Project Initiation Plan (Revision A)

Project Title:

Disaster Risk Reduction

Expected CP Outcome

Communities and institutions have established preparedness mechanisms and partnerships to effectively respond to and recover from the impact of

disasters

Initiation Plan Start Date:

June 2009

Initiation Plan End Date:

May 2010

Implementing Partner:

LINDP

Brief Description

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

The objective of project initiation work plan is to support preparation and adoption of an action plan for implementation of disaster risk reduction programme at the Centre, States and local levels in selected urban and rural locations based on consultative processes, local/international experience and best practices and lessons learnt on the causes and potential responses to disaster risks keeping in mind that institutional strengthening and quality human resource development for disaster risk reduction are needed. The PIP will support a combination of initiatives: action research; platform and partnership building for dialogue on policies, regulations and implementation frameworks; a facility to support and disseminate best practices on disaster risk reduction and preparedness; and support to institutions, community associations and NGOs at all levels through two distinct but mutually reinforcing components - Institutional Strengthening and capacity building for Disaster Risk reduction and Urban Risk Management. The outputs of the proposed PIP would help in accelerating the new programme implementation. This will also act as a bridge ensuring that by the time the other internal approvals are in place the intervening time is effectively made use off by this bridge project.

Programme Period: 2008-12

Programme Component: Prevention and Recovery: Disaster Response and Recovery

Atlas Award ID:00049817 Start date: 1 June 2009 End date: 31 May 2010

PAC meeting date: 22 May 2009

2009 AWP Budget Total resources required Total allocated resources

US\$ 3794357 US\$ 3794357 US\$ 3794357

Regular: Other:

Donor 0

Nil

Donor C Donor

Government

Nil Nil

Unfunded budget: In-kind Contributions

Agreed by UNDP: Ms Deirdre Boyd

151

Country Director



I. PURPOSE

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

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

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

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

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

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

The major outputs of the programme are as follows:

- 1. Institutional Strengthening and capacity building for Disaster Risk Reduction
- Urban risk management

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

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

This phase will enable UNDP to establish programme specific baseline position in the states and also initiate entry point and start up activities which could then be integrated to the regular GOI-UNDP DRR programme once the other internal approvals for the larger programme are received. It will also enable the UNDP to provide for project specific assistance to the recovery programme being initiated in Bihar along with the Owner driven reconstruction collaborative which has all along been supported by the UNDP and whose proposed activities of setting up resource hubs and taking up settlement planning in select districts has recently been agreed to by the Government of Bihar.

II. OBJECTIVES OF THE PROJECT INITIATION PLAN (PIP) UNDER THE DRR PROGRAMME

The PIP programme is envisaged to act as a bridge project and support Central and State Government Programmes and initiatives by providing critical inputs that would enhance the efficiency and effectiveness of these efforts till the regular programme takes over. The pillars that have shaped the programme formulation through extensive consultations with the stakeholders are the following:

- DRM actions stipulated in the National DM Act (2005) to be undertaken by DM structures at various levels
- DRR priorities identified in the Eleventh Five Year Plan
- Actions highlighted in the Hyogo Framework of Action (HFA)
- Lessons learnt from the implementation of GoI-UNDP Disaster Risk Management Programme.

Within the above parameters the PIP strives to strengthen the institutional structures to undertake disaster risk reduction activities at various levels, including the risk being enhanced due to climate change, and develop preparedness for recovery.

The GOI -DRR programme and the PIP are aimed at achieving the two relevant UNDP CPAP outcomes namely

- Communities and institutions have established preparedness mechanisms and partnerships to effectively respond to and recover from the impact of disasters
- Communities are aware of their vulnerabilities and adequately prepared to manage (and reduce) disaster and environmental related risks

The programme specific outcomes for PIP and are as follows:

Would serve as a bridge project till the regular GOI-UNDP DRR programme gets formally started and to this end the outcomes would facilitate achievement of -

- Strengthened SDMAs and DDMAs to fulfill the responsibilities stipulated in the National DM Act (2005), especially with respect to DRM.
 - Methodologies and modalities developed for ensuring risk reduction through development programmes of all partners at national, state and community levels.
 - Urban risk reduction undertaken by addressing planning and development issues through suitable legislative and regulatory mechanisms.
 - Recovery framework setup through which the people affected by disasters are able to access resources for rebuilding their lives and to revive their livelihoods.
 - iv. Knowledge and information sharing platform in disaster management are strengthened
 - v. Enable taking up of the recovery project with the ODR collaborative in Bihar

b. Urban Risk Reduction

- i. Risk Assessment and disaster risk reduction for Urban Development programmes
- ii. Capacity-building in Urban Risk Reduction
- iii. Institutional strengthening for Urban Risk Management
- iv. Urban Community based DRR

III. PROJECT STRATEGY FOR THE PROJECT INITIATION PLAN UNDER THE DRR PROJECT

The project initiation plan would serve as a bridge project for the GoI-UNDP DRR Programme 2009-2012. The PIP project would address the priorities and issues underlined in the national development plans, UNDAF and the CPAP. The project would be implemented by the UNDP in association with the Government with the involvement of civil society partners with UNDP support at the National, State and local levels. It would seek the support of different government agencies and line departments in mainstreaming DRR into development programs and in developing feasible risk reduction

interventions. It would promote community-level interventions, with an emphasis on social inclusion and gender equity and empowerment. It would establish partnerships with NGOs such as the ODR collaborative in Bihar and academic institutions to provide the programme with wider outreach.

Under the project efforts would be made to strengthen the State and District Disaster Management Authorities (DMAs) to reduce disaster risk proactively, and implement timely, sustainable, and locally relevant recovery activities in post-disaster situations. It would emphasize institution-building and technical capacity-building, including NGOs, private sector and academia.

IV. PROJECT DELIVERABLES

The project would consist of a number of deliverables and activities which are listed in detail the work plan to cover the expected outputs under three major components:

- Institutional strengthening and capacity building for DRR
- Capacity-building for recovery;
- 3. Urban Risk Reduction

The deliverables would include -

- capacity building of the DM institutions by providing trained human resource support.
- Take up detailed hazard and vulnerability assessment of in selected states and the districts.
- Specific tools and methodologies for mainstreaming DRR into development planning and programmes would be developed
- State level training of trainers programme conducted to develop capacities.
- Specific initiatives on recovery undertaken in select districts of Bihar
- Risk Assessment and disaster risk reduction for Urban Development programmes
- Capacity-building in Urban Risk Reduction
- Institutional strengthening for Urban Risk Management
- Urban Community based DRR

V. MANAGEMENT ARRANGEMENTS

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

Implementing Partners

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

Project Steering Committee:

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

- Ensure project goals and objectives are in line with national priorities
- · Ensure project objectives are achieved in the defined timeframe
- Review project progress and suggest implementation strategies periodically
- Review project expenditure against activities and outputs
- Endorse the workplan

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

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

Project Manager:

As decided in the LPAC, UNDP will be recruiting the Project staff for the new GOI-UNDP DRR programme, who will be responsible for the day-to-day management of the agreed work plans and will be accountable to UNDP and PSC. S/he/They will prepare the detailed activity and monitoring plans based on the budgeted AWP and submit it to PSC for endorsement. The project officers will ensure that the projects undertaken in the PIP produces the results specified in the initiation plan document, to the required standards of quality and within the specified time frame. The project manager will prepare and submit the following reports and documents.

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

Project Assurance:

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

Audit:

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

VI. MONITORING FRAMEWORK AND REPORTING

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

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

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

evaluations. This schedule will be maintained by the Project Manager and will track the dates of key project events for all project members to follow.

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

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

Potential Responsible Parties:

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

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

VII. ANNUAL WORK PLAN
Year: June – May 2010
Award Proposal / Project Number: 00049817/00061114

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Time Frame Q3 Q4	Responsible Party	Funding Source	Budget Description	Budget (US\$)
Output 1:	1.Activity Result		Selected State	UNDP	72100/Service	40 4100
Strengthening and capacity building of disaster management institutions for Disaster Risk Reduction	Capacity building of DM institutions by providing trained human resource support.		Governments*, NDMA, SDMAs /DDMAs	Ç	Contracts	10,1100
Indicator: No. of SDMAs and DDMAs adopted	Activity Actions:					
institutional arrangements as per DM Act and established capacity building strategies for	1.1. Identify State Project Officers and State teams					
Baseline: 0 Targets: 20 States/20 SDMAs and 60	1.2 Identify and assess the capacities of responsible parties at state level.					
districts/60 DDMAs	2.Activity Result:		State Govts, NDMA,	UNDP	72100/Service	
	A baseline document developed on methodologies for HRVA and Detailed Hazard Risk and Vulnerability Assessment (HRVA) conducted in 4 selected districts		SDMAs, DDMAs, Resource Institutions		Contracts	130,000
	2. Activity Actions:					
	2.1 Selection of districts,					
	2.2. Development of TOR.					
	2.3 Identification of agencies.					
	2.4 Collection and analysis of data.					
	2.5 Consultation Validation workshops.					
	3.Activity Result:		State Govts, NDMA,	UNDP	72100/Service	500,000
	Composite Risk Atlas prepared in 4 selected multi hazard prone states.		SDMAs, DDMAs, Resource Institutions		Contracts	
	3. Activity Actions:					
	3.1 Selection of districts.					
	3.2. Development of TOR.			10 -		
	3.3 Identification of agencies.					
	3.4 Collection and analysis of data.					
	3.5 Consultative/Validation workshops.	THE PERSON NAMED IN COLUMN TWO IS NOT THE PERSON NAMED IN COLUMN TWO IS NAMED IN COL				

	5.4 Organization of training	5.3 Selection of participants from selected States to build core capacities in ATIs	5.2 Development of Training module for TOT	5.1 Capacity Assessment of the DM cells and State Institute of Rural development for conducting training on DM	Activity Actions	State Level TOT Programme conducted in selected States	5. Activity Result	4.1.4 Sector-wise Stakeholder consultation meetings	4.1.3 Review of the Development Plans/Mapping of DRR activities	4.1.2Collection and Review of the existing DRR sectoral guidelines - Health, Agriculture, Animal Husbandary, Rural Development, PWD, PHE, Police, Transport, Women and Child, Forest, Industry, Environment, Tourism and Education	4.1.1 Development of TORs and hiring of consultants/institutions	Activity Actions:	4. Activity Result: Guidelines and templates for 5 sectoral areas and printing of reports and Guidelines for DRR Mainstreaming
		i	# 1			SOMA, DOMA, A I IS	State Governments, NDMA,		2				State Govts, NDMA, SDMAs, DDMAs, Resource Institutions, ATIs
		UNDP											UNDP
sub total						Contract	72100/Service						72100/Service Contract
1414100							250,000						130,000

1 .

Output 2 Capacity Building of communities	activity Resi
response and recovery at the Centre/selected States	and state levels
	Activity Actions:
Indicator 2.1: Methodologies and	2.1.1 Selection of States/SDMAs for
need assessmen	opment of methodology in post disas ge, loss and need assessment
national and state levels	2.1.2 Selection of institutions
Target: 1 National Level	2.1.3 Preparation of methodology
3 State levels	2.1.4 Validation of methodology
Indicator 2.2 : No. of training	2.2 Activity Result
programmes conducted Baseline: 0 Target: 3	Training conducted and sector specific training modules developed for post disaster damage loss and need assessment
	Activity Actions:
	2.2.1 Training of Trainers
	2.2.2 Demonstration and training in the use of the methodology
	2.2.3 Development of Training Modules
	2.2.4 Validation of Training Modules
	2.3 Activity Result
	State specific awareness generation strategy designed, products developed and programmes organised
	Activity Actions:
	2.3.1 Awareness Strategy developed
	2.3.2 IEC materials prepared

1,019,000	Sub-Total	Pay (A			
				2.6.2 Support for mitigation measures provided especially in highly vulnerable areas	
				2.6.1 Support mobilisation and formation of SHGs	
	- Maria			Activity Action:	
	Service Contracts			Resilience of communities enhanced by undertaking through SHGs risk reduction activities to address vulnerabilities of people	
300,000	72100/	UNDP	UNDP, NDMA, NAARD, NGOS,	2.6 Activity Result	
				2.5.5 Training of partners	
				2.5.4 Validation of Modules	
				2.5.3 Development of Appropriate training modules	
				2.5.2 Identification of training gaps.	
				2.5.1 Identification/Selection of NGOs.	
	1			Activity Action	
	Service Contracts			District Level training and capacity programmes for NGOs, CBOs and other community level organisations on CBDRM	NO. (10 P. (10 P
80,000	72100/	UNDP		2.5 Activity Result	
				2.4.2 Review of training calendars and availability of budgets vis-a-vis leveraging of resources as well as support under the programme	
				2.4.1 Review of existing training modules	
		2200 - 5		Activity Action	
	Contracts			District level training and capacity building programmes organised for PRI members	
150,000	72100/	UNDP	SIRD, DDMAa and SDMAs	2.4 Activity Result	

Knowledge strengthened

networking Partnerships with knowledge-based organisations and networks on DRR expanded

engineering colleges,
SERC, HSMI, BMTPC, TISS

UNDP

72100/Service Contract

50,000

3. Activity Result

Output 3

490,000	sub total			
			5.3.4 IEC materials to be produced	
			5.3.3. Awareness Strategy to be developed.	
			conducted on Structural safety and disaster preparedness in selected cities.	
			CBDRM.	
			Activity Actions:	Target: 10
	contracts	i	Capacity building of communities in disaster risk reduction.	selected cities.
60,000	72100/	NIUA, NIDM, UNDP	5.3 Activity Result	
			5.2.1 Orientation programmes organised for the Mayors and the Corporators	arget: 10
			Activity Action:	Baseline: 0
	contracts	Centres, National Institute of Urban Affairs, NIDM	Mayors and Corporators sensitised on mainstreaming DRR into city development planning in selected cities of India.	Indicator 5.2: # of orientation programmes conducted for the Mayors and the Corporators on mainstreaming DRR into city development planning.
30,000	72100/ service		5.2 Activity Result	
			5.1.3 Training Manual developed on Urban Disaster Risk Management.	
			5.1.2 Preparation/ Updation of City DM plans in selected cities.	
			5.1 Municipal Officers trained on effective Disaster preparedness and Response in selected cities.	Target: 10
			Activity Action :	Baseline: 0
			Emergency Control Room strengthened (City EOC) in selected cities.	Indicator 5.1:# of City EOC strengthened
	Contract	Development or Groan		Institutional capacity strengthened for Urban Disaster Risk Management.
400,000	72100/Service	City Authorities, UNDP, State	5. 1 Activity Result:	Output 5

												Implementation costs: TOTAL						Project Management to ensure quality assurance - Bihar
		M&E Costs	ISS (3%)	Communication cost (1%)			Equipments	Miscellaneous Costs	Travel and Mission Costs	State Coordination Support	Project Management Support Staff Cost (Thematic Coordinators-POs and PAs)			Salary of UNDP Staff(NPO) Slary of UNDP Staff(G5)	Translation of lessons learnt and dissemination through various global and national networks.	Reporting to donors on a quarterly basis.	Design and implementation of M&E system	Recruitment of a Coordinator and Field- based Project Officers
Abasa										UNDP	UNDP							UNDP
9									UNDP	UNDP	UNDP							
Grand Total	Sub-Total		73500	72400	TOTAL	SUB TOTAL	72400	74500/Misc	71600/Travel	71400/Service Contracts- Individuals	71400/Service Contracts Individuals		SUB TOTAL	91200 61100	72100/ Service contracts Outreach activities	resources	consultants	71300 / National
3794357	223150	71424	115388	36338	3571207	242,207	50,000	12,207	50,000	30,000	100,000	3329000	195,900	55000 40900				100,000

* Arunachal Pradesh, Andhra Pradesh, Assam, Bihar, Delhi, Gujarat, Haryana, Himachal Pradesh, Kerala, Madhya Pradesh, Maharashtra, Mizoram, Orissa, Rajasthan, Sikkim, Tamilnadu, Tripura, Uttar Pradesh, Uttaranchal, and West Bengal