PROJECT DOCUMENT

[Country name, or Global/Regional Project]

Project Title: Strengthening Disaster Risk Management Systems for the Government of Maharashtra
Project Number:
Implementing Partner: UNDP
Start Date: April 2023 **End Date:** April 2026 **PAC Meeting date:** 3rd February 2023

Brief Description
The XV Finance Commission (XV FC) recommendations, which were approved by the Parliament of India, have called for a paradigm shift in disaster risk financing in India. For the first time, funding for disaster management is allocated and earmarked for each state against the four funding windows of Response, Preparedness, Mitigation and Recovery. The allocations for the five-year period beginning from 2021 are to the tune of INR 228,000 Crores. The allocation of resources for the states of India under the SDRMF has also taken into consideration the risk profile of the states. In order to access the resources allocated, each state has to develop detailed risk assessments, build institutional capacities, train the key stakeholders and develop detailed project documents as per the NDMA guidelines. The NDMA has encouraged state governments to partner with UNDP to ensure that technical assistance to leverage the XV Finance Commission allocations are available. UNDP will work with participating state governments and support in the implementation of state level disaster risk management programmes that will enable the states to access the resources allocated by the XV Finance Commission. This engagement will be through capacity building, institutional strengthening, development of DPRs, risk assessments, Post Disater Damage and Loss Assessments etc. Under this programme, UNDP will be offering technical support to the Government of Maharashtra for strengthening the institutional mechanisms of Disaster Management, building their urban resilience and leveraging the allocations under the XV Finance Commission.

Contributing Outcome (UNSDCF, CPD, RPD):
CPD Outcome: By 2027, Government of India, state governments, communities, private sector and other actors take informed actions to address climate change, pollution, biodiversity loss and restore ecological integrity through improved knowledge, capacity and mainstreaming of relevant actions across sectoral programmes, policies and plans.

Total resources required:		$1,489,967
Total resources allocated:		
	UNDP TRAC:	0
	Donor:	0
	Government:	$1,489,967
	In-Kind:	0
Unfunded:		None

Indicative Output(s) with gender marker[1]: **CPD Output:** Output 3.1: Institutional and policy frameworks developed and strengthened to address climate change, enhance green recovery, prevent environmental degradation, and promote conservation and circular economy. Indicator 3.1.1: Number of climate and gender-responsive development strategies (policies, schemes, programs, and action plans) informed, through technical/advisory support, for achieving national priorities and global commitments under multilateral environmental agreements (global, national, subnational level) Baseline (2022): 7 Target (2027): 14 **GEN Marker: GEN 2**		

Agreed by (signatures)[2]:

Government	UNDP	Implementing Partner
Print Name:	Print Name: Dennis Curry Resident Representative OIC	Print Name:
Date:	Date: 1 April 2023	Date:

[1] The Gender Marker measures how much a project invests in gender equality and women's empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)

[2] Note: Adjust signatures as needed

I. DEVELOPMENT CHALLENGE (1/4 PAGE – 2 PAGES RECOMMENDED)

Due to its area, diverse terrain and climate variability, India is vulnerable to numerous hazards (geological and hydro-meteorological) such as earthquakes, landslides, cyclones, heat waves, extreme rainfall, lightning, forest fires etc. Climate change is only going to exacerbate this vulnerability.

In the aftermath of the 2004 Indian Ocean Tsunami, the Government of India promulgated the Disaster Management Act in 2005. The Act was responsible for establishing the institutional structures and assigning clear responsibilities to the various stakeholders. Since then, with the concerted efforts by the National government, state governments, international agencies and Civil society organizations, India has taken major strides in mainstreaming disaster risk management and mitigating the impact of various disasters.

However, in most states of India, institutional capacities to manage disasters still need to be strengthened. Due to limited human resources and institutional capacities, and competing priorities, most states must make significant efforts to reduce mortality and economic losses caused by disasters. Also, with the emerging evidence of the increasing intensity and frequency of extreme weather events due to the changing climate, the pressures on the limited current capacities at the state level would be further stretched. Therefore, it is imperative at the current juncture to strengthen governance structures with a focus on enhancing individual, institutional and systemic capacities for managing disasters at the state level. Such strengthening of capacities can be aided by strengthening the catalytic role of the national level structures at the Ministry of Home Affairs (MHA) and the National Disaster Management Authority (NDMA).

Restructuring of the Disaster Management sector by the MHA and the NDMA

Over the past few years, the Ministry of Home Affairs (MHA) and the National Disaster Management Authority (NDMA) have been leading the process of revamping the practice and governance of the Disaster Management system in the country. The outbreak of the COVID-19 pandemic during this phase has also driven home the importance and criticality of ensuring that India is better prepared to tackle future disasters. Just as it ravaged other countries, the COVID-19 pandemic caused widespread death and destruction in India too. The impact of the pandemic on the livelihoods, social sectors and mental health of millions has further driven home the need to be better prepared and mitigated the risks posed by disasters. The disproportionate burden of the pandemic on the economically weaker and marginalized sections of society highlighted the need to push for long term Recovery solutions.

At the same time, India is also a signatory to several international conventions, the most relevant amongst them being, the Sendai Framework and the United Nations Framework Convention on Climate Change. As a responsible signatory party, significant human resources and capacities have to be allocated to meeting the additional demands of reporting, negotiations and engagement. These demands further stress the existing capacities of the institutional structures at the national level, especially at the MHA and NDMA.

The following are the **key initiatives** that have been led and championed by the MHA and the NDMA over the past few years:

- **The Fifteenth Finance Commission Recommendations**
  The XV Finance Commission (XV FC) recommendations, which were approved by the Parliament of India, has called for a paradigm shift in disaster risk financing in India. The XV FC has recommended setting up the National Disaster Risk Management Fund (NDRMF) and

the State Disaster Risk Management Fund (SDRMF). This is as per the provisions of the Disaster Management Act, 2005. Within both these funds, there will be two funding windows—the National and State Disaster Response Fund (NDRF and SDRF), and the National and State Disaster Mitigation Fund (NDMF and SDMF). The total allocation for NDRMF is divided between NDRF and NDMF in 80:20 ratio. Similarly, the SDRMF is divided. Within the NDRF and SDRF, there would be three sub-allocations: Response and Relief (40 percent), Recovery and Reconstruction (30 percent), and Preparedness and Capacity-building (10 percent). The allocations for the five-year period beginning from 2021 are to the tune of INR 228,000 Crores. The allocation of resources for the states of India under the SDRMF has also taken into consideration the risk profile of the states. These recommendations are far-reaching. For the first time, funding for disaster management is allocated and ear marked for each state against the four funding windows of Response, Preparedness, Mitigation and Recovery. While these recommendations are expected to streamline and strengthen disaster risk management in the country,

- Review and proposed amendment of the Disaster Management Act 2005
  The Disaster Management Act of 2005 is in the process of being amended. The 2005 DM Act has been the guiding force for the current institutional arrangement of disaster management in India. The DM Act called for the establishment of the National and State Disaster Management Authorities. The SDMAs, since then have come a long way in coordinating and leading the state level response to disasters. However, the track record on this has been uneven. While many states have done relatively well in preventing and mitigating disasters (as seen by the falling disaster mortality data), the scope for improving and professionalizing the SDMAs is substantial. The COVID-19 pandemic was also a wakeup call to update the provisions of the Act considering the changing profile and frequencies of disasters. The amended Act is expected to revamp the institutional structuring of the NDMA and the SDMA. The Act is expected to also make references to the Funding Windows created by the XV FC.

- NDMA's Development of major National Level Programmes
  In order to achieve the stated goals of risk mitigation by leveraging the XV FC resources, the NDMA has been developing hazard specific risk mitigation initiatives. The NDMA is currently developing a National Lightening Risk Mitigation Programme. Under this initiative, the NDMA will work with states to improve early warning systems, promote citizen engagement for mitigation, improve communication campaigns and establish a dedicated centre of excellence for lightning risk mitigation. The expected outlay of the programme is expected to be to the tune of INR 750 crores in the first phase. On similar lines, the NDMA is also developing national programmes on Landslide and Seismic Hazard mitigation and Urban Floods. These programmes are expected to support the hazard prone states through interventions that mitigate the risk and build local capacities to plan and respond to the hazards. Once these programmes are launched, the NDMA will hand-hold the states during the implementation and offer back-stopping support as and when required. The fund flow from the National to state governments is expected to be driven by the Guidelines of the programme and strong implementation capacities at the state level.

- Thematic Engagement by the NDMA
  Since 2020, the responsibilities and roles assumed by the NDMA have been growing. The NDMA is now the key institution within the Government of India that is leading the discussions around Loss and Damage as defined by the UN Framework Convention on Climate Change (UNFCCC). This calls for robust data collection protocols and analysis of climate and hazard datasets to strengthen India's case in the global negotiations. The work

around Loss and Damage is also closely linked to the NDMA's efforts in mainstreaming the Post Disaster Needs Assessment methodology after every disaster. With climate change exacerbating the frequency and destructiveness of disasters, the NDMA is also in the process of setting up a Climate Risk Management Cell. The cell is expected to be composed of technical experts, climate modellers and GIS specialists who can contribute to enhancing NDMA's profile in climate risk modelling. The National Hazard Risk and Vulnerability analysis commissioned by NDMA is a step in this direction indicating NDMA's intent in improving its climate analytical capabilities.

- Mainstreaming Recovery in India
  Under the XV FC, it is imperative for state governments to conduct a PDNA in the aftermath of every disaster. The National Institute of Disaster Management (NIDM) has brought out the national guidelines on the PDNA in 2019. With support from the UN agencies, the NIDM has also begun training a cadre of master trainers on the PDNA methodology. The PDNA, once carried out after every disaster, will be a systemic compendium of damage and losses incurred by the state due to the disaster. The PDNA will also become the principal basis for the state governments to plan and chalk out long term Recovery programmes.

- Recovery is a nascent field of practice in India. The practice so far has been that large Recovery programmes have usually been launched only after major disasters. These have also been with assistance from the World Bank and other multilateral agencies. However, the allocation of close to INR 60,000 crores for Recovery and Reconstruction by the XV FC has calls for dedicated capacities to be built both and the central and state level. In this backdrop, the NDMA Guidelines on Recovery and Reconstruction has called for the setting up of a National Recovery Resource Centre (NRRC). The NRRC is expected to be a vehicle to support states during a disaster in assessments and also in the planning of long-term recovery interventions.

- Engagement with the Ministries of the Government of India
  As per the DM Act of 2005, the NDMA is expected to lay down guidelines for the various ministries of the Government of India to develop action plans for preventing and mitigating the risk from disasters. The final plans submitted by the ministries are also to be vetted by the NDMA. In this spirit, the NDMA is now proactively engaging with different ministries to coordinate and ensure that disaster risk mitigation measures are incorporated in the programme design of the various schemes. The NDMA is coordinating with the Ministry of Education on School Safety Initiatives. NDMA is working with the Ministry of Panchayati Raj on mainstreaming Village Disaster Management Plans. The rapid pace of urbanization across India and the thrust given to urban planning and urban initiatives by the Government of India, calls for a closer engagement with the Ministry of Housing and Urban Affairs. The work around droughts and water scarcity can be strengthened in the country only with the involvement of the Ministry of Jal Shakti. For all these engagements, dedicated capacities at the NDMA will have to be nurtured and built upon.

In light of the new financing mechanisms introduced in the country, the State Disaster Management Authorities (SDMAs) require technical assistance across multiple domains such as Recovery Planning, Mainstreaming Disaster Risk Reduction, development of Disaster Risk Mitigation Programmes through Detailed Project Reports and building capacities of the stakeholders. This programme aims to support the the Government of Maharashtra in addressing this developmental challenge.

II. STRATEGY (1/2 PAGE - 3 PAGES RECOMMENDED)

In order to support India's efforts in increasing its resilience to extreme events, UNDP proposes to implement **a partnership programme with the State Disaster Management Authority of the Government of Maharashtra**

III. RESULTS AND PARTNERSHIPS (1.5 - 5 PAGES RECOMMENDED)

Expected Results

The goal of UNDP India's support to strengthening disaster risk management in the country is: ***The resilience of India towards hydro-meteorological and seismic risks are strengthened under the new financing model proposed by the XV Finance Commission.***

The key outputs and activities under the programme are:

Output 1: Resource mobilisation by the states under the XV Finance Commission allocations enhanced for implementation of Disaster Risk Management Programmes

- Activity 1.1: Mainstreaming disaster risk management
- Activity 1.2: Strengthening urban resilience
- Activity 1.3: Provide technical support to the state governments for developing Detailed Project Reports to access funding under the XV Finance Commission
- Activity 1.4: Strengthen the disaster risk management capacity of the Brihanmumbai Municipal Corporation (BMC)

Activity 1.1: Mainstreaming Disaster Risk Management

Under this activity, UNDP will support the Government of Maharashtra in developing Disaster Management Plans that are gender-responsive and disability-inclusive. Disaster management plans play a crucial role in reducing risks, enhancing preparedness, coordinating response efforts, and facilitating recovery. They provide a structured approach to addressing the challenges posed by disasters, thereby safeguarding lives, minimizing damages, and building resilience in communities and societies. These plans are critical as they contribute to:

- Preparedness: Disaster management plans help in preparedness by outlining proactive measures to minimize the impact of potential disasters. These plans identify potential risks and vulnerabilities including those specific to women, children, people with disabilities, and the poor, establish appropriate response mechanisms, and allocate necessary resources in advance. Preparedness activities include creating evacuation routes, evacuation centres with adequate provisions for the safety of women and children, establishing communication protocols, stockpiling essential supplies with due consideration of the needs of pregnant women, lactating mothers, infants and children, and conducting drills and simulations.
- Risk Reduction: Disaster management plans focus on risk reduction strategies aimed at minimizing the occurrence and severity of disasters. These plans may involve implementing structural measures like building codes and regulations, retrofitting vulnerable structures, and improving infrastructure resilience. Non-structural measures such as public awareness campaigns in local languages, education, and early warning systems also contribute to risk reduction.
- Response Coordination: Disaster management plans provide a framework for coordinating emergency response efforts among various stakeholders, including government agencies, emergency services, NGOs, and community organizations. These plans outline roles,

responsibilities, and coordination mechanisms to ensure a swift and effective response during and after a disaster. Coordinated responses help in saving lives, providing immediate assistance to affected populations, collecting disaggregated data and restoring critical services.

- Resource Allocation: By having a disaster management plan in place, authorities can efficiently allocate resources during emergency situations. These plans specify the availability and allocation of resources such as personnel, equipment, medical supplies, and transportation. Effective resource management ensures that necessary support is provided to affected areas promptly, reducing the impact of the disaster and facilitating recovery.
- Communication and Information Sharing: Disaster management plans emphasize the importance of communication and information sharing during crises in formats and languages that will reach to all affected communities. They establish protocols for disseminating timely and accurate information to the public ensuring that it also reaches those marginalized, emergency responders, and other stakeholders. Clear communication helps in coordinating relief efforts, providing guidance to affected individuals, and addressing concerns and rumors, ultimately minimizing confusion and panic.

Additionally, UNDP will also support the state government in implementing a community based disaster risk reduction programme along with a school safety programme at the state level.

Activity 1.2: Strengthening Urban Resilience

Under this activity, UNDP will conduct risk assessment studies at the city level to support the government in making risk-informed decisions. In addition, various training programmes will also be conducted to strengthen the resilience capacities of the state. The training and capacity-building activities would target the key government functionaries, academic institutions, civil society organizations, community representatives and other critical stakeholders to undertake response, preparedness, and mitigation activities. The strategy would be to create a cadre of trainers and ensure adequate training modules to develop the skills and knowledge of the trainees to perform the activities leading to the resilience of communities and institutions. The activities would be carried out based on training needs assessments and more importantly based on the existing capacities and facilities. All the training modules will have gender mainstreamed as a key thematic focus. The training reports will collect gender-disaggregated data from the participants so that training evaluations can be carried out accordingly. Under this component, the project would focus on the development of Standardized Training Modules, Training of Trainers, Training of Government functionaries at State, District and sub-district levels, develop and deliver the Comprehensive Disaster Management Course.

Activity 1.3: Provide technical support to the state governments for developing Detailed Project Reports to access funding under the XV Finance Commission:

UNDP will create a project management unit at the SDMA to enhance the technical capacities of the state. We will also hire and deploy short-term technical experts for the development of detailed project reports for the State government. This will involve coordinating the entire process of proposal development, stakeholder consultations, development of Monitoring and Evaluation frameworks etc. These DPRs will be the foundation for the states to access the allocated resources by the XV Finance Commission across the funding windows of Mitigation, Preparedness and Recovery Planning. UNDP will also support the state in conducting Post Disaster Needs Assessments (PDNA) which is now mandatory for states in the aftermath of major disasters. The support extended to the states will be towards standardizing the data collection templates, support in the digitization of the methodology, support in sector-specific assessments, incorporation of gender and disability-specific analysis etc.

Activity 1.4: Strengthen the disaster risk management capacity of the Brihanmumbai Municipal Corporation (BMC)

UNDP will support in conducting a multi hazard risk and vulnerability analysis for the city of Mumbai. The main objective of the proposed multi-hazard risk and vulnerability assessment is to assess the extent of risk and the vulnerabilities of Mumbai and help the city administration in its response as well as development planning. The outcome of the study is expected to help identify a set of structural and non-structural steps that City Administration and other stakeholders can take to mitigate the risks posed by various hazards. The scope of the exercise also includes the projected climate change scenarios (short term, medium term and long term) taking into account the past trends so that the recommended solutions and actions could be linked with the Disaster Management policy, sectoral planning and implementation of multi-hazard risk mitigation initiatives at community, ward and city levels. The recommendations from the HRVA will not only support the administration in taking risk informed decisions but will also help in enhancing the community resilience through proper planning and mitigation strategies. The HRVA will also act as tool to align and re-establish the roles and responsibilities of various departments during an emergency situation and especially for the departments like Civil Defence, Revenue and other which form the part of emergency support function for the state.

Resources Required to Achieve the Expected Results

The total financial resources required for the programme over five years 2023-26 will be USD 1.4 Million.

Partnerships

Building solid partnerships with the key stakeholders is a key component of the programme. UNDP will build the following partnerships under the programe:

- Government: UNDP has been working very closely with the NDMA and the State Disaster Management Authorities for decades on ensuring disaster risk resilience. UNDP will work with the key departments at the state level and also with the line ministries at the national level towards achievement of project outcomes.
- Private Sector: The Private Sector is a key partner in the disaster risk management arena. Activities such as Risk Assessments, Risk Mitigation, Early Warning mechanism and damage and loss assessments require expertise of the private sector.
- Academia: Over the past few years, Disaster-Management and Disaster Risk Reduction have emerged as a subject of expertise with Master Programmes offered by most state-level universities. UNDP will work with academic institutions in activities such as Trainings, Capacity Building exercises, Risk Assessments, Disaster Risk Mitigation etc.
- Multi/Bilateral Agencies and Foundations : Disaster Risk Management is a topic that is funded by multiple multilateral and bilateral agencies. UNDP will engage with the key partners working in this space to leverage their programmes and converge towards achieving the national and state priorities.
- NGOs, CSOs and Community-Based Organizations : Disaster Management is ideally an activity that should be intensely implemented at the local level. The engagement of communities is thus vital for any successful programme. In this regard, UNDP will work with the community-based organizations and NGOs at the grassroots level including Women SHGs.

- **Women and Youth Groups:** A special focus on the engagement of women and youth groups for responding to crises would be undertaken by the project. This would be critical considering the demographic profile of India. UNDP's prior experience of working in this sector will be leveraged under this programme

Risks and Assumptions

Risk	Probability	Risk Mitigation Strategy
There is a significantly slow start to on-the-ground project activities	Low	As soon as the programme is finalized, UNDP will finalize the Annual Work Plan for the approval of SDMA The recruitment of the technical resource persons will commence from Week 2. UNDP will establish strong Project Management Units in the state and cities where the programme is rolled out. These PMUs will act as an interface between UNDP and the SDMA to ensure timely implementation of the programme.
There is a lack of necessary leadership and slow decision making in the project's implementation at the State Level	Low	The project will be led by the Pricncipal Secretary (SDMA) or officer appointed as the Nodal Persons. The PMU will be embedded in the SDMA to ensure seamless coordination and quick response time.
Identification of Hazard specific technical experts for the various states is slow	Low	UNDP has been working on Climate Change Adaptation and Disaster Risk Reduction for decades. UNDP India has a network of a rich pool of technical experts and a well-oiled mechanism of hiring expert consultants and technical agencies on short notice.

Stakeholder Engagement

The key stakeholders involved in this programme will be the Government at the state level. In addition, the other stakeholders will be the private sector, the community based organizations and the other multilateral and bilateral agencies.
UNDP India's collaboration with the NDMA is at the highest policy making levels of the Government of India. UNDP will participate in all the stakeholder discussions and ensure that the proposed interventions are adjusted as per the expectations and feedback of counterparts. The interventions at the field level will be monitored by UNDP through periodic field visits. The interventions of UNDP will be aligned with the Government policies, schemes and programmes to ensure there is no conflict and mismanagement of community expectations. Meaningful participation of women ,as well as men in the communities, will be ensured to integrate their views.

South-South and Triangular Cooperation (SSC/TrC)

Working closely with the UNDP Bangkok Regional Hub, this project will leverage good practices and lessons learned from other countries in the region. Knowledge sharing and information exchange will be further enhanced through regional workshops and consultations that are regularly organised by UNDP BRH. For instance, NDMA India participated at the Asia Disaster Recovery Workshop in September 2022 and interacted with government stakeholders from 10 Asia countries. Knowledge sharing will be facilitated both face to face as well as through webinars. The participation of leadership team from the UNDP headquarters in the various G20 Working Group meetings have contributed to knowledge sharing and international perspectives being shared with the NDMA and other pariticipating countres. The programme will organize regular consultations and knowledge sharing events in the form of workshops and seminars to disseminate and gain perspectives from the stakeholders involved. The experiences of the programme will be shared with the NDMA to support them in their participation in international events such as the Conference of the Parties (COP) organized by United Nations Framework Convention on Climate Change (UNFCCC), Loss and Damage consultations etc.

Digital Solutions[3]

UNDP will be working with the partner state governments in ensuring that the knowledge products generated are interactive and hosted and integrated with the state/district online portals.
All the city level Hazard Risk and Vulnerability Assessments (HRVAs) will be uploaded on an online platform and integrated with the decision making institutions.

Knowledge

The programme will generate a large quantity of reports and knowledge products. Most of these are expected to be policy documents that can be the basis for further planning. For instance, risk assessments, become the basis for the administrations to allocate resources for planning, capacity building and identification of mitigation measures. The DPRs developed under this programme can become model templates to be referred to by other partner states. UNDP will organize regular stakeholder consulations and workshops at the national and state level.

Sustainability and Scaling Up

UNDP will support the SDMA for a period of three years. During this period, UNDP will directly implement planned and approved activities. The hiring of all the UNDP personnel to be deployed at the SDMAs and cities will be done in close coordination with the government partners. This is done to ensure that the experts have a high probability of being absorbed by the respective agencies once the UNDP engagement concludes. This process will also nurture a pool of talent that can contribute to the Disaster Risk Management sector in India for the future. The PMU will also ensure that all the documentation of the programme is entrusted with the SDMAs and contributes towards the institutional memory.

[3] *Please see the Guideline "Embedding Digital in Project Design".*

IV. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)

Cost Efficiency and Effectiveness

The programme will follow the following pathways/approaches:

- Use the theory of change analysis to explore different options to achieve maximum results with available resources
- Use concurrent monitoring and evaluation strategy to ensure effective delivery
- A robust portfolio management approach that will ensure cost effectiveness in implementation of interventions at the local level.
- Joint programming and fundraising with strategic partners like the private sector will enable cost sharing and effectiveness in implementation.:

Project Management

The programme will follow a hub-and spoke model with a Project Management Unit (PMU) set up in the New Delhi office of UNDP and operations in the state of Maharashtra

The programme will be directly implemented by UNDP in cooperation with the SDMA. UNDP will further partner with local institutions (such as NGOs, private sector agencies, training institutes etc) to implement the programme's activities. UNDP will be responsible for the effective use of use of resources and the achievement of outcomes and outputs as set forth in this document. UNDP will be responsible for all financial management, reporting, procurement, and recruitment services. UNDP recruitment and procurement rules will apply. A Programme Manager will be appointed for the implementation of the programme, who will be supported by a team of technical and operation experts at the national and state levels.

Financial flow and financial management:

The project will be implemented by UNDP under Direct Implementation modality. In this case, UNDP assumes the responsibility for mobilizing and effectively applying the required inputs to reach the expected outputs. UNDP assumes overall management responsibility and accountability for project implementation. Accordingly, UNDP would follow all policies and procedures established for its own operations and will be responsible for all financial management, reporting, procurement, and recruitment services.

UNDP may identify Responsible Parties to carry out activities within a Direct Implementation Modality (DIM) project. A Responsible Party is defined as an entity that has been selected to act on behalf of the UNDP based on a written agreement or contract to purchase goods or provide services using the project budget. All Responsible Parties are directly accountable to UNDP in accordance with the terms of their agreement or contract with UNDP. The Responsible Party may follow its own procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of the responsible party, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, then UNDP rules and regulations shall apply.

In accordance with the decisions, policies and procedures of UNDP's Executive Board reflected in its Policy on Cost Recovery from Other Resources, the Contribution shall be subject to cost recovery for indirect costs incurred by UNDP structures in providing General Management Support services.

The aggregate of the amounts budgeted for the programme, together with the estimated costs of reimbursement of related support services, shall not exceed the total resources available to the

programme under this Agreement as well as funds which may be available to the programme for programme costs and for support costs under other sources of financing. Where programmes/initiatives are funded under the consultancy model of the Government financing, UNDP will support implementation of the project under the guidance and supervision of the concerned Department and as per the parameters and budgets laid down in the agreement.
Under Government financing component, the UNDP Country Office at New Delhi, through its Programme, Human Resource and Finance teams will provide transactional support, oversight, development effectiveness and quality assurance of the services being provided and will charge minimum support services fees of 8% on the gross expenditures against funds received to cover such direct and indirect support service costs of the project.

Project Audit: The DIM project will be audited as per UNDP rules and regulations.

Funding from Donors/Funding agencies: The donor funds shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules, policies, and procedures of UNDP. Should the annual Audit Report of the UN Board of Auditors to its governing body contain observations relevant to the donor funds, such information shall be made available to the donor by the country office.

Funding from the Government : Services will be provided by the UNDP as per the approved budget and Terms and Conditions laid down in the Agreement against advance provided by the Government. The contribution shall be subject exclusively to internal and external auditing procedures provided for in the financial regulations, rules, policies, and procedures of UNDP. Activities will be undertaken by UNDP as per
the approved budget. The audit at State Govt. level for the activities carried out by the Government will happen at the Government level as per the rules of the Government. No external audit by the Govt. department or its auditors shall take place on the books of the UNDP and/or the project activities carried out by UNDP.

Project Closure: The project would be closed as per UNDP Rules and Regulations.

V. RESULTS FRAMEWORK[4]

Intended Outcome as stated in the UNSDCF/Country [or Regional] Programme Results and Resource Framework: UNSDCF Outcome 5: By 2027, Government of India, state governments, communities, private sector and other actors take informed actions to address climate change, pollution, biodiversity loss and restore ecological integrity through improved knowledge, capacity and mainstreaming of relevant actions across sectoral programmes, policies and plans.
Outcome indicators as stated in the Country Programme [or Regional] Results and Resources Framework, including baseline and targets: CPD Outcome 3: Indicator: Reduction in Emission intensity of the GDP Baseline: 2005 levels Target (2030): Reduced by 45% by 2030 below 2005 levels Indicator: Restoration of degraded land (hectares) Baseline (2015): 9 .8 million hectares restored Target (2030): 26 million hectares Indicator: Reduction in plastic pollution Baseline: TBD Target (2027): 100% compliance with regulation on single-use plastic product
Applicable Output(s) from the UNDP Strategic Plan: SP Output 3.1: Institutional systems to manage multi-dimensional risks and shocks strengthened at regional, national and sub-national levels.

[4] UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

Project title and Quantum Project Number: TBD											
EXPECTED OUTPUTS	**OUTPUT INDICATORS[5]**	**DATA SOURCE**	**BASELINE**		**TARGETS (by frequency of data collection)**						**DATA COLLECTION METHODS & RISKS**
			Value	**Year**	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**	**FINAL**	
Output 1: Resource mobilisation by the states under the XV Finance Commission allocations enhanced for implementation of Disaster Risk Management Programmes	1.1 *Number of knowledge products on critical infrastructure commissioned by UNDP which are gender inclusive*	*Reports*	*0*	*2023*	*3*	*3*	*4*			*10*	
	1.2 Capacities of XX stakeholders/beneficiaries enhanced on disaster risk reduction (50% women; 50% men)	*Reports*	*0*	*2023*	*100*	*200*	*200*			*500*	
	1.3 *Number of DPRs developed by UNDP and SDMAs for resource mobilisation under the XV Finance Commission*	*Training Reports*	*0*	*2023*		*1*	*1*			*2*	*Training reports*

[5] It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

EXPECTED OUTPUTS	OUTPUT INDICATORS[5]	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year 5	FINAL	
	allocations on Risk										

VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: *[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Half yearly	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Half Yearly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		USD 500
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	Annually	Relevant lessons are captured by the project team and used to inform management decisions.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		USD 500
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or	Annually, and at the end of the project (final report)			

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
	review reports prepared over the period.				
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Annual	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

Evaluation Plan [6]

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSDCF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Terminal Evaluation	NA	#3 Resilience built to respond to systemic uncertainty and risk	Output 3.1. Institutional and policy frameworks developed and strengthened to address climate change, enhance green recovery, prevent environmental degradation and promote conservation and	2026	SDMA, City Administration, NDMA	$10,000

[6] Optional, if needed

			circular economy			

VII. MULTI-YEAR WORK PLAN [7][8]

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

VIII. WORK PLAN[9] [10]

EXPECTED OUTPUTS *And indicators, baselines, and annual targets*	PLANNED ACTIVITIES *List activity and associated actions*	TIMEFRAME						PLANNED BUDGET		
		2023	2024	2025	2026	2027	2028	Funding Source	Budget Description	Amount

[7] Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

[8] Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

[9] Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

[10] Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

Output 1: Resources mobilisation by the states under the XV Finance Commission allocations enhanced for implementation of Disaster Risk Management Programmes	Activity 1.1 1.1: Mainstreaming disaster risk management	30,00,000	30,00,000	19,75,000						79,75,000
	Activity 1.2: Strengthening urban resilience	1,00,00,000	1,50,00,000	58,75,000						3,08,75,000
	Activity 1.3: Provide technical support to the state governments for developing Detailed Project Reports to access funding under the XV Finance Commission	66,40,000	66,40,000	66,40,000						1,99,20,000
	Activity 1.4: Strengthen the disaster risk management capacity of the Brihanmumbai Municipal Corporation (BMC)	2,50,00,000	3,05,16,000	NIL						5,55,16,000
Sub Total									**TOTAL:**	**11,42,86,000**
GMS (8%)										**91,42,800**
Total										**12,34,28,880**

IX. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will be executed under Direct Implementation Modality (DIM) with UNDP acting as the Implementing Partner. In addition to the internal UNDP funds, funding will be leveraged from the private sector, bilateral and multilateral agencies, international foundations and from the Government ministry/departments (as per agreed modality with GOI) for the project.

Implementing Partners (IP): The programme will be directly implemented by UNDP in cooperation with SDMA and participating State Disaster Management Authorities. UNDP will further partner with local institutions and the private sector to implement the project activities. UNDP will be responsible for the effective use of use of resources and the achievement of the programme's outcomes and outputs as set forth in the document. UNDP will be responsible for all financial management, reporting, procurement, and recruitment services. UNDP recruitment and procurement rules will apply.

Programme Steering Committee : A Programme Steering Committee will be set up for monitoring the overall progress and quality assurance of the project. The Programme Steering Committee (PSC) will review the effectiveness and efficiency of the programme and would provide strategic guidance to ensure the programme's objectives are achieved in a timely manner. The PSC would be chaired by the SDMA Focal Point and co-chaired by the Deputy Resident Representative, UNDP India. The PSC will meet annually and consist of representatives from: UNDP, donor government partners, relevant stakeholders etc. State government and private sector representatives and subject matter experts would be co-opted as members of the steering committee, as agreed with the SDMA.

X. LEGAL CONTEXT

*[NOTE: Please choose **one** of the following options, as applicable. Delete all other options from the document]*

Option b. Where the country has NOT signed the Standard Basic Assistance Agreement (SBAA)

The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as "the Project Document".

This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

XI. RISK MANAGEMENT

*[NOTE: Please choose **one** of the following options that corresponds to the implementation modality of the Project. Delete all other options.]*

Option b. UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][11] [UNDP funds received pursuant to the Project Document][12] are used to provide support to individuals or entities associated with terrorism , that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via https://www.un.org/securitycouncil/content/un-sc-consolidated-list. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

[11] To be used where UNDP is the Implementing Partner

[12] To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:

a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
   i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
   ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

c. Each responsible party, subcontractor and sub-recipient (each a "sub-party" and together "sub-parties") acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project

implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities), and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:

(i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;

(ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;

(iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;

(iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and

(v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in

contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.

g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption, anti-fraud and anti money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.

h. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

i. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

j. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud, corruption other financial irregularities with due confidentiality.

   Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

k. *Choose one of the three following options:*

Option 1: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud corruption, other financial irregularities or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Option 2: Each responsible party, subcontractor or sub-recipient agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud corruption or other financial irregularities or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Option 3: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

l. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received,

or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

m. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

n. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.