulnerability Assessment of Shelters in the Eastern Caribbean: Retrofitting Terms of Reference for Consultants: Standards, Global Estimates." Washington DC.

Organization of American States/United States Agency for International Development/European Community Humanitarian Office/Government of St. Kitts and Nevis, February 1998. "Plan to Reduce the Vulnerability of School Building to Natural Hazards in St. Kitts." Washington, DC.

Organization of American States, Working Document: The Role of International Organizations in Technical Cooperation and Financing of Natural Hazard Vulnerability Reduction in the Central American Education Sector.

Organization of American States, 1998. Determination of the Vulnerability and Estimation of Damages from Natural Disasters in Education Centers in Panama. Project Center of the Technological University of Panama. Washington, DC.