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PROJECT DOCUMENT
India

Project Title: Institutional Support to National and State Disaster Management Authorities for Disaster Risk Management
Quantum Project Number: TBD
Implementing Partner: UNDP
Start Date: 20 November 2024 **End Date:** 19 November 2029 **PAC Meeting date:** 19 June 2024

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 years beginning from 2021 are to the tune of INR 228,000 crores ($27.7 billion). The allocation of resources for the states of India under the State Disaster Risk Management Fund has also considered the states' risk profile.

To support the states in accessing financial resources, the National Disaster Management Authority (NDMA) is developing a series of national-level hazard risk mitigation programmes. UNDP intends to support the NDMA in coordinating the national risk management programme and strengthening the mechanisms for the Loss and Damage due to disasters.

To access the resources allocated by the Government of India, 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 the NDMA and support 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 detailed project reports (DPRs)s, risk assessments, post-disaster damage and loss assessments etc.

Contributing Outcome (UNSDCF, CPD, RPD):

CPD Outcome 3: By 2027, the 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.

Indicative Output(s) with gender marker[1]:

Total resources required:		USD 10,000,000
Total resources allocated:		
	UNDP Funding Window:	USD 550,000
	Co-finance (UNDP JSB and IRFF Facility)	**USD 675,000**
	Government:	-

[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)

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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 [SP IRRF: 3.1.1] Baseline (2022): 7 Target (2027): 14 GEN 2	**In-Kind:**	
	Unfunded:	USD 9,450,000

Agreed by (signatures)[2]:

UNDP
DocuSigned by: Angela Lusigi 44F84A6E2B524A4...
Name: Angela Lusigi Designation: Resident Representative

[2] Note: Adjust signatures as needed

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

I. DEVELOPMENT CHALLENGE

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.

Disasters can have a disproportionate impact on vulnerable populations, including women, children, and people with disabilities. Disasters can disrupt social structures and exacerbate existing gender inequalities, leading to an increased risk of gender-based violence. Women's access to reproductive health services, including prenatal and postnatal care, may be disrupted during and after disasters, posing risks to their health and the health of their children. Disasters can disrupt infrastructure and transportation systems, making it difficult for people with disabilities to access essential services, evacuation routes, or emergency shelters. Pre-existing support systems and accommodations may be disrupted during disasters, leaving people with disabilities without the assistance and resources they require. Hence, efforts to strengthen disaster risk management systems need to incorporate the concerns of vulnerable groups.

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 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 to mitigate the risks posed by disasters. The disproportionate burden of the pandemic on the economically weaker and marginalized sections of society especially women and children 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. Parties to the UNFCCC have recognized the importance of involving women and men equally in UNFCCC processes and in the development and implementation of national climate policies that are gender-responsive by establishing a dedicated agenda item under the Convention addressing issues of gender and climate change and by including overarching text in the Paris Agreement. These demands further stress the existing capacities of the institutional structures at the national level, especially at the MHA and NDMA.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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, of 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 an 80:20 ratio. Similarly, the SDRMF is divided. Within the NDRF and SDRF, there would be three sub-allocations: Response and Relief (40 per cent), Recovery and Reconstruction (30 per cent), and Preparedness and Capacity-building (10 per cent). The allocations for the five years 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 considered the states' risk profile. These recommendations are far-reaching. 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.

- **Review and proposed amendment of the Disaster Management Act 2005**
  The Disaster Management (DM) 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 wake-up 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**
  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 ($91 million) in the first phase. Along 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

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

driven by the Guidelines of the programme but it requires strong capacities at the state level for implementation.

- **Thematic Engagement by the NDMA**
  Since 2020, the responsibilities and roles assumed by the NDMA have been expanding owing to the priorities of the Government of India. 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 (PDNA) 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, state governments must 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 called for dedicated capacities to be built both and the central and state levels. Against this backdrop, the NDMA Guidelines on Recovery and Reconstruction have 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 which focus on vulnerable communities and are gender-responsive.

- **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

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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 December 2022, India took over the rotating presidency of the G20. The G20 presidency is being seen as an opportunity for India to shape the global dialogue on numerous issues ranging from sustainable finance, climate change, environment degradation, clean energy, infrastructure resilience, development, digital finance etc. As part of its presidency, India successfully managed to create a new working group on Disaster Risk Reduction. The NDMA is the nodal agency responsible for implementing the work plan of this working group. UNDP has been designated as a key technical partner to the GoI on the G20 initiative.

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 National and State authorities in addressing this developmental challenge.

II. STRATEGY

To support India's efforts in increasing its resilience to extreme events, UNDP proposes to implement **a comprehensive partnership programme with the National Disaster Management Authority and the State Governments of India through their nodal disaster management departments/authorities**.

At the **national level**, UNDP's support to the NDMA will be focussed primarily on:

- Technical support towards the implementation of the national-level hazard mitigation programmes
- Development of a Loss and Damage Strategy and strengthening the system of Disaster Statistics.

UNDP will provide technical support to the National Disaster Management Authority in the domains of Risk Mitigation, Recovery and Capacity Building. These themes have been aligned to the funding windows proposed by the XV Finance Commission. The technical consultations will involve a diverse range of Line Ministries (such as the Ministry of Women and Child Development) to ensure accountability and a comprehensive approach to inclusive disaster risk management.

The NDMA is in the process of developing technical guidelines for the Funding windows of Mitigation and Recovery & Reconstruction as per the XV Finance Commission windows. In addition, the NDMA is now in the process of rolling out national-level programmes around lightning, Landslides, Earthquakes, Urban Floods, Forest Fires, Riverine Erosion etc. These programmes have been developed by ensuring that the programmes are anchored in the lowest levels of the government (Village and District) to ensure better planning of community-centred approaches. The focus of these initiatives is to mitigate the impact of recurring disasters on the vulnerable and the marginalized. For such a mammoth exercise, the NDMA would require technical assistance for short and medium-term engagement. UNDP shall offer the NDMA this flexibility and leverage its ability to attract the best technical experts from the markets through competitive processes. UNDP will support the building of NDMA's capacity to implement gender-sensitive and inclusive approaches to disaster management.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

Disaster Risk Management should ideally be carried out at the Local level in any country. In India, the ideal level of empowerment must be at the district level. To understand the vulnerabilities faced by the communities to the vagaries of climate change in high-risk geographies, UNDP has offered the NDMA support in developing a methodology for estimating Loss and Damage as per the UNFCCC mechanisms. As a first step towards this exercise, the legacy damage and loss data (sex-disaggregated wherever available) collected by the various departments across the states will be collated and integrated into the existing National Disaster Management Information System (NDMIS) of NDMA. Based on this, the analytical capabilities of the NDMIS will be further developed to support the NDMA in Policy planning.

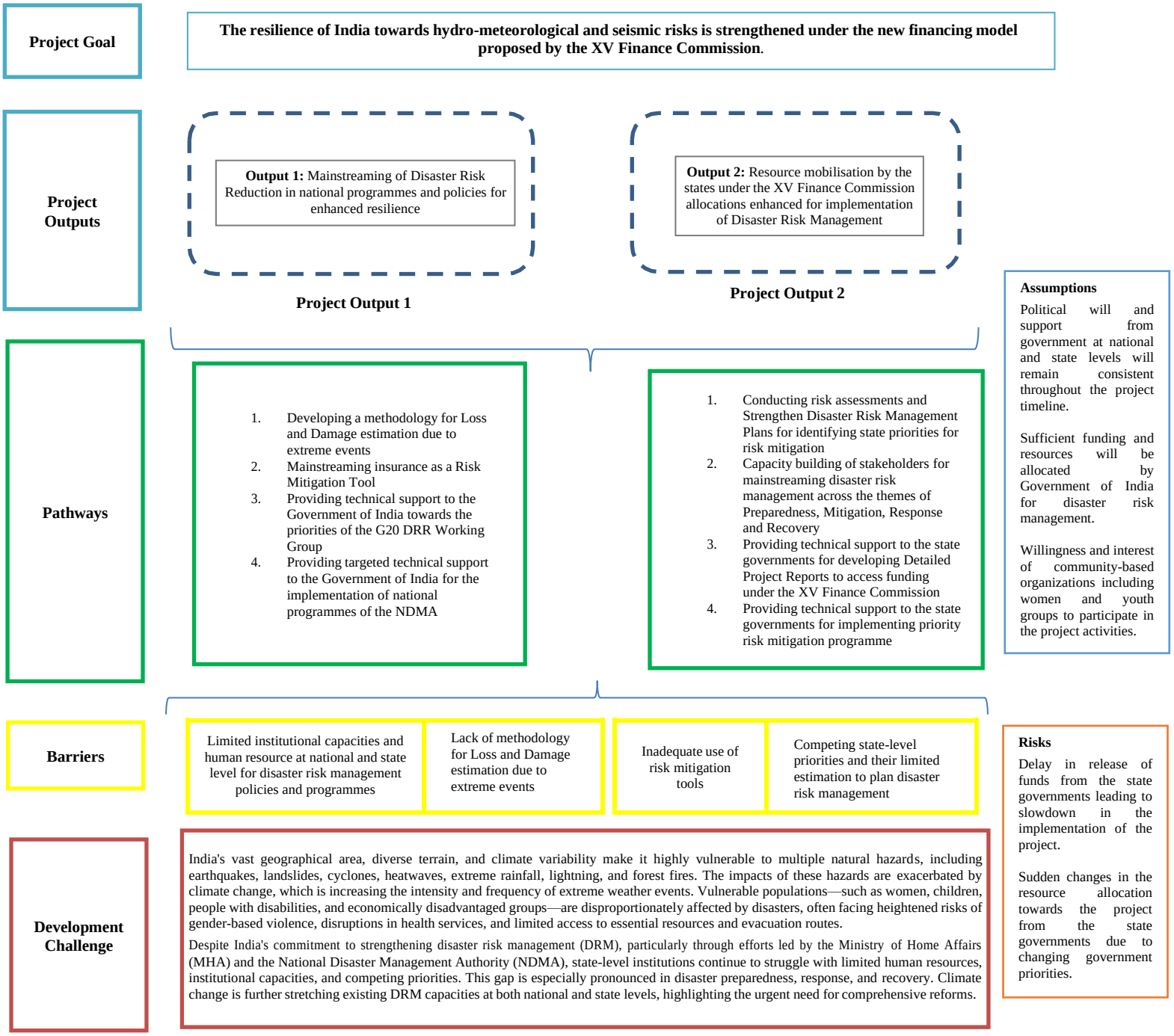
For the DRR Working Group, the NDMA has identified five priority areas in its 'Issues Note'. Of these, UNDP has offered to support the NDMA on the priority themes of increasing commitment towards making infrastructure systems disaster and climate resilient, and stronger national financial frameworks for disaster risk reduction. UNDP has been a key knowledge partner to the NDMA in the G20 DRR Working Groups and has already led side-events and developed position papers in coordination with the NDMA and other stakeholders. UNDP proposes that the DRR Working Group could address the need for principles and standards for resilient infrastructure to safeguard global infrastructure investments.

At the State level, UNDP will build partnership programmes that are aligned and geared towards supporting the States in leveraging funds under the XV Finance Commission recommendations. In this backdrop, UNDP has already entered into a formal partnership with the Government of Maharashtra. The Government of Uttarakhand has also approved a technical partnership programme with UNDP.

The visual representation of the theory of change is provided in Figure 1.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

Figure 1: Theory of Change



Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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

Expected Results

Goal: *The resilience of India towards hydro-meteorological and seismic risks is strengthened under the new financing model proposed by the XV Finance Commission.*

The key outputs and activities under the programme are:

- **Output 1: Mainstreaming of Disaster Risk Reduction in national programmes and policies for enhanced resilience**
    - Activity 1.1 Develop a methodology for Loss and Damage estimation due to extreme events.
    - Activity 1.2 Mainstream Insurance as a Disaster Risk Mitigation Tool
    - Activity 1.3 Provide technical support to the Government of India towards the priorities of the G20 Working Group on Disaster Risk Reduction
    - Activity 1.4 Provide targeted technical support to the Government of India for the implementation of national programmes of the NDMA.
- **Output 2: Resource mobilisation by the states under the XV Finance Commission allocations enhanced for implementation of Disaster Risk Management Programmes**
    - Activity 2.1: Conduct risk assessments and strengthen Disaster Risk Management Plans for identifying state priorities for risk mitigation
    - Activity 2.2: Build the capacities of stakeholders for mainstreaming disaster risk management across the themes of Preparedness, Mitigation, Response and Recovery
    - Activity 2.3: Provide technical support to the state governments for developing Detailed Project Reports to access funding under the XV Finance Commission
    - Activity 2.4: Provide technical support to the state governments for implementing priority risk mitigation programme

The details of each activity are as follows:

Output 1: Mainstreaming of Disaster Risk Reduction in national programmes and policies for enhanced resilience

Activity 1.1 Develop a methodology for Loss and Damage estimation due to extreme events - UNDP will organize consultations and enter into partnerships with research institutions, think tanks and community-based organizations for identifying the various components that would contribute towards the assessment of loss and damage. UNDP will work in close coordination with the NDMA in strengthening the National Disaster Management Information System. Modules incorporating Loss and Damage data (sex-disaggregated) will be developed and integrated. In consultation and coordination with the National Institute of Disaster Management, the programme will include stakeholder consultations, customized training programmes for all stakeholders such as state-level government functionaries, academic institutions, civil society organizations etc, development of data collection protocols which are inclusive of gender, disability and other cascading vulnerabilities, and identification of database experts to manage the national level database management system at the NDMA etc.

Activity 1.2 Mainstream Insurance as a Risk Mitigation Tool - The Insurance and Risk Finance Facility (IRRF) of UNDP has allocated resources to the UNDP India Country Office to support the mainstreaming of insurance in the disaster risk reduction space. These resources will then be utilized to commission technical studies on insurance penetration, identifying the scope for creating a national risk pool and providing technical support to the NDMA around this strategic intervention. This will help in mainstreaming Insurance as a Risk Mitigation tool. UNDP will also be supporting the NDMA in developing a national social protection programme around the risks posed by hazards.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

Activity 1.3 Provide technical support to the Government of India towards the priorities of the G20 DRR Working Group - The DRR Working Group under the G20 has identified five priority themes. UNDP has confirmed its support for the two priority themes of infrastructure resilience and financing for DRR. In the two recently concluded DRR Working Group meetings, UNDP has supported the NDMA in the organization of two side events on Infrastructure Resilience and Financing for DRR. UNDP is also developing a position paper on the Principles of Post Disaster Recovery and will be sharing the same with the NDMA during India's G20 presidency.

Activity 1.4 Provide targeted technical support to the Government of India for the implementation of national programmes of the NDMA - UNDP will support the NDMA with short-term technical experts with niche expertise as per NDMA's requirements. The expertise can be offered to support the NDMA in the roll out of the National Hazard Risk Mitigation programmes being developed around Lightning, Earthquakes, Landslides, Forest Fires, Urban Floods etc. UNDP will also offer technical support to the NDMA for crafting and finalizing national-level guidelines and supporting the roll-out of key priorities.

Output 2: Resource mobilisation by the states under the XV Finance Commission allocations enhanced for implementation of Disaster Risk Management Programmes

Activity 2.1: Conduct risk assessments and Strengthen Disaster Risk Management Plans for identifying state priorities for risk mitigation

Under this activity, UNDP will support the states in conducting Hazard Risk and Vulnerability assessments at the state/district/City level. In addition, UNDP will support the SDMA and the DDMA 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, and 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.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

- 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.

The plans can be either State-level, district-level, city-level or for the key departments of the state.

Activity 2.2: Build the capacities of stakeholders for mainstreaming disaster risk management across the themes of Preparedness, Mitigation, Response and Recovery - 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 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 the State, District and sub-district levels, develop and deliver the Comprehensive Disaster Management Course: (10 courses), and course on Cross-Cutting themes (Gender, Children, physically challenged, etc.)

Activity 2.3: Provide technical support to the state governments for developing Detailed Project Reports to access funding under the XV Finance Commission - UNDP will hire and deploy short-term technical experts for the development of detailed project reports for the State governments. 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 states 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 2.4: Provide technical support to the state governments for implementing priority risk mitigation programme - Critical infrastructure refers to the systems, assets, and networks that are essential for the functioning of a society and economy. These infrastructures are vital for maintaining public safety, ensuring the delivery of essential services, supporting economic activities, and enabling the overall well-being of a nation. Examples of critical infrastructure include transportation networks, power grids, water and sanitation systems, telecommunications, healthcare facilities, schools, financial institutions, and emergency services.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

Based on the requirements of the states, UNDP will customise critical infrastructure programmes that would ensure the resilience of these systems to extreme events. For example, Hospital Safety Programmes that assess risk to infrastructure, improve capacities of stakeholders to manage risk and propose structural measures to minimize risk will be implemented. Similarly, UNDP can support interventions in sectors such as Schools, Airports, Industrial clusters etc. In addition, UNDP can also support the state governments in implementing short term risk mitigation programmes such as flood management, strengthening of early warning systems etc.

Resources Required to Achieve the Expected Results

The total financial resources required for the programme over five years 2023-28 will be USD 10 million. As of 2023, UNDP has already secured financing confirmations from the Government of Uttarakhand (USD 800,000) and the Government of Himachal Pradesh (USD 1,700,000). UNDP has secured resources from its global funding window to the tune of USD 550,000 for this programme. Technical and financial resources shall be mobilized through government programmes and schemes in select states, bilateral agencies and multilaterals, for implementation and delivery of project outcomes.

For the unfunded amount under Output 2 ($6,650,000), UNDP is in discussions with the SDMAs of Uttar Pradesh, Bihar, Punjab, Nagaland, Tamil Nadu, Jammu and Kashmir, Sikkim etc. In case, the total budgetary allocation of $10 million is exceeded, UNDP will seek DEA approval accordingly.

In addition to this, UNDP will also be raising co-financing from additional sources such as the Japan Supplementary Budget (approved by MHA and DEA in October 2023) and UNDP's Insurance and Risk Resilience Programme (IRRF). This additional outlay is expected to be to the tune of $ 675,000.

Partnerships

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

- **Government**: UNDP has been working very closely with the NDMA and the State Disaster Management Authorities for decades to ensure 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 the 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 mechanisms and damage and loss assessments require the 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 Training, 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 community-based organizations and NGOs at the grassroots level including Women SHGs.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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

Risks and Assumptions

Risk	Probability	Risk Mitigation Strategy	Assumption
Delayed implementation of the project due to change of leadership at national and state level	Low	UNDP will organize bi-monthly meetings and discussions with the Government to ensure effective communication and ownership for smooth implementation of the project. Briefing packages along with the knowledge products will be prepared for the government functionaries to apprise them on a regular basis on the project.	Continued support and guidance received from the Government at national and state level leads to effective implementation of the project and achievement of desired outputs
Unavailability of resources due to changes in priorities of the Government.	Low	UNDP will conduct evidence-led discussions with the Government at national and state level on UNDP will also develop a resource mobilisation plan for the programme to access resources from other donors and global facilities for disaster risk reduction.	The Government is committed to providing financial resources to UNDP for the implementation of project activities furthering the achievement of the goal of the project.
There is a lack of necessary leadership and slow decision-making in the project's implementation at the State Level Community-based organizations especially women's groups may not be willing to participate in the implementation of	Medium	The risk will be mitigated through consultations and focus group discussions with the local communities to identify their priorities and concerns before the initiation of community-level action. Discussions would be held with the women group to understand their concerns regarding the project. Based on the same, a strategy would be	The community-based organizations including women and youth groups show interest in the project and are willing to participate in the project implementation leading to successful implementation of the project.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

select project interventions		developed to address the concerns and mobilize action.	
Disruptive hazards may affect the project implementation in the States.	Medium	Following the adaptive management approach, UNDP in consultation with all relevant stakeholders will reallocate resources under the programme to respond to the then crisis	The project will be implemented promptly without the risk of any disruptive hazard.

Stakeholder Engagement

The key stakeholders involved in this programme will be the Government at the national and state/district level. In addition, the other stakeholders will be the private sector, academic institutions, 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, the 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. 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 participating countries. 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 the 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.

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

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

The collaboration with the NDMA on strengthening the National Disaster Management Information System will involve a slew of digital innovations such as database management, analytical capabilities etc. UNDP with support from its Accelerator Lab Unit will develop and implement digital solutions for effective implementation of project. These will include interventions such as digitization of loss and damage assessment tools, development of infographics, online awareness and dissemination campaigns, publishing all knowledge products of the project on easily accessible online platforms, support in generation of real-time situation reports etc.

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 consultations and workshops at the national and state level. The G20 DRR Working Group engagement will produce policy position papers that can have a major impact on India;s leadership in the Disaster Risk Reduction space.

Sustainability and Scaling Up

UNDP will support the NDMA and the SDMA for a period of five years. During this period, UNDP will directly implement planned and approved activities. The hiring of all the UNDP personnel to be deployed at the NDMA and the SDMAs 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.

UNDP is currently supporting the NDMA in developing a capacity-building roadmap for the National and State Disaster Management Authorities. The formal collaboration will provide UNDP with an opportunity to directly support this initiative once it's rolled out. Thus, the guiding principles of UNDP around Project Management and institutional strengthening will be indirectly shared through this exercise.

IV. PROJECT MANAGEMENT

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.:

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

Project Management

The programme will be implemented at two levels – national and state. Project Management Units will be established at the national level which will primarily work in close coordination with the NDMA and monitor the implementation of the programme at the state level. Each state will also have a lean project management unit which would be embedded with the State Disaster Management Authority and select District/City Disaster Management Authorities. . Operations in additional States will be set up on approval of the programmes developed in partnership with the state governments.

The programme will be directly implemented by UNDP in cooperation with the respective State Disaster Management Authorities and the NDMA. UNDP will further partner with local institutions (such as NGOs, private sector agencies, academic institutions, training institutes etc) to implement the programme's activities. UNDP will be responsible for the effective use of resources and the achievement of outputs as set forth in this document. UNDP will be responsible for all financial management, reporting, procurement, and recruitment services for which UNDP rules and regulations 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 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 (GMS) services.

Under Government financing component, the UNDP Country Office at New Delhi, through its Programme, Procurement, 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

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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 the 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 will be closed as per UNDP Rules and Regulations.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

V. RESULTS FRAMEWORK[4]

Intended Outcome as stated in the UNSDCF/Country [or Regional] Programme Results and Resource Framework: #5: By 2027, the 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: Reduction in Emission intensity of the GDP
Baseline: 2005 levels
Target (2030): Reduced by 45% by 2030 below 2005 levels

Applicable Output(s) from the UNDP Strategic Plan: 3.1 Institutional systems to manage multi-dimensional risks and shocks strengthened at regional, national and sub-national levels

Project title and Quantum Project Number: Institutional Support to National and State Disaster Management Authorities for Disaster Risk Management
(Project No. TBD)

EXPECTED OUTPUTS	OUTPUT INDICATORS[5]	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection) Cumulative						DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	FINAL	
Output 1 Mainstreaming of Disaster Risk Reduction in National Programmes and Policies for	*1.1 Number of technical reports (through the project) developed towards finalization of the Loss and Damage Methodology*	*NDMA/NIC*	0	2024	*0*	0	1	2	*3*	*3*	*3*	*Technical Reports* Risk: The methodology may not be developed due to unwillingness and non-acceptance of the stakeholders
	1.2 Number of technical studies (through the project) generated	*NDMA/SDMA*	*0*	*2024*	*0*	*1*	*1*	*1*	*1*	*1*	*1*	*Technical reports*

[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.

[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.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

enhanced resilience Gen Marker: GEN 2	*towards mainstreaming insurance as a risk mitigation strategy*											
	1.3 Number of national programmes on Disaster Risk Reduction supported by UNDP that are gender inclusive and LNOB	*NDMA*	0	2024	*0*	*1*	*1*	*2*	*3*	*3*	*3*	*Technical reports*
Output 2 Resource mobilisation by the states under the XV Finance Commission allocations enhanced for implementation of Disaster Risk Management Programmes Gen Marker: GEN 2	*2.1 Number of risk assessments and gender-informed disaster management plans developed*	*Contracts*	0	2024	*0*	25	50	75	*100*	*100*	*100*	*Technical reports*
	2.2 Capacities of stakeholders/beneficiaries enhanced on disaster risk reduction (50% women; 50% men)	*Reports*	*0*	2024	*0*	*500*	*1000*	*1,500*	*2,000*	*2500*	*2500*	*Reports developed by the PMU Participatory surveys*
	2.3 Number of DPRs developed by UNDP and SDMAs for resource mobilisation under the XV Finance Commission allocations on Risk Mitigation, Recovery and Capacity Building which enshrine the principles of LNOB and gender mainstreaming	*Report*	*0*	2024	*0*	*5*	*10*	*10*	*15*	*15*	*15*	*Submissions made by SDMA for approval*

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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.	NDMA/SDMA	$10,000
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.	NDMA/SDMA	$10,000
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.	SDMA	$10,000
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.	N.A	$10,000
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.	N.A	$10,000
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 review reports prepared over the period.	Annually, and at the end of the project (final report)		N.A	$10,000

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
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.	NDMA, SDMA and other stakeholders	$10,000

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
Mid-term Review	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	2026	NDMA and beneficiary state governments	$20,000

[6] Optional, if needed

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

			conservation and circular economy			
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 circular economy	2028	NDMA and beneficiary state governments	$25,000

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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.

VII. WORK PLAN[8]

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year						RESPONSIBLE PARTY	PLANNED BUDGET		
		2024	2025	2026	2027	2028	2029		Funding Source	Budget Description	$Amount
Output 1: Mainstreaming of Disaster Risk Reduction in National Programmes and Policies for enhanced resilience Gender marker:*2* *Indicator 1: 1.1 Number of technical reports (through the project) developed towards finalization of the Loss and Damage Methodology* *Baseline:0* *Target: 3* *1.2 Number of technical studies (through the project) generated towards mainstreaming.* *insurance as a risk mitigation strategy* *Baseline: 0*	1.1 Activity Develop a Methodology for Loss and Damage estimation due to extreme events	200,000	0	0	0	0	0	001981	UNDP	71300/72100	200,000
	1.2 Activity Mainstream Insurance as a Risk Mitigation Tool	0	0	0	0	0	0	001981	UNDP	71300/72100	Co-Finance
	Activity 1.3 Provide technical support to the Government of India towards the	0	50,000	0	0	0	0	001981	UNDP	71300	50,000

[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.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

Target: 1 *1.3 Number of national programmes on Disaster Risk*	priorities of the G20 Working Group on Disaster Risk Reduction										
	Activity 1.4 Provide targeted technical support to the Government of India for implementation of national programmes of the NDMA	0	300,000	0	0	0	0	001981	UNDP	71300/72100	273,810
	DPC 5%									**64300/74500**	**26,190**
	Subtotal-1	**200,000**	**350,000**	**0**	**0**	**0**	**0**				**550,000**

EXPECTED OUTPUTS	**PLANNED ACTIVITIES**	**Planned Budget by Year**						**RESPONSIBLE PARTY**	**PLANNED BUDGET**		
		2024	2025	2026	2027	2028	2029		Funding Source	Budget Description	$Amount
Output 2: Resources mobilisation by the states under the XV Finance Commission allocations enhanced for implementation of Disaster Risk Management Programmes Gen Marker: GEN 2 2.1 Number of risk assessments and gender-informed disaster management plans developed Baseline: 0 Target: 100 2.2 Capacities of stakeholders/beneficiaries enhanced on disaster risk reduction (50% women; 50% men) Baseline: 0 Target: 2500	Activity 2.1: Conduct risk assessments and Strengthen Disaster Management Plans for identifying state priorities for risk mitigation	100,000	500,000	700,000	550,000	500,000	300,000	001981	Govt	72100/74200/71600	2,650,000

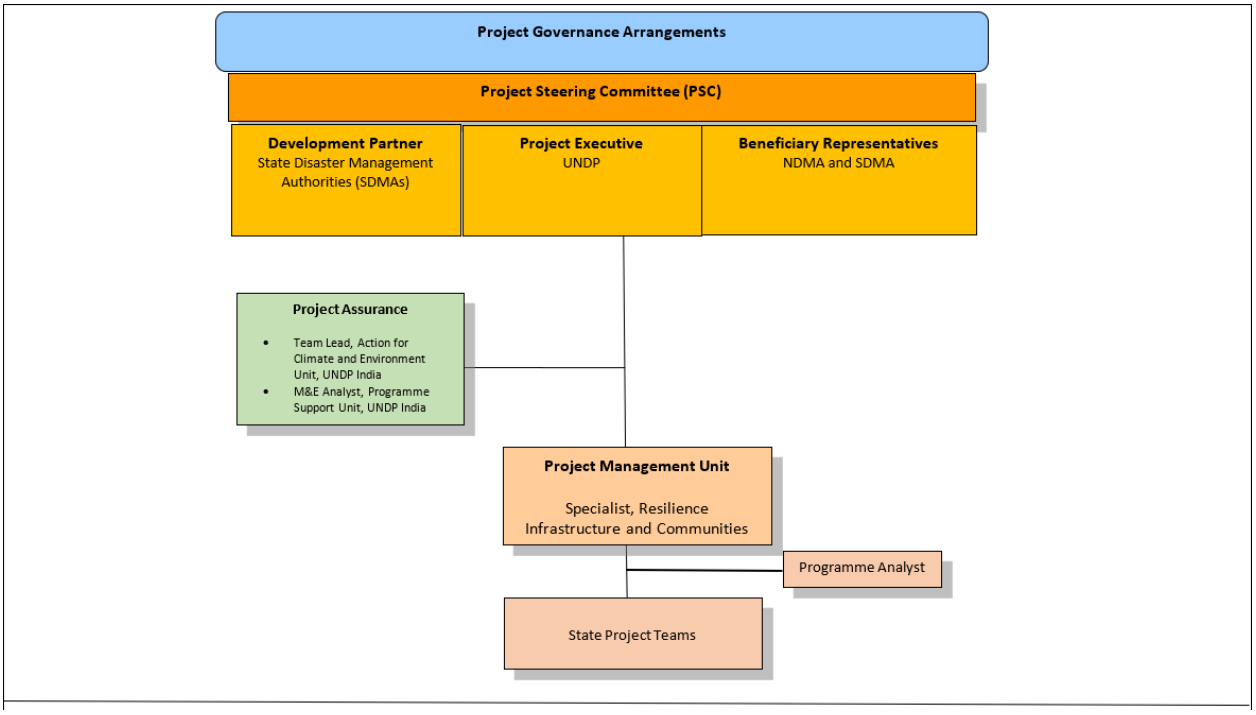
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2.3 Number of DPRs developed by UNDP and SDMAs for resource mobilisation under the XV Finance Commission allocations on Risk Mitigation, Recovery and Capacity Building which enshrine the principles of LNOB and gender mainstreaming. Baseline:0 Target: 15	**Activity 2.2:** Build the capacities of stakeholders for mainstreaming disaster risk management across the themes of Preparedness, Mitigation, Response and Recovery through trainings and knowledge management events such as Workshops, Seminars, Knowledge Products, Exposure Visits, Documentation	100,000	350,000	750,000	550,000	435,000	200,000	001981	Govt	72100/74200/71600	23,85,000
	Activity2.3: Provide technical support to the state governments for developing Detailed Project Reports to access funding under the XV Finance Commission	50,000	100,000	250,000	300,000	250,000	50,000	001981	Govt	71300/75700	1,000,000
	Activity 2.4: Provide technical support to the state governments for implementing priority risk mitigation programme	100,000	225,000	300,000	3,00,000	2,00,000	449,260	001981	Govt	71300/72100/75700	1,574,260
Travel											
Project Management	Monitoring visits, Field Visits, Participation in events	20,000	20,000	20,000	20,000	20,000	0	001981	Govt	71600/75700	100,000
	Project Managers at State, District and City level	150,000	200,000	250,000	250,000	100,000	50,000	001981	Govt	71400/71500	1,000,000
	Subtotal-2	**520,000**	**1,395,000**	**2,270,000**	**1,970,000**	**1,505,000**	**10,49,260**				**8,709,260**
	Management Fee 8%	**57,600**	**139,600**	**181,600**	**157,600**	**120,400**	**83,940**			75100/64300/74500	**740,740**
Grand Total 1+2+3		**777,600**	**18,84,600**	**2,451,600**	**2,127,600**	**1,625,400**	**1,133,200**				**10,000,000**

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

VIII. 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 NDMA 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 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.

Project Steering Committee: A Project Steering Committee (PSC) will be set up for monitoring the overall progress and quality assurance of the project and to provide strategic guidance and oversight. The 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 Member/Joint Secretary of the NDMA would be co-chaired by the Deputy Resident Representative, UNDP India. The PSC will meet at least annually and consist of representatives from: UNDP, donor government partners, representatives of State governments, academic institutions and private sector representatives and subject matter experts would be co-opted as members of the steering committee, as agreed with the NDMA.

Further, the PSC will also serve as an effective project-level Grievance Redress Mechanism (GRM) to address grievances related to the social and environmental impacts of the project. In its accessibility to complainants and in its responses to complaints, the GRM will be gender-responsive, culturally sensitive, non-discriminatory, and inclusive.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

In order to ensure UNDP's ultimate accountability, PSC decisions will be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In addition, the PSC plays a critical role in UNDP commissioned project evaluations by quality assuring the evaluation process and products, and using evaluations for performance improvement, accountability and learning.

Project Management Unit: Project Management Unit will be established by UNDP at national and state level to support the implementation of the project.

Project Assurance: UNDP will provide project assurance support for achievement of project objectives and desired results. A firewall will be maintained between the delivery of project oversight and quality assurance, and project execution. UNDP Resident Representative will assume full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Steering Committee (PSC), and therefore attends PSC meetings as a non-voting member.
The assurance will:

- Ensure that funds are made available to the project;
- Ensure the project is making progress towards intended outputs;
- Perform regular monitoring activities, such as periodic monitoring visits and spot checks;
- Ensure that resources entrusted to UNDP are utilized appropriately;
- Ensure that critical project information is monitored and updated.
- Ensure that risks are properly identified, managed, and monitored on regular basis.

IX. 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.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

X. 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][9] [UNDP funds received pursuant to the Project Document][10] 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.

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.

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

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

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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.

Docusign Envelope ID: 6C3AD915-76DE-4029-AB31-F82A64E0E499

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.