

**Country: India**

**Project Initiation Plan**

**Project Title:** Disaster Risk Reduction

**Expected CP Outcome** Communities and institutions have established preparedness mechanisms and partnerships to effectively respond to and recover from the impact of disasters

**Initiation Plan Start Date:** June 2009

**Initiation Plan End Date:** May 2010

**Implementing Partner:** UNDP

**Brief Description**

The GoI UNDP Disaster Risk Management project is coming to an end on 30 June 2009 and the Local Project Appraisal Committee (LPAC), chaired by the Joint Secretary, DEA on 22 May 2009, has already approved the umbrella Disaster Risk Reduction programme. It became imperative that the work done throughout the country in developing community based plans and standard operating procedures developed at the district and state levels which could serve not only a much needed baseline information but also provide a logical basis for taking up the larger initiatives proposed under the GOI-UNDP Disaster Risk Reduction Programme. The constitution of the Project Management Board and approval of the specific activities as provided for in the Programme brief of the new programme would take some time. ~~The~~ jump start certain essential activities as provided for in the minutes of the LPAC it is proposed to take up a project initiation plan (PIP).

The objective of project initiation work plan is to support preparation and adoption of an action plan for implementation of disaster risk reduction programme at the Centre, States and local levels in selected urban and rural locations based on consultative processes, local/international experience and best practices and lessons learnt on the causes and potential responses to disaster risks keeping in mind that institutional strengthening and quality human resource development for disaster risk reduction are needed. The PIP will support a combination of initiatives: action research; platform and partnership building for dialogue on policies, regulations and implementation frameworks; a facility to support and disseminate best practices on disaster risk reduction and preparedness; and support to institutions, community associations and NGOs at all levels through four distinct but mutually reinforcing components – selected Centre and state-specific Institutional Strengthening; Capacity-building for Recovery; Disaster Risk Reduction and Urban Risk Management. The outputs of the proposed PIP would help in accelerating the new programme implementation.

Programme Period: 2008-12

CPAP Programme Component: Crisis Prevention and Recovery: Disaster Response and Recovery

Atlas Award ID:00049817

Start date: 1 June 2009

End date: 31 May 2010

PAC meeting date: 22 May 2009

Total resources required	US\$ 968,490
Total allocated resources	US\$ 968,490
• Regular:	US\$ 968,490
• Other:	Nil
o Donor	_____
o Donor	_____
o Donor	_____
o Government	_____
Unfunded budget:	Nil _____
In-kind Contributions	Nil _____

Agreed by UNDP: Ms Deirdre Boyd  
Country Director

Signature



Date: 8 JUNE 2009



## **I. PURPOSE**

The Disaster Risk Reduction (DRR) programme envisages support to Central and State Government Programmes and initiatives through provision of critical inputs to enhance the efficiency and effectiveness of these efforts, taking into account the National Disaster Management Act (2005); disaster risk reduction priorities identified in the Eleventh Five Year Plan; actions highlighted in the global blueprint - Hyogo Framework of Action (HFA); lessons learnt, and local/international experience and best practices.

The DM Act under the overall administrative supervision and control of the Ministry of Home Affairs has been operationalized with the establishment of a National Disaster Management Authority (NDMA), which is chaired by the Prime Minister, and has the responsibility of laying down nation-wide policies, plans and guidelines for disaster management.

Similarly, the State Disaster Management Authorities have been established and are headed by the Chief Ministers, and the State Governments have established District Disaster Management Authorities for each district in a state.

Under this structure, the NDMA, SDMAs and DDMA's need to have necessary capacities and means to exercise their functions, including human resource and financial means. While a legal framework at the central level exists, there is a need for solid mechanism for ensuring accountability at all levels.

Under the ongoing GOI-UNDP Disaster Management Programme, the States, multi-bi agencies, institutions, NGOs and communities have established mechanisms for community participation in disaster management activities. These mechanisms have organized members of the local community, key institutions (schools, colleges, peoples' collectives and committees), the private sector and NGOs to participate in needs identification, planning and prioritization processes. The new Programme will aim to strengthen these institutions to ensure accountability and perform the role in terms of disaster management functions such as preparedness, response and recovery as well as risk assessment, mitigation and reduction. Similarly, it would aim at mainstreaming of the disaster risk reduction activities in the normal activities government including policy and planning processes.

In cooperation with the ongoing activities of the Ministry of Home Affairs, selected State Governments, relevant institutions and selected districts comprising cities – this preparatory assistance (initiation plan) project will undertake a coordinated planning and appropriate strategy for implementation of the Disaster Risk Reduction Activities in an effective manner to achieve outcomes and results as outlined in the CPAP document and programme document endorsed by the Local Project Appraisal Committee Meeting held in the Department of Economic Affairs, Ministry of Finance on 22 May 2009.

The four major outputs of the programme are as follows:

1. Institutional Strengthening for DRM
2. Capacity-building for recovery
3. Disaster risk reduction; and
4. Urban risk management

These four inter-related outputs consist of a number of deliverables and activities to cover the expected outputs, and will complement each other to develop the capacity of the communities through strengthening the institutional structures being established under the DM Act all leading to risk reduction.

This initial phase of the project would consolidate the material already developed by Government at various levels and standardise the manuals and guidelines through DM Structures and undertake a variety of preparatory activities that would help in the implementation of the larger programme where actual risk reduction measures would be undertaken. The assessment exercise will be important both for fine-tuning the methodology for implementation of the DRR Programme, and for enhancing the possible scaling-up of the PA project approach and activities to other States, institutions, Districts and cities.

---

## II. EXPECTED OUTPUTS

The approved programme document envisages several outputs and deliverables to be attained and activities to be carried during the programme period 2009-2012. Under the Preparatory Assistance Phase, following aspects of the main DRR programme would be addressed and some of the key activities would be the following:

### **Institutional Strengthening for Disaster Risk Management**

- Develop standard/uniform templates for state and district DM plans
- Develop standard guidelines for the preparation of State and District Plans
- Develop standard operating procedures for Emergency Support Functions (ESF)

### **Capacity-building for Recovery**

- Create awareness about build back better concept and potential areas of intervention
- Develop guidelines for inter-state collaboration for sharing of resources
- Capture recovery experiences of disaster affected states and document good practices for dissemination

### **Disaster Risk Reduction**

- Review Risk and Vulnerability Assessment methodologies used in India and other countries
- Develop appropriate methodologies for major hazards such as earthquake and landslide prone areas
- Develop manuals for Training of Master Trainers for training of Masons, Engineers and Architects
- Field testing of manuals for Training of Master trainers
- Develop Sectoral Guidelines for DRR Mainstreaming
- Develop standard knowledge networking/sharing platforms for SDMAs

---

## III. MANAGEMENT ARRANGEMENTS

The initiation plan (preparatory assistance - PA) is developed to support the implementation of the CPAP (2008-12) by providing the DRR India programme with inputs critical to the development of future initiatives specifically on DM plan preparation, standard operating procedures, finalisation of manual and guidelines for mainstreaming DRR in development programmes, urban risk reduction mechanisms, knowledge management guidelines, etc. The results of the preparatory assistance will serve as a basis to the formulation of specific initiatives and action plans under the overall DRR programme, to ensure that the programme objectives in CPAP are appropriately implemented and stated development results achieved. In June 2010, before the end of the PA phase, an analysis exercise will be conducted by UNDP – with the participation of relevant parties – to draw down lessons learned and to refine the DRR programme strategy, if necessary.

### Implementing Partners

The initiation plan will be implemented by UNDP in close consultation with the Ministry of Home Affairs and other relevant government counterparts. Already the LPAC for the DRR programme has recommended appointment of Project Officers. These officers would be assigned responsibilities of day-to-day coordination and management of PA project. Relevant institutions and CSOs will be engaged to carry out project activities and deliverables as outlined in the annual work plan. UNDP Country Office will be responsible for project financial management, procurement and recruitments (as per its rules and procedures) – the details of which will be outlined in the annual work plan signed by UNDP.

### Project Steering Committee:

A Project Steering Committee (PSC) will be set up. UNDP Country Director (or delegated to Deputy Country Director) will chair the PSC and be responsible for the project deliverables. The PSC will carry out the following functions:

- Ensure project goals and objectives are in line with national priorities

- Ensure project objectives are achieved in the defined timeframe
- Review project progress and suggest implementation strategies periodically
- Review project expenditure against activities and outputs
- Endorse the workplan

The PSC will be responsible for making, by consensus, management decisions for the project and holding periodic reviews. In order to ensure UNDP's ultimate accountability, the final decision rests with UNDP in accordance with its rules, policies and procedures.

The project results will also be shared and reviewed at the Programme Management Board meetings of the overall DRR Programme.

#### Project Manager:

UNDP will appoint a project manager, who will be responsible for the day-to-day management of the project and will be accountable to UNDP and PSC. S/he will prepare the detailed activity and monitoring plan based on the budgeted AWP and submit it to PSC for endorsement. The project manager will ensure that the project produces the results specified in the initiation plan document, to the required standards of quality and within the specified time frame. The project manager will prepare and submit the following reports and documents.

Annual and quarterly work plans, quarterly progress reports (substantive and financial), issues log, risk log, quality log, lessons learnt log, communications and monitoring plan, using standard UNP formats.

#### Project Assurance:

Project assurance will be the responsibility of the Assistant Country Director, DRR Programme. The project assurance role will support the PSC in carrying out objective and independent project oversight and monitoring functions. This role ensures that appropriate project management milestones are managed and completed.

#### Audit:

The project shall be subject to audit in accordance with UNDP rules and procedures.

---

#### IV. MONITORING FRAMEWORK AND REPORTING

UNDP in close collaboration with the Ministry of Home Affairs and other stakeholders will undertake overall monitoring of the PA phase project. Based on the PA Phase, UNDP would prepare a detailed strategy for the implementation of the DRR Programme.

A monitoring framework, initially defined in the draft project document, will be further developed and finalized during this process, describing which activities and outputs will be monitored, reviewed and assessed, how and by whom. The framework will articulate the types of communications and associated scheduling required during the project, as well as methods of communications with stakeholders. Using a combination of templates and Atlas tools, the following elements shall be part of the monitoring framework for the project:

- Output Level: Each output will have an indicator, baseline and target, stating what is being measured, and what change is expected to enable the tracking of progress, and to facilitate reporting as part of the quarterly project review.
- Activity Level: key activity results will be identified describing what is to be produced by an activity or set of activities, and how they are to be measured, using quality criteria. The method to measure quality will be identified. This will determine the allocation of appropriate resource to ensure that the monitoring is carried out. All activity descriptions and monitoring components would be determined in collaboration amongst the implementing partner and the PSC to ensure consistency and appropriateness.
- Project Monitoring Schedule: Using Atlas, the Project Monitoring Schedule will maintain a date list of key project management and monitoring events, including key reports, reviews, monitoring visits, audits, and evaluations. This schedule will be maintained by the Project Manager and will track the dates of key project events for all project members to follow.

- Issues Log: The Issues Log will be used to capture and track the status of all project issues throughout the implementation of the project. During the running of the Project, it will be the responsibility of the Project Manager to track, capture and assign issues, and to ensure that all project issues are appropriately addressed.
- Risk Log: The Risk Log will be maintained throughout the project to capture potential risks to the project and associated measures to manage risks. The initial set of project risks will be captured in the Atlas Risk Log by the Project manager, based on the Risk Analysis submitted to the PAC. During the running of Project, it will be the responsibility of the Project Manager to maintain and update the Risk Log, using Atlas or other reporting means.
- Lessons Learned Log: The Lessons Learned Log will be maintained throughout the project to capture insights and lessons based on good and bad experiences and behaviours. It will be the responsibility of the Project Manager to maintain and update the Lessons Learned Log.

During the Running a Project and Closing a Project processes, these tools will be reviewed and updated on a quarterly basis using standard reports from Atlas.

#### Potential Responsible Parties:

The list potential partners for undertaking proposed activities is as follows:

- TARU
- National Institute of Disaster Management (NIDM)
- State Administrative Training Institutes
- National Institute of Rural Development (NIRD)
- State Institutes of Rural Development (SIRDs)
- National Institute Urban Affairs (NIUA)
- All India Institute of local Self Government
- Yashwant Rao Academy of Development Administration (YASHADA)
- Building Materials and Technology Promotion Centre (BMTPC)
- Academic Institutions such as Jawaharlal Nehru University (JNU)
- Indian Institutes of Technology (IITs)
- NGOs/CBOs
- Industry Associations

V. ANNUAL WORK PLAN

United Nations Development Programme, India

Year: June - December 2009

Award Proposal / Project Number: 00049817/00061114

EXPECTED OUTPUTS	PLANNED ACTIVITIES		TIME FRAME	Resp. Partner	Funding Source	Budget Description	Budget (US \$)
	Q3	Q4					
<i>And baseline, indicators including annual targets</i>	<i>List activity results and associated actions</i>						
<b>Output 1: Guidelines for State and District Plan Preparation and SOPs</b>	<b>Activity Result 1:</b> Templates for State Plans, District Plans, Guidelines and SOPs (hard/soft copies)						
<b>Indicator 1:</b> No. of Templates Prepared <b>Target:</b> 1 State Plan, 1 District Plan, 10 SOPs	<b>Activity Action:</b> TOR Development and hiring of consultants <b>Activity Action:</b> Review of the SOPs- Revenue, Health, Agriculture, Police, Fire Department, Animal Husbandary, Rural Development, PWD, PHE, Transport, Women and Child, Forest, Industry, I & PR, Information Technology			UNDP	UNDP	71300/National Consultants	6000
	<b>Activity Action:</b> Review meetings at National and Regional levels			UNDP	UNDP	72100/Service Contracts	157000
	<b>Activity Action:</b> Consultation and Validation Workshops at National and Regional levels			UNDP			
<b>Output 2: Standard Manuals for training</b>	<b>Activity Result 2:</b> 5 Standard Training Manuals in 6 local languages					<b>Sub-Total</b>	<b>163000</b>
<b>Indicator 2.1:</b> No. of Manuals prepared <b>Target:</b> 5	<b>Activity Action:</b> TOR Development and hiring of consultant <b>Activity Action:</b> Guidelines and templates for 15 sectoral areas and printing of reports <b>Activity Action:</b> Review of manuals, guidelines for Search and Rescue, First Aid, PRL, Training of Master Trainers on Plan Preparation, Early warning systems, Safe Construction Techniques <b>Activity Action:</b> Training of Master Trainers in Plan Preparation, Early Warning Systems, Safe Construction Techniques			UNDP	UNDP	71300/National Consultants	25000
<b>Indicator 2.2:</b> No. of Manuals translated <b>Target:</b> 6 (Hindi)	<b>Activity Action:</b> 5 Standard Training Manuals in 6 local languages			UNDP	UNDP	72100/Contractual Services - companies	80000
	<b>Activity Action:</b> develop framework for 5 Standard Training Manuals in 6 local languages Consultative meetings at the National and Regional levels to validate the framework and contents						
	<b>Activity Action:</b> 5 Standard Training Manuals in 6 local languages Review of guidelines for Gender and Social Inclusion			UNDP			
	<b>Activity Action:</b> Finalization of training manuals, guidelines			UNDP			

Activity Action Validation workshops		UNDP	Sub-Total	105,000
<b>Output 3:</b> IEC Materials Standardized	<b>Activity Result:</b> Hazard specific standard IEC materials prepared	UNDP	71300/National Consultants	10000
<b>Indicator 3:</b> No. of thematic/hazard specific IEC materials developed <b>Target:</b> 10	<b>Activity Action</b> TOR development and hiring of consultants <b>Activity Action:</b> Review of thematic approaches (PR, Gender, Disability, Mason's, Engineers, Doctors, Teachers, Volunteers) & hazards ( Cyclone, Flood, Earthquake, Fire, Tsunami, Landslide, Lighting) to seek domain knowledge <b>Activity Action</b> Collection and compilation of IEC materials <b>Activity Action</b> National Level Workshop with key stakeholders to review and discuss the draft IEC materials. <b>Activity Action</b> Workshop with Media on communication tools <b>Activity Action:</b> Printing and Dissemination	UNDP	71200/Contractual services - companies	70000
<b>Output 4:</b> Standard Guidelines for Risk and Vulnerability Assessment <b>Indicator 4:</b> Guideline Developed for RVA. <b>Target:</b> 1	<b>Activity Result 4</b> Review and standardization of the Risk And Vulnerability Assessment methodology followed at community level <b>Activity Action:</b> TOR Development and hiring of consultants <b>Activity Action:</b> Stakeholder consultative meeting <b>Activity Action:</b> Finalization of guidelines and validation <b>Activity Action:</b> Draft guidelines for preparation of Integrated Development Plans	UNDP	Sub-Total 72100/National Consultants	80000
		UNDP	72100/National Consultants	10000
		UNDP	71200/Contractual services - companies	37000
<b>Output 5:</b> Sectoral Guidelines development for DRR Mainstreaming <b>Indicator 5.1:</b> No. of model Development Plans developed taking into account the DRR <b>Target:</b> 5	<b>Activity Result 6.1:</b> Guidelines and templates for 15 sectoral areas and printing of reports and Guidelines for DRR Mainstreaming <b>Activity Action:</b> Development of TORs and hiring of consultants/institutions <b>Activity Action:</b> Workshop to gain broader understanding of DRR issues as these affect the vulnerable groups and low income rural and urban population to form a national network/platform <b>Activity Action:</b> Collection and Review of the existing DRR sectoral guidelines - Health, Agriculture, Animal Husbandary, Rural Development, PWD, PHE, Transport, Women and Child, Forest, Industry, Environment, Tourism and Education	UNDP	Sub-Total 71300/National Consultants	47000
		UNDP	71300/National Consultants	10000
		UNDP	72100/Contractual Services - companies	165000

<b>Indicator 5.2:</b> No. of sectoral guidelines prepared. <b>Target:</b> 10	<b>Activity Action:</b> Review of the Development Plans/Mapping of DRR activities									
	<b>Activity Action:</b> Sector-wise Stakeholder consultation meetings									
	<b>Activity Action:</b> Preparation of Draft, Integrated Development Plan with mainstreaming of concerns of DRR									
	<b>Activity Action:</b> Validation workshop and finalization of Development Plan taking into account concerns of DRR								175000	
Output 7: Knowledge Management platforms for key agencies <b>Indicator 7.1:</b> Blue Print for KM portals specific to agencies - national and state <b>Indicator 7.2:</b> KM products and services strengthened	<b>Activity Result 7:</b> Partnership building and development of new knowledge products and services supported through SE		UNDP	UNDP				UNDP	33000	
	<b>Activity Action:</b> Studies on review of existing tools used by various partners and relevance of it to SE		UNDP	UNDP						
	<b>Activity Result:</b> New Partnership building and knowledge products and services supported through SE									
	Project Management Support Staff Cost (Thematic Coordinators-POs and PAs)		UNDP	UNDP					UNDP	33000
	State Coordination Support		UNDP	UNDP					UNDP	116000
	Travel and Mission Costs		UNDP	UNDP					UNDP	30,000
	Miscellaneous Costs		UNDP	UNDP					UNDP	50,000
	Equipment		UNDP	UNDP					UNDP	50,000
										50,000
										100,000
										50,000
										346,000
										949,000
									9490	
									10,000	
									968,490	