संख्या– 361/एक–11–2022–13(जी)/2015

प्रेषक,

दुर्गा शंकर मिश्र
मुख्य सचिव
उत्तर प्रदेश शासन।

सेवा में,

समस्त अपर मुख्य सचिव/प्रमुख सचिव
उत्तर प्रदेश शासन।

राजस्व अनुभाग–11 **लखनऊ : दिनांक : 01 जुलाई, 2022**

विषयः– आपदा न्यूनीकरण के संबंध में सेण्डाई फ्रेमवर्क फॉर एक्शन (2015–2030) की प्राथमिकताओं व लक्ष्यों की प्राप्ति हेतु परियोजनाएं विकसित व कियान्वयन करने के संबंध में।

महोदय,

अवगत कराना है कि आपदाओं से न केवल जन–धन की हानि होती है बल्कि इसका प्रदेश के विकास पर भी प्रतिकूल प्रभाव पड़ता है। कुशल आपदा प्रबंधन प्रदेश के समृद्धि और विकास के लिए आवश्यक है। आपदा प्रबंधन व जोखिम न्यूनीकरण क्रास–कटिंग विषय है, अतः विभिन्न विभागों के स्तर पर आपदाओं से बचाव के प्रभावी उपाय सुनिश्चित किया जाना तथा जन–धन की हानि को न्यूनीकृत किये जाने हेतु परियोजनाएं/कार्यक्रम संचालित किया जाना आवश्यक है। इस संबंध में पूर्व में भी समस्त विभागों को पत्र संख्या–199/1–11–2013–रा0–11 दिनांक 13.03.2013 **(संलग्नक–1)** प्रेषित किया गया है।

2. अंतर्राष्ट्रीय स्तर पर आपदा प्रबंधन हेतु संयुक्त राष्ट्र संघ द्वारा जारी सेण्डाई फ्रेमवर्क फॉर एक्शन (2015–2030), जिसे भारत द्वारा भी हस्ताक्षरित किया गया है, में आपदा न्यूनीकरण हेतु चार प्राथमिकताएं तथा सात लक्ष्य निर्धारित किये गये है जो निम्नवत हैः–

04 प्राथमिकताएंः–

- प्राथमिकता 1– आपदा जोखिम को समझना।
- प्राथमिकता 2– आपदा जोखिम प्रबंधन हेतु शासकीय व्यवस्थाओं को सुदृढ़ करना।
- प्राथमिकता 3– आपदा जोखिम न्यूनीकरण के क्षेत्र में निवेश।
- प्राथमिकता 4– प्रभावी प्रत्युत्तर हेतु आपदा तैयारी को बढ़ाना।

07 लक्ष्यः–

- **प्रथम लक्ष्य–** वर्ष 2030 तक आपदाओं से होने वाली मृत्यु–दर को कम करना।
- **द्वितीय लक्ष्य–** प्राकृतिक आपदा से प्रभावित होने वाले लोगों की संख्या में कमी लाना।
- **तृतीय लक्ष्य–** आपदा से होने वाली प्रत्यक्ष आर्थिक हानि को कम करना।

- **चतुर्थ लक्ष्य–** आधारभूत सेवाओं को ठप होने से बचाना एवं अत्यावश्यक संरचनाओं को होने वाली क्षति को कम करना।
- **पाचंवा लक्ष्य–** आपदा जोखिम न्यूनीकरण हेतु स्थानीय रणनीति का विकास करना।
- **छठां लक्ष्य–** विकासशील देशों में इस फ्रेमवर्क के कियान्वयन हेतु अंतर्राष्ट्रीय सहयोग एवं समन्वय को बढ़ावा देना।
- **सातवां लक्ष्य–** आपदा पूर्व चेतावनी तथा आपदाओं की सूचना सबको प्राप्त हो, इस हेतु तंत्र विकसित करना।

3. प्रदेश की आपदा संवेदनशीलता व जन–धन की हानि के दृष्टिगत यह आवश्यक है कि सेण्डाई फ्रेमवर्क को त्वरित कियान्वित किया जाय। इस संबंध में यह आवश्यक है कि विभिन्न विभागों द्वारा सेन्डाई फ्रेमवर्क फॉर एक्शन में निर्धारित प्राथमिकताओं व लक्ष्यों के अनुरूप समुचित परियोजनाएं विकसित कर कियान्वित की जायें। इन परियोजनाओं की फण्डिंग राजस्व विभाग द्वारा राज्य आपदा मोचक निधि के "कैपेसिटी बिल्डिंग मद"तथा "राज्य आपदा न्यूनीकरण निधि" से की जायेगी। परियोजनायें विकसित किये जाने हेतु भारत सरकार द्वारा "कैपेसिटी बिल्डिंग मद" तथा "आपदा न्यूनीकरण निधि" हेतु जारी गाइडलाइन क्रमशः **संलग्नक–2** व **संलग्नक–3** पर उपलब्ध हैं। विभागों द्वारा प्रमुख रूप से निम्नलिखित कैटेगरी के अंतर्गत प्रस्ताव विकसित किये जायेगें:–

<u>"कैपेसिटी बिल्डिंग मद" से वित्तपोषित किये जाने वाले प्रस्तावों की कैटेगरीः–</u>

1. Improving capacities for Multi- Hazard Early Warning systems
2. Preparedness for Response
3. Risk Management Planning
4. Disaster Databases
5. Capacity Building Trainings
6. Awareness Generation and development of IEC material

<u>"आपदा न्यूनीकरण निधि" से वित्तपोषित किये जाने वाले प्रस्तावों की कैटेगरीः–</u>

1. Projects related to mitigation of disasters declared by the Central / State Government (Flood, Drought, Fire, Hail, Fog and Cold wave, Cloudburst, Earthquake, Insect-attack, Unseasonal heavy rain/excess rain, Lightning, Thunderstorm, Loo-Outbreak, Boat accident, snakebite, sewer cleaning/gas leak, falling in borewell, human wildlife conflict (attack of wild animals), drowning death)
2. Projects that are of state-level importance will help protect properties, ecosystems and citizens from disasters within the state.
3. Projects which promote practices to reduce disaster risks and its impacts.
4. Projects which build community resilience through information and knowledge.
5. Projects which focus on creating safe conditions of living for people fromweaker socio-economic categories, people with disabilities, and women.
6. Research and studies related to disaster mitigation through the small grants window.

7. In case of flood mitigation projects, States should undertake the following non-structural measures:
    i. Adopting Integrated Flood Management approach by considering river basin as a hydrological unit.
    ii. Real Time Hydro-meteorological Data Acquisition Network coupled with Decision Support System for integrated or standalone operation of reservoir(s), as the case may be.
    iii. Delineation and demarcation of flood plain zones on certain notified stretch (es) of river(s) within the State and regulation of various activities permissible therein.

4. राहत आयुक्त कार्यालय, उत्तर प्रदेश द्वारा भी कैपेसिटी बिल्डिंग मद व आपदा न्यूनीकरण मद से किये जाने वाले कार्यो की एक इंडीकेटिव सूची तैयार की गयी है, जो कि **संलग्नक–4** पर उपलब्ध हैं। यह सूची Exhaustive न होकर मात्र Indicative है।

5. अतः इस सम्बन्ध में मुझे यह कहने का निदेश हुआ है कि प्रदेश में कुशल आपदा प्रबंधन के इस महत्वपूर्ण आयाम को सर्वोच्च प्राथमिकता प्रदान करते हुए समस्त विभाग अपने स्तर पर कैपेसिटी बिल्डिंग व आपदा न्यूनीकरण के संबंध में प्रस्ताव तैयार कर राहत आयुक्त कार्यालय को दिनांक 30.07.2022 के पूर्व उपलब्ध कराने का कष्ट करें।

संलग्नकः– यथोक्त।

भवदीय,

30/6/2022

(दुर्गा शंकर मिश्र)
मुख्य सचिव।

संलग्नक-1

फैक्स आदेश

संख्या- 199/1-11-2013-रा0-11

प्रेषक,

जावेद उस्मानी,
मुख्य सचिव, उ0प्र0 शासन/
मुख्य कार्यपालक अधिकारी,
उ0प्र0 राज्य आपदा प्रबंध प्राधिकरण।

सेवा में,

1. समस्त प्रमुख सचिव/सचिव,
   उ0प्र0 शासन।
2. समस्त मण्डलायुक्त
   उत्तर प्रदेश।
3. समस्त जिलाधिकारी,
   उत्तर प्रदेश।

राजस्व अनुभाग - 11 दिनांक: 13 मार्च, 2013

विषयः- आपदा प्रबंधन व जोखिम न्यूनीकरण तत्वों को समस्त विभागों के योजनाओं/कार्यों में सम्मिलित किये जाने के संबंध में।

महोदय,

उपर्युक्त विषय पर मुझे यह कहने का निदेश हुआ है कि राष्ट्रीय आपदा प्रबंध अधिनियम, 2005 के धारा 39 में किये गये प्राविधानों के अनुसार, राज्य सरकार के विभिन्न विभागों को अपने विभागीय योजनाओं एवं कार्यो मे आपदा जोखिम न्यूनीकरण के तत्वों का समावेश किया जाना आवश्यक है। इस अधिनियम की धारा 39 के प्राविधान निम्नवत हैः-

"39. It shall be the responsibility of every department of the Government of a State to—
(a) take measures necessary for prevention of disasters, mitigation, preparedness and capacity-building in accordance with the guidelines laid down by the National Authority and the State Authority;
(b) integrate into its development plans and projects, the measures for prevention of disaster and mitigation;
(c) allocate funds for prevention of disaster, mitigation, capacity-building and preparedness;
(d) respond effectively and promptly to any threatening disaster situation or disaster in accordance with the State Plan, and in accordance with the guidelines or directions of the National Executive Committee and the State Executive Committee;
(e) review the enactments administered by it, its policies, rules and regulations with a view to incorporate therein the provisions necessary for prevention of disasters, mitigation or preparedness;
(f) provide assistance, as required, by the National Executive Committee, the State Executive Committee and District Authorities, for—
(i) drawing up mitigation, preparedness and response plans, capacity building, data collection and identification and training of personnel in relation to disaster management;
(ii) assessing the damage from any disaster;
(iii) carrying out rehabilitation and reconstruction;
(g) make provision for resources in consultation with the State Authority for the implementation of the District Plan by its authorities at the district level;

make available its resources to the National Executive Committee or the State Executive Committee or the District Authorities for the purposes of responding promptly and effectively to any disaster in the State, including measures for —

(i) providing emergency communication with a vulnerable or affected area;
(ii) transporting personnel and relief goods to and from the affected area;
(iii) providing evacuation, rescue, temporary shelter or other immediate relief;
(iv) carrying out evacuation of persons or live-stock from an area of any threatening disaster situation or disaster;
(v) setting up temporary bridges, jetties and landing places;
(vi) providing drinking water, essential provisions, healthcare and services in an affected area;
(i) such other actions as may be necessary for disaster management."

2. 11वीं पंचवर्षीय योजना में आपदा जोखिम न्यूनीकरण तत्वों का विकास कार्यकमों में समावेशित किये जाने के संबंध में निम्नवत वर्णन है "Mainstreaming disaster management into the development planning process essentially means looking critically at each activity that is being planned, not only from the perspective of reducing the disaster vulnerability of that activity, but also from the perspective of minimizing that activity's potential contribution to the hazard. Every development plan of a ministry/department should incorporate elements of impact assessment, risk reduction, and the 'do no harm' approach"

3. अतः अनुरोध है कि समस्त विभागों द्वारा अपने विभाग के माध्यम से संचालित किये जाने वाले नये कार्यकमों/परियोजनाओं/गतिविधियों को इस दृष्टिकोण से बनाया जाएगा कि उनके माध्यम से आपदाओं के जोखिम को कम किया जा सके व आपदाओं से निपटने की पूर्व तैयारी की जा सके। विभाग द्वारा यह भी सुनिश्चित करने का प्रयास किया जायेगा कि किसी भी गतिविधि/परियोजना से आपदाओं में बढोत्तरी न हो। आपदा जोखिम न्यूनीकरण घटकों को विभागीय नीतियों व इनके कियान्वयन दोनो स्तरों पर शामिल किया जाना आवश्यक है। केन्द्र द्वारा प्रायोजित विभिन्न विकासीय योजनाओं के प्रत्येक चरण में आपदा जोखिम न्यूनीकरण तत्वों को समावेशित किया जाए।

4. आपदा जोखिम न्यूनीकरण के तत्वों का समस्त सेक्टर/विभागों/योजनाओं में समावेश किया जाना है।

उक्त क्षेत्रो में आपदा जोखिम न्यूनीकरण तत्वों के समावेश के कुछ उदाहरण निम्नवत है :—

क्षेत्र (Sector)	आपदा जोखिम न्यूनीकरण समावेश हेतु की जाने वाली गतिविधियां (Key interventions for DRR mainstreaming)
आवास (Housing)	— घरों को जोखिम वाले क्षेत्रों में न बनाया जाना। — इंजिनियर्स, आर्कीटेक्ट, राजमिस्त्रियों को आपदारोधी निर्माण हेतु प्रशिक्षण। — आपदारोधी भवन निर्माण। — शहर का मास्टर प्लान आपदाओं की संभावना को ध्यान में रखकर बनाया जाना। — शहरी नियोजन संबधी कार्यो को बाढ अथवा भूकम्प आदि सम्भावित आपदाओं के परिप्रेक्ष्य मे नियोजित किया जाये। — समस्त सरकारी व गैरसरकारी भवनों को आपदारोधी तकनीक से बनाने हेतु भवन उपविधि का पालन व इसका प्रवर्तन सुनिश्चित किया जाये। — समय–समय पर भवन उपविधि व विनियमों का आपदा जोखिम न्यूनीकरण के दृष्टिकोण से पुनरीक्षण किया जाये। — भवन निर्माण हेतु आपदारोधी तकनीक अपनाये जाने के संबध मे जनमानस

	को जागरूक करने हेतु व्यापक प्रचार–प्रसार किया जाये। — संबंधित विभाग/प्राधिकरण/निकाय द्वारा सुनिश्चित किया जाये कि बिल्डर्स व प्राइवेट कम्पनियों द्वारा बनाये जा रहे भवन, बहुमंजिली–इमारतें आदि सुरक्षित स्थलों पर बनें व आपदारोधी तकनीक से भवन उपविधि व विनियमों का अनुपालन करते हुए बनें।
अवसंरचनाएं (Infrastructure)	— सड़क व अन्य परिसम्पत्तियां बनाते समय उस क्षेत्र की आपदा संवेदनशीलता व पूर्व घटित आपदाओं को दृष्टिगत रखते हुये आपदारोधी बनाया जाए। — रोड बनाते समय पर्याप्त जल निकासी का प्रबंध किया जाए तथा देखा जाये कि इससे जलभराव की समस्या न हो व यह बाढ़ के दौरान सुरक्षित रहे। — संबंधित विभागों द्वारा मूलभूत सार्वजनिक अवस्थापनाओं जैसे बांध, सड़क, ब्रिज, फ्लाई ओवर, रेलवे लाइन, स्कूल, हास्पिटल, पॉवर स्टेशन, पानी की टंकी और अन्य सार्वजनिक उपयोग वाले संसाधनो की मजबूती की समय–समय पर समीक्षा की जाये व आवश्यकता पड़ने पर इनका सुदृढ़ीकरण किया जाये। — सम्भावित आपदाओं को दृष्टिगत रखते हुये इन निर्माणों को सुरक्षा के मानकों व मापदण्डों के आधार पर बनाया जाये, ताकि आपदाओं के दौरान भी यह संरचनायें प्रयोग में लायी जा सकें व दुर्घटना का कारण न बने। — आपदा से नष्ट हुई परिसम्पत्तियों के पुर्ननिर्माण को एक अवसर के रूप में मानते हुये इसे पहले से बेहतर पुर्ननिर्माण (Build Back Better) के सिद्धान्त पर बनाया जाये ताकि इन्हें बार–बार टूटने से बचाया जा सके।
शिक्षा (Education)	— समस्त शैक्षणिक संस्थानों के पाठ्यक्रमों में आपदा प्रबन्धन विषय का समावेशन। — समस्त शैक्षणिक संस्थान भवनों को आपदारोधी तकनीक से बनाया जाना। — आपदा प्रबन्धन को टीचर ट्रेनिंग पाठ्यक्रम में शामिल करना। — विश्वविद्यालयों में आपदा प्रबन्धन विभाग की स्थापना। — नियमित पूर्वाभ्यास/मॉक ड्रिल को अनिवार्य किया जाना।

उपरोक्त उल्लिखित आपदा जोखिम न्यूनीकरण के क्षेत्र व गतिविधियां उदाहरण मात्र है, यह सम्पूर्ण नहीं है।

अतः उपर्युक्त के परिप्रेक्ष्य में आपको निर्देश दिया जाता है कि राज्य सरकार द्वारा संचालित विभिन्न कार्यो/योजनाओं को इस दृष्टि से परीक्षण करें कि उनमें कहां–कहां और किस रूप में आपदा जोखिम न्यूनीकरण उपायों का समावेश किया जा सकता है व तद्नुसार उन्हें शामिल करने हेतु यथोचित प्रभावी कदम उठाना सुनिश्चित करें। उक्त के साथ ही आपदा जोखिम न्यूनीकरण घटकों को विभिन्न कार्यो/योजनाओं में समाहित करने हेतु राज्य एवं जनपद स्तर पर विभागीय बजट में आवश्यक धनराशि की व्यवस्था कराना सुनिश्चित करें।

भवदीय,

(जावेद उस्मानी)
मुख्य सचिव, उ0प्र0 शासन/
मुख्य कार्यपालक अधिकारी
उ0प्र0 राज्य आपदा प्रबन्ध प्राधिकरण

Immediate

संलग्नक -2

No. 33-02/2020-NDM-I

Government of India
Ministry of Home Affairs
(Disaster Management Division)

'C' Wing, 3rd Floor, NDCC- II,
Jai Singh Road, New Delhi-110001,
Dated the 28thFebruary, 2022

To,

The Chief Secretaries
(All States).

Subject: **Guidelines on Constitution and Administration of the National Disaster Mitigation Fund (NDMF) based on the recommendations of the Fifteenth Finance Commission 2021-22 to 2025-26.**

Sir/ Madam,

The Fifteenth Finance Commission (FFC) has made provision of funds for the National Disaster Mitigation Fund (NDMF) in its recommendations, which has been accepted by the Government of India. Keeping in view the provisions of the Disaster Management Act, 2005 and the recommendations of FFC, Government of India has framed guidelines for the constitution and administration of NDMF.

2. A copy of the guidelines for NDMF is enclosed for further necessary action at your end. These guidelines can also be downloaded from the website of Disaster Management Division of Ministry of Home Affairs i.e. *www.ndmindia.mha.gov.in*.

Encl: As above.

Yours sincerely,

28.2.22

(Pawan Kumar)
Deputy Secretary (DM-I)
Telefax: 23438123

Copy to:-

1. Secretary, Department of Expenditure, Ministry of Finance, North Block, New Delhi.
2. Secretary, Department of Agriculture and Farmers Welfare, Krishi Bhawan, New Delhi.
3. Secretary, Ministry of Housing and Urban Affairs, New Delhi.
4. Secretary, Ministry of Jal Shakti, New Delhi.
5. Secretary, Ministry of Earth Sciences, New Delhi
6. Member Secretary, National Disaster Management Authority, New Delhi.
7. Secretaries of All Central Ministries/Departments.
8. Relief Commissioners/ Secretaries, Department of Disaster Management of (All States).
9. Accountants General of all State Governments.
10. Controller General of Accounts (CGA), New Delhi.
11. Comptroller & Auditor General (CAG), New Delhi.

*****

Ministry of Home Affairs
(Disaster Management Division)

Guidelines on Constitution and Administration of the National Disaster Mitigation Fund (NDMF).

Introduction:

The Disaster Management Act, 2005 (hereinafter called as DM Act, 2005) defines mitigation as 'measures aimed at reducing the risk, impact or effects of a disaster or threatening disaster situation'.

2. National Disaster Mitigation Fund (NDMF) is constituted under section 47(1) of the DM Act, 2005. This fund is exclusively for the purpose of mitigation projects in respect of disasters covered in National Disaster Response Fund (NDRF) Guidelines only. The Mitigation Fund shall be used for those local level and community-based interventions, which reduce the risks and promote environment-friendly settlements and livelihood practices. Large-scale mitigation interventions such as construction of coastal walls, flood embankments, support for drought resilience etc. shall be pursued through regular development schemes and not from the mitigation fund.

3. Mitigation measures can be both structural and non- structural.

Structural measures: Structural mitigation measures include any physical construction to reduce or avoid possible impacts of hazards, or the application of engineering techniques or technology to achieve hazard resistance and resilience in structures or systems. These measures attempt to strengthen buildings to better endure future disasters like cyclones and earthquakes.

Non- Structural measures: It does not involve physical construction but use of knowledge, practices, policies, laws/ regulations etc. e.g. building codes and laws, location specific planning/strategies, forest management/restoration of mangroves, awareness campaigns etc.

4. These guidelines are issued under sections 47 and 62 of the DM Act, 2005 and shall be called 'National Disaster Mitigation Fund' (NDMF) guidelines and will be operative from the financial year 2021-22 to 2025-26, and will continue till further orders.

5. Technical Guidelines:

For the guidance of the State Governments/ implementing partners etc., National Disaster Management Authority (NDMA) will issue technical guidelines separately, within the broad framework of these guidelines and with the concurrence of Ministry of Home Affairs (MHA). Further, Hazard specific mitigation guidelines and detailed procedures for project execution will continue to be issued by the NDMA from time to time in consultation with MHA.

6. Long Term Mitigation Strategy:

At the national and state level, the Disaster Management Authorities will conduct a risk assessment, which presents an assessment of hazards, exposure and

vulnerability and their likely impacts. Based on the risk assessment, the Disaster Management Authorities will prepare long-term mitigation strategy for their respective jurisdiction.

7. **National Disaster Mitigation Fund(NDMF):**

7.1 The NDMF will be constituted with the nomenclature of "National Disaster Mitigation Fund" in the Public Account in the sub-section (b) Reserve funds not bearing interest of Government of India under Major Head 8235-'General and Other Reserve Funds'-145- 'National Disaster Mitigation Fund'.

7.2 The NDMF will be operated by the Department of Expenditure, Ministry of Finance (MoF) in consultation with Ministry of Home Affairs with an objective to release Grants-in-aid to the State Governments for mitigation projects as approved by High Level Committee (HLC).

7.3 The NDMF will be applied by NDMA for appraisal, monitoring and supervision of mitigation projects.

8 **Contribution/Allocation to the NDMF:**

8.1 Fifteenth Finance Commission (XV-FC) has recommended Rs.13,693 crore [20%of National Disaster Risk Management Fund (NDRMF) of Rs.68,463 crore] for NDMF for the period 2021-22 to 2025-26. The details of annual allocations for the period from 2021-22 to 2025-26 is given in Annexure-I.

8.2 The Central Government can mobilize and pool funds in the NDMF from various other sources viz. reconstruction bonds, contingent credit/standby facilities with international financial institutions, counterpart funding from implementing partners, crowd funding platforms and Corporate Social Responsibility (CSR) window etc.

8.3 Funds will be credited into the NDMF established in the Public Account of India by operating Major Head "2245-Relief on account of Natural Calamities–07-Disaster Management-797-Transfer to Reserve Funds/Deposits Accounts, in accordance with the provisions of section 47(1) of the DM Act, 2005. The budget provision for transferring funds to the NDMF shall be made in Demand for Grants No.40 'Transfers to the State' of Department of Expenditure, Ministry of Finance.

9. **Earmarking of Funds:**

9.1 The XV-FC has also recommended the earmarked allocations from the NDMF amounting to Rs.5,950 crore for four priority areas, as given hereunder:

(a) Catalytic assistance to twelve most drought-prone States- Rs.1200 crore.
(b) Managing seismic and landslide risks in ten hill States-Rs.750 crore.
(c) Reducing the risk of urban flooding in seven most populous cities- Rs.2500 crore.
(d) Mitigation measures to prevent erosion-Rs.1500 crore.

9.2 There may be flexibility in the year-to-year allocation of funds to States, under the 'earmarked allocations', depending upon their implementation progress on mitigation projects. Further, a mid-term review of the expenditure in the head of 'catalytic assistance to twelve most drought prone States', may be undertaken by the MHA and

the Department of Expenditure. In case there is any underutilization of funds, the same may be transferred to the head of 'mitigation measures to prevent erosion'.

9.3 Details of sector wise earmarking of the funds are given at Annexure-II. The funds for these earmarked allocations will be provided to the States in the five years (2021-2026) on a cost-sharing basis and the State Governments shall contribute 10% of the allocated funds. There shall be no spill-over for the liabilities committed for the projects sanctioned against earmarked allocation beyond the award period (2021-2026) of the Commission.

9.4. Additional financial assistance from NDMF will be provided to the State Governments on a graded cost-sharing basis. For this purpose, the States will contribute its share for net-assistance approved by the HLC for each mitigation project as per the following:

a) 10% State share for assistance up to Rs.250 crore;
b) 20% State share for assistance up to Rs.500 crore; and
c) 25% State share for assistance exceeding Rs.500 crore.

10. Reporting of expenditure data in National Disaster Management Information System (NDMIS)

In order to have real time information about availability of SDMF and NDMF with State Governments, the Ministry of Home Affairs has evolved a web-based online application, i.e. National Disaster Management Information System (NDMIS). Therefore, State Governments will provide online data of expenditure incurred from SDMF (including additional central assistance from NDMF) in line with the Central Government's approved norms, on a real time basis. This is also in line with recommendation of the XV-FC in para-8.112 of their Report.

11. Scope of Mitigation Funds under NDMF:

The NDMF will generally fund and support the following types of mitigation projects:

i) Projects in States, where SDMF funds are insufficient and projects are important from disaster mitigation point of view.
ii) Protection works, which can be implemented through local level and preferably with community-based intervention, for the projects of national and strategic significance, eco-systems, and natural resource base and mitigation projects for the notified disasters under NDRF.
iii) Projects, which will be, implemented regionally involving two or more States. In such regional projects, the States and Local Governments can also participate and contribute.
iv) Projects which have the jurisdictional and technical complexity that can be addressed through the national-level technical assistance and require national agencies to collaborate.
v) Research and studies related to disaster mitigation through the small grants window.
vi) In case of flood mitigation projects to be undertaken from the NDMF, States should undertake the following non-structural measures:

   a) Adopting Integrated Flood Management approach by considering river basin as a hydrological unit.

b) Real Time Hydro-meteorological Data Acquisition Network coupled with Decision Support System for integrated or standalone operation of reservoir(s), as the case may be.

c) Delineation and demarcation of flood plain zones on certain notified stretch(es) of river(s) within the State and regulation of various activities permissible therein.

12. **Limitations for utilization of the NDMF:**

i) At least 10% of the NDMF each year should be earmarked for non-structural measures. (Components of non-structural measures in projects consisting of both the kinds of measures may be counted towards this limit).

ii) In a year, not more than 50% of NDMF may be utilized for measures/projects to mitigate risks from a single hazard.

iii) In a year up to 5% of the NDMF may be earmarked for small grants window to support small proposals related to innovation, technology, community leadership, research, studies and learning. The NDMA will devise a mechanism to fund projects from this window.

iv) There will be a lower limit of Rs.10 crore for a mitigation project to be financed from the NDMF for structural measures.

v) Funds available under the NDMF, shall not be used for general environmental improvement or landscape beautification and for funding the existing Government programmes/ ongoing schemes etc.

vi) Mitigation Fund should, generally, not be used for maintenance and upkeep of any structure or engineering measure aimed at mitigation. This fund should be used for developing and implementing new projects. The mitigation measures that have been implemented, should be maintained through other sources of funding.

vii) Resources under Mitigation Fund cannot be used towards establishment expenditure such as salaries, office expenditure etc. to be incurred by the Disaster Management Authorities or other entities, except for payment of remuneration to technical staff included in the projects costs. Such payments will be as per the GFR-2017 and extant Government of India guidelines.

13. **Administrative mechanism to be followed for processing of proposals under NDMF.**

(i) The National Disaster Management Authority (NDMA) will constitute an Appraisal Committee headed by a Member of NDMA with representatives from the Line Departments, State Government concerned and subject matter experts (if required) for technical feasibility/appraisal of proposals received for funding from the NDMF.

(ii) State Government(s) shall submit the projects proposals for which central assistance from NDMF is sought, to MHA. MHA will forward the same to the Appraisal Committee constituted under the chairmanship of Member, NDMA for appraisal of the proposed project.

(iii) Project proposals submitted by the State Government for funding under NDMF should be approved by their State Executive Committee (SEC).

(iv) Central Government Ministries/Departments/Agencies, in consultation with the State Government(s) concerned, shall submit the project proposals for which central assistance from NDMF is sought, to MHA, for forwarding the

same to the Appraisal Committee.

(v) The Appraisal Committee of NDMA will make its recommendations to MHA for placing the same before the Sub-Committee of the National Executive Committee (SC-NEC), as constituted under section 9(1) of DM Act,2005, for consideration.

(vi) The SC-NEC will assess the extent of assistance and expenditure which can be funded from the NDMF and make its recommendations to the High Level committee (HLC).

(vii) Based on the recommendations of SC-NEC, the HLC will approve the quantum of additional assistance to be released from the NDMF.

(viii) The financial assistance from NDMF will be provided to the State Governments on a graded cost–sharing basis as mentioned in para 9.3 &9.4 of these guidelines.

14. High Level Committee(HLC):

HLC will be constituted with Union Home Minister as Chairperson, and Finance Minister, Agriculture Minister, and Vice Chairman, NITI Aayog as Members. The HLC will be serviced by the Disaster Management Division of Ministry of Home Affairs.

15 Release of Funds:

i) Upon the approval of the HLC, Department of Expenditure, Ministry of Finance will release assistance from the NDMF to the States, based on the recommendations of Ministry of Home Affairs.

ii) The Department of Expenditure, Ministry of Finance will maintain NDMF under a separate minor head in Demand No. 40 and will credit to it 20% of the annual allocation of the National Disaster Risk Management Fund (NDRMF).

iii) Assistance will be released from the head "3601-Grants-in-aid to State Governments-07-Finance Commission Grants-105 General (Relief on account of Natural Calamities)-Disaster Management" with equivalent amount shown as recovery from the fund maintained in the Public Account under the head "8235-General and Other Reserve Funds-145 – National Disaster Mitigation Fund. On receipt of funds from NDMF, State Government shall account receipt in concerned major/ minor head and make suitable budget provision on expenditure side under relevant accounting head.

16 Execution of Projects:

The NDMA shall supervise the implementation of Mitigation Project funded from the NDMF. The NDMA can seek progress/performance report on the projects funded through the NDMF by the States and will submit the annual progress report to Ministry of Home Affairs and Ministry of Finance.

17 Accounts and Audit:

i. The detailed accounts of fund shall be maintained by the Controller General of

Accounts through the Chief Controller of Accounts, Ministry of Finance.

ii. The accounts of the NDMF shall be audited annually by the Comptroller & Auditor General in conformity with the NDMF guidelines.

18. Developing a Disaster Database:

NDMA shall develop a disaster database as a special initiative. The database should have disaster assessments, the details of allocations and expenditure and preparedness and mitigation plans. The database of the projects includes all the details related to project components, expenditure, reviews, evaluation and outcome.

19. Outcome Framework:

NDMA shall develop an outcome framework to ensure a greater accountability for allocation and utilization of NDMF/SDMF resources. This framework could be based on achieving the Sendai Framework indicators, which may include reducing mortality, supporting community recovery and resilience and improving the quality and substance of disaster assistance. The set of indicators may be determined by the NDMA.

20. Procurement of Goods and Services:

All procurements required for implementing approved projects shall be made by the Government agencies for implementing the proposal in accordance with the latest General Financial Rules (GFR) and from GeM portal.

21. Other Provisions:

i. Projects taken up from NDMF must have verifiable and measurable outcomes.
ii. Projects earmarked by the XV-FC to be funded from the NDMF during award period 2021-26 shall be sanctioned in such a manner that these can be completed within the award period of the Commission. There shall be no spill over liabilities of the projects sanctioned under NDMF.

22. Savings:

i. In case of any difficulty in interpretation of any of these guidelines, the matter shall be referred to MHA, whose decision shall be final.

ii. MHA, with the concurrence of Department of Expenditure, Ministry of Finance, may amend these guidelines, in such a manner as may be required to facilitate smooth operation of immediate mitigation measures.

iii. MHA is the nodal Ministry for overseeing the operation of NDMF and shall monitor compliance with the prescribed processes. MHA may issue directions/ instructions under the DM Act, 2005 in this regard.

*****

Annexure-I

Year-wise details of funds allocated under National Disaster Risk Management Fund (NDRMF) and 20% share of NDMF as National Disaster Mitigation Fund (NDMF) during 2021-22 to 2025-26

(Rs. in crore)

Year	Total Allocation of NDRMF	NDMF (20% share of NDRMF)
2021-22	12,390.00	2,478.00
2022-23	13,010.00	2,602.00
2023-24	13,660.00	2,732.00
2024-25	14,343.00	2,869.00
2025-26	15,060.00	3,012.00
Total	68,463.00	13,693.00

Projects earmarked by the XV-FC to be funded from the NDMF from the financial years 2021-22 to 2025-26

a) Catalytic Assistance to Twelve Most Drought-prone States for preparing District-level Drought Mitigation Plan :

XV-FC has recommended an allocation of Rs. 100 crore each from NDMF to twelve most drought affected State (Andhra Pradesh, Bihar, Gujarat, Jharkhand, Karnataka, Madhya Pradesh, Maharashtra, Odisha, Rajasthan, Tamil Nadu, Telangana, and Uttar Pradesh) for 5 years from 2021-22 to 2025-26 (aggregating to Rs. 1200 crore) in order to develop district level drought mitigation plans to address the challenges posed by successive droughts.

Allocation to Drought-prone States for Drought Mitigation

(Rs. in crore)

Sl No	State	Total Allocation (2021-26)
1.	Andhra Pradesh	100
2.	Bihar	100
3.	Gujarat	100
4.	Jharkhand	100
5.	Karnataka	100
6.	Madhya Pradesh	100
7.	Maharashtra	100
8.	Odisha	100
9.	Rajasthan	100
10.	Tamil Nadu	100
11.	Telangana	100
12.	Uttar Pradesh	100
	Total	**1200**

b) Managing Seismic and Landslide Risks in Ten Hill States:

XV-FC recommended an allocation of Rs. 750 crore for Ten Hill States to undertake a mitigation programme to address earthquake and landslide risks from 2021-22 to 2025-26. It includes an allocation of Rs. 250 crore each to Himachal Pradesh and Uttarakhand (at the rate of Rs. 50 crore per year), and Rs. 250 crore for all the States in the north-east (Assam, Arunachal Pradesh, Mizoram, Meghalaya, Manipur, Nagaland, Sikkim and Tripura)

Allocation for Managing Seismic and Landslide risks in Hill States

(Rs. in crore)

Sl No	State	Annual Allocation	Total Allocation (2021-26)
1.	Himachal Pradesh	50	250
2.	Uttarakhand	50	250
3.	All North-Eastern State		250
	Total		**750**

c) **Reducing the Risk of Urban Flooding in Seven Most Populous Cities:**

XV-FC have recommended an allocation of Rs. 2500 crore from 2021-22 to 2025- 26 from the NDMF to enable cities with a population of more than five million (Mumbai, Chennai, Kolkata, Bengaluru, Hyderabad, Ahmedabad and Pune) to prepare integrated solutions for flood management, in view of the regular incidence of flooding and heavy losses. Out of Rs. 2500 crore, the Commission has allocated Rs. 1500 crore [@Rs 100 crore per year for each of the three metros (Mumbai, Chennai and Kolkata)] and of Rs 1000 crore [@ Rs 50 crore per year for each of the four other cities (Bengaluru, Hyderabad, Ahmedabad and Pune)].

Allocation to Cities for Reducing the Risk of Urban Flooding

(Rs. in crore)

Sl No	State	Annual Allocation	Total Allocation (2021-26)
1.	Mumbai	100	500
2.	Chennai	100	500
3.	Kolkata	100	500
4.	Bengaluru	50	250
5.	Hyderabad	50	250
6.	Ahmedabad	50	250
7.	Pune	50	250
	Total	**500**	**2500**

d) **Mitigation Measures to Prevent Erosion:** In order to mitigate the risk of erosion, XV-FC has recommended an allocation of Rs. 1500 crore from the NDMF for the period 2021-22 to 2025-26. States would need to apply for these funds for undertaking erosion mitigation works.

Note: There may be flexibility in the year-to-year allocation of funds to the States.

*****

Ministry of Home Affairs
Disaster Management Division

Guidelines on Constitution and Administration of Preparedness and Capacity Building Funding Window under National Disaster Response Fund (NDRF) and State Disaster Response Fund (SDRF):

Introduction:

1. XV Finance Commission (XV-FC) has recommended an allocation of 12.5 per cent of each of the National Disaster Response Fund (NDRF) and State Disaster Response Fund (SDRF) [*10% of the total corpus of National Disaster Risk Management Fund (NDRMF) and State Disaster Risk Management Fund (SDRMF)*] for the Funding Window of Preparedness and Capacity-Building for the Financial Year 2020-21.

2. The guidelines are issued in pursuance of recommendations of XV-FC and subsequent guidelines regarding extension of validity of existing guidelines and norms of SDRF, issued by Ministry of Home Affairs (MHA) Communication No 33-05/2020-NDM-I dated 09.04.2020.

Period of Operation:

3. These guidelines will be operative from financial year 2020-21 and will continue till further orders.

Preparedness and Capacity Building Measures:

4. As per Section 2 (m) of the Disaster Management (DM) Act, 2005, preparedness is the "state of readiness to deal with a threatening disaster situation or disaster and the effects thereof."

5. Preparedness action is carried out within the context of disaster risk management and aims to build the capacities needed to efficiently manage all types of emergencies and achieve orderly transitions from response to sustained recovery.

6. As per Section 2 (b) of the DM Act, 2005, Capacity Building includes-

- Identification of existing resources and resources to be acquired or created;
- Acquiring or creating resources identified under above sub-clause;
- Organization and training of personnel and coordination of such training for effective management of disasters.

7. Capacity building entails all the four phases of Disaster Management (DM) Cycle viz. Preparedness, Response, Recovery & Reconstruction and Mitigation as illustrated in *Figure 1*:

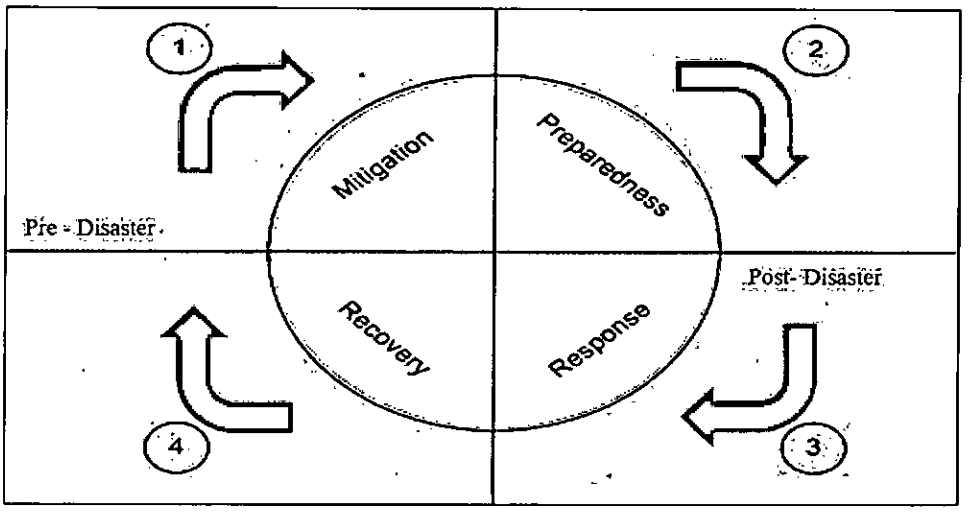


Figure 1 Disaster Management Cycle

8. There is a need to develop capacities at national, state, district and community levels in all the phases of DM cycle.

9. Government of India (GoI) along with 187 countries has adopted the Sendai Framework for Disaster Risk Reduction (SFDRR) 2015-2030, which, emphasizes the

need for enhancing technical, financial, and administrative capabilities of institutions, governments, and communities to deal with the identified risks at different levels, to participate effectively in managing disaster risk.

10. DM Act, 2005 empowers National, State and District Disaster Management Authorities to take measures for the prevention of disasters, or the mitigation, or preparedness and capacity dealing with the threatening disaster situation or disasters. These responsibilities need to be shared with several other agencies such as National and State Disaster Response Forces, Fire Services, Civil Defence and community volunteers.

11. These guidelines are pertaining to a funding window that covers both Preparedness and Capacity Building. While *Preparedness* is one aspect of capacity development as depicted in Figure 1, *Capacity Building* cuts across all the phases of disaster management cycles.

12. Along with the funding window for Preparedness and Capacity Building, the XV-FC has recommended similar windows for Response, Recovery and Reconstruction, and Mitigation. For all the four funding windows, separate guidelines will apply. These guidelines complement each other, while ensuring that there is no overlap among them.

Scope of Preparedness and Capacity Building Funding Window under NDRF / SDRF

13. As recommended by XV-FC:-

- At Central level, this funding window shall be created within the NDRF and will be utilized towards preparedness and capacity building of national agencies like National Institute of Disaster Management (NIDM), etc.

- At State level, this funding window shall be exclusively utilized for preparedness and capacity building of State Disaster Management Authorities (SDMAs), State Institutes of Disaster Management (SIDM), training and capacity-

building activities, purchase of emergency equipment and emergency response facilities.

14. At District level, State Government may allocate appropriate resources from funding window of SDRF and frame guidelines for the utilization from the Preparedness and Capacity Building funding window. This funding window may be used for local level and community based interventions towards preparedness and capacity building.

15. The Preparedness and Capacity Building funding window will support and provide fund to the following types of projects at the National and State levels:

a) Projects which are of National/ State-level significance & hazard-specific significance.
b) Projects which are to strengthen Early Warning systems, preparedness and response mechanisms across the states.
c) Projects which are to promote disaster awareness, education, research and use of technologies.
d) Preparedness and capacity Building of Response Forces and Institutions at National and State level.

The projects undertaken must have verifiable and measurable outcomes. *An indicative list of Activities under Preparedness and Capacity-Building funding window is given at Annexure-I.*

16. Exceptions for the list of activities are as under:-

(i) Resources under Preparedness and Capacity Building funding window cannot be used towards establishment expenditure such as salaries, office expenditure, etc. to be incurred by the Disaster Management Authorities or other entities.

(ii) The Areas where domain knowledge is established with other areas will not be taken up for new projects.

(iii) Any preparedness and capacity building project/intervention which has ramifications/involvements or has in any way linkage with a bordering country will not be taken up under Preparedness and Capacity Building funding window. Such projects shall continue to be perused through regular line departments under regular departmental schemes.

(iv) Preparedness and Capacity Building funding window should not be used to support construction-based projects and procurement of large / heavy equipment. Further, this funding window should also not be used for maintenance and upkeep of any structure or engineering measure aimed at mitigation.

(v) Preparedness and Capacity Building funding window should not become a source of funding for existing government programmes / ongoing schemes etc.

(vi) Preparedness and Capacity Building funding window must have a predominant focus on multi-hazard preparedness and capacity development and should not be used for general environmental improvement, plantations, afforestation or landscape beautification without a clear, logical and direct linkage to hazards.

Resource Allocation and Earmarking of funds from NDRF / SDRF

17. The aggregate size of the Preparedness and Capacity Building funding window for each of the financial years commencing from 2020-21 would be as recommended by XV-FC. For the year 2020-21, an amount of Rs 1,239 Crore under NDRF and Rs. 2,898 Crore under SDRF (i.e. 12.5 % of total allocation of respective funds) are allocated.

18. To ensure balanced utilization of the allocation under the Preparedness and Capacity Building funding window, following limits are to be followed:

(i) As recommended in XV-FC funding window from NDRF, in the year 2020-21 will be covering the priority of expanding and modernization of fire services [Rs. 1,000 crore to be allocated for strengthening fire services at the State level].

(ii) Funding window from NDRF will be utilized towards preparedness and capacity-building of national agencies like National Disaster Management Authority (NDMA) / NIDM, National Disaster Response Force etc.

(iii) Under NDRF and SDRF, in a year, not more than 50% of this funding window will be utilized for preparedness & capacity building measures / projects for a single hazard.

(iv) NDMA and SDMA may earmark upto 5% of funding window of NDRF and SDRF respectively for Small Grants. The Small Grants Facility can support small proposals related to innovation, technology, community preparedness, education & research studies and learning being promoted by specialized central and state agencies. NDMA / SDMAs will devise a mechanism to fund projects from this window.

(v) The Central Government entities will apply from the funding window of NDRF. These Central Government entities, however, will not apply for fund at the State and District level from the funding window of SDRF.

(vi) The State Government entities will apply for funds from the funding window of SDRF. In case any state exhausted its funding window of SDRF in a particular year and require more funds for such activities, it will

submit its request for additional allocation from Preparedness and Capacity Building funding window of NDRF.

(vii) Upper Limit of cost for a single preparedness and capacity building programme may be finalized by NDMA and SDMAs based on their respective allocation of funds.

(viii) All preparedness and capacity building activities would need to be undertaken and completed within the time-frame as specified in the approved proposal. Cost and time-frame for such proposals should ideally not be revised barring some exceptional circumstances.

Implementing Partners

19. Following agencies / entities may act as Implementing Partners for Preparedness and Capacity Building funding window:

For NDRF:

i) National Disaster Management Authority (NDMA) and National Institute of Disaster Management (NIDM),
ii) First Responder Organizations within the Central Government such as National Disaster Response Force, Fire Services and Civil Defence
iii) Ministries / Departments /Institutions within the Central Government
iv) Central Research and Academic institutions with established credentials in Disaster Management
v) Government supported Organizations e.g. Bharat Scouts & Guides, National Cadet Corps (NCC), National Social Service (NSS) and National Yuva Kendra Sangathan (NYKS)

For SDRF:

i) State Disaster Management Authorities (SDMAs)

ii) District Disaster Management Authorities (DDMAs)

iii) First Responder Organizations within the State Governments such as State Disaster Response Force, Fire Services and Civil Defence

iv) Ministries / Departments /Institutions within the State Government

v) State Research and Academic institutions with established credentials in Disaster Management

vi) State Government supported Organizations e.g. Bharat Scouts & Guides, NCC, NSS & NYKS.

vii) Urban Local Governments/ Zilla Parishad / Gram Panchayats

Perspective Action Plan

20. The Disaster Management Authorities (DMAs) at all levels need to develop a Perspective Plan for preparedness and capacity building by identifying annual / rolling plan, medium-term and long-term plan activities on lines of the National Disaster Management Plan (NDMP), State Disaster Management Plans (SDMPs) and District Disaster Management Plans (DDMPs). These plans will specify those resources, equipment, and facilities which the DMAs must strengthen to deal with various disasters.

21. These Perspective Plans need to be reviewed annually for their effectiveness. Necessary changes could be made in the Plan to reflect new activities in light of any disaster response experience.

Mechanism for processing of funding proposals

22. For National Level projects under NDRF following mechanism will be adopted:-

A. National Disaster Management Authority:-

i) A Committee, headed by a Member of NDMA on preparedness and capacity building projects, shall appraise the proposed interventions/ proposals to be funded from Preparedness and Capacity Building funding window, as per procedure to be laid down by NDMA. The committee will have representation from line Ministries and subject experts for appraisal of the proposal.

ii) After appraisal, the Committee shall make recommendations to the MHA for placing it before the Appropriate Authority.

iii) NDMA shall supervise and monitor the implementation of the preparedness and capacity building projects and in this process can seek progress / performance reports from the Implementing Partners. NDMA shall submit progress report to MHA and Department of Expenditure.

iv) In case of any shortfall in the progress of the preparedness and capacity building project, NDMA may take special measures, if required, for smooth and timely implementation of the project.

v) NDMA, if required, may engage technical personnel to provide necessary technical assistance and other assistance required by implementing partners, if any, in appraisal / implementation of any state-specific preparedness and capacity building projects.

B. Ministry of Home Affairs (Disaster Management Division):-

i) On receipt of the recommendations from the Committee of NDMA, all proposals will be placed before the Sub Committee-National Executive Committee (SC-NEC). SC-NEC will have the power to approve proposals up to Rs. 100 Crore.

ii) Proposals above Rs. 100 Crores will be placed before High Level Committee (HLC) along with the recommendations of SC-NEC. The HLC will approve the proposals for undertaking Preparedness and Capacity Building activities.

iii) MHA, on approval by SC-NEC / HLC, shall recommend to the Department of Expenditure, Ministry of Finance for release of funds from NDRF to the Implementing Partners.

C. Release of Funds

On the recommendations of the MHA, Pay and Accounts office, Department of Expenditure, Ministry of Finance will release grants to State Governments / Implementing Partners from the earmarked allocation for Preparedness and

Capacity Buildings funding window of NDRF for such project. Procedure as in vogue for the release of funds under NDRF shall apply to Preparedness and Capacity Building funding window also.

23. For State Level projects under SDRF following mechanism will be adopted:-

A. State Disaster Management Authority (SDMA):-

(i) A Committee of SDMA on preparedness and capacity building projects shall appraise the proposed interventions/ proposals to be funded from SDRF as per procedure to be laid down by NDMA. The committee will have representation from line Ministries and subject experts for appraisal of the proposal.

(ii) After appraisal, the Committee shall make recommendations to the State Government for sanction of the project by the State Executive Committee (SEC).

(iii) SDMA shall assist and provide technical advice to the State Government /Line Ministries/Departments from conceptualization to completion of the preparedness and capacity building proposals under SDRF.

(iv) SDMA shall supervise and monitor the Preparedness and capacity building projects/works and submit completion certificate as well as actual benefits achieved from it including population benefitted/ nature of risks reduced/impact analysis etc. to State Government and NDMA.

B. State Executive Committee (SEC):-

(i) SEC constituted by the State Government as per provision of section 20 of the DM Act, 2005 will decide on all matters connected with the administration of Preparedness and capacity building funding window in accordance with the prescribed norms and financing of the preparedness and capacity building project from SDRF.

(ii) On receipt of the recommendations of the Committee of SDMA, the proposal shall be placed before the SEC to consider and, if found feasible, sanction the proposal for the release of funds with or without any modification.

(iii) SEC shall ensure that the money drawn from SDRF is actually utilized for the purpose for which the resource under Preparedness and Capacity Building Funding Window has been allocated.

C. Release of funds:-

Upon sanctioned by the SEC, funds will be released to the Implementing Partners from the earmarked allocation for Preparedness and Capacity Building funding window of SDRF for such projects. Procedure as in vogue for the release of funds under SDRF shall apply to Preparedness and Capacity Building funding window also.

Supervision of Projects

24. NDMA and SDMA shall be responsible for overall supervision for execution of all preparedness and capacity building projects initiated from the NDRF and SDRF respectively.

Disbursements

25. After the project is approved, the funds would be disbursed in the installments as specified in the proposal. The disbursement of funds would be linked to the deliverables and Utilization Certificates.

Procurement

26. All the procurements made by government agencies for implementing the proposal would be in accordance with the General Financial Rules (GFR). The implementing agencies would ensure that the project is implemented in a fair and transparent manner. In the entire implementation process, the DMAs need to ensure that there is no conflict of interest. Appropriate GFR will be followed by States and Government supported Organizations.

Project Database

27. All the project-related processes would be digitized. NDMA will maintain a national portal of all the preparedness and capacity-building projects that have been implemented through the NDRF / SDRF.

Release, Accounting and other procedures

28. The detailed funding pattern, release of funds, investment of funds, accounting & auditing procedures, progress monitoring, savings and cost of maintenance / implementation etc. in respect of the projects initiated under Preparedness and Capacity Building Funding Window would be same, as envisaged in the primary guidelines issued by MHA on NDRF / SDRF for such purposes. The composition of HLC and SC-NEC will also be same as envisaged in the primary guidelines issued by MHA for NDRF / SDRF.

Interpretation and Amendment

29. In case of any difficulty in interpretation of any of these guidelines, the matter shall be referred to the Disaster Management Division, MHA whose decision shall be final. Any amendment in this guideline will be issued by MHA in consultation with Department of Expenditure, Ministry of Finance.

****

ANNEXURE-I

Preparedness and capacity-building is an important area of Disaster Management Cycle, and includes a wide range of activities. While developing proposals and programmes through this funding window, the indicative activities listed herewith would provide a useful reference.

(1) Improving capacities for Multi- Hazard Early Warning systems:

(i) Detection, monitoring, analysis, forecasting and warning of the hazards and possible consequences
(ii) Dissemination and communication, for timely, accurate and actionable warnings and associated information
(iii) Mechanisms and capacities at all levels to respond to the warnings received.

(2) Preparedness for Response:

(i) Search & Rescue Capacities

(a) Training and equipping of responding teams to respond in various hazards and emergencies as well as to serve at-risk communities and people with special needs and to respond to the livestock
(b) Arrangement of resources and essential equipment for mobility and protection of the responding teams in saving lives and properties
(c) Resource-sharing arrangements with volunteer networks and private entities
(d) Maintenance of Digital inventory of equipment and resources.

(ii) Specialized Response Teams

(a) Strengthening of National Disaster Response Force and State Disaster Response Force
(b) Training and equipping of Fire Services, Civil Defence, and community volunteers at all levels including specialized training to first responder
(c) Setting up, training and equipping of Village Task Force for dissemination of early warning, first aid, evacuation, shelter management etc.

(iii) Strengthening of Emergency Operations Centre (EOC)

(a) Strengthening, equipping and maintenance of EOCs at the national, state and district levels with requisite facilities along with the latest technologies to enable situation awareness, deployment of teams, command and monitoring

(iv) Emergency Communication Network -Supporting the Emergency Communication Networks at National, State and district level for improved response, dissemination of messages to the people, and outreach to the remote locations

(v) Conducting mock drill, exercise at regular interval.

(3) Risk Management Planning:

(i) Training and capacity building activities for preparation of DM Plans at different levels
(ii) Training and capacity building on Hazard Risk and Vulnerability at all level
(ii) Training & Capacity Building for Preparation of Hazard-specific Contingency Plans and Standard Operating Procedures
(iii) Training & Capacity Building for preparation of preparedness plans for protecting physical and critical Infrastructure such as hospitals, schools etc. in the partnership of the concerned departments
(iv) Develop partnerships with critical infrastructure agencies to improve safety of their assets and operations
(v) Training and capacity building for preparation of Preparedness Plans to support the socially marginalized groups, people with disabilities, elderly etc. which can be utilized in case of emergency response
(vi) Training & Capacity Building for preparing different types of Plans that may encompass the followings:

(a) Continuity Planning for all key Public Offices;
(b) Simulation Planning, Tabletop Exercises, Mock Drills & Joint Exercises;
(c) Setting up and strengthening of Partnerships and Coordination Platforms with NGOs/ CSOs.

(4) Disaster Databases:

(i) Development and maintenance of databases on Hazard, Vulnerability and Exposure from local to national level based on various aspects of disasters: mortality, damage, loss, and disaster assistance
(ii) Maintenance of national online databases such as India Disaster Resource Network (IDRN) and National Disaster Management Information system (NDMIS)
(iii) GIS-based Decision Support Systems, related to disasters.

(5) Capacity Building Trainings:

(i) Training Government functionaries, PRIs, Urban Local Bodies, Public Representatives and Experts in Disaster Management
(ii) Training for developing community based Disaster Risk Reduction (DRR) systems for their specific needs in view of the regional diversities and multi-hazard vulnerabilities
(iv) Training to increase capacity for local risk and vulnerability analysis.

(v) Training Police/ Civil Defence/ Home Guards/ NSS/ NCC /NYKS / Bharat Scouts & Guide in Disaster Management
(vi) Skill Development - training of masons and other artisans for disaster resilient construction and retrofitting
(vii) Training on CBDRR and preparedness at local levels
(viii) Training and sensitization programmes at different levels of governance
(ix) Training and sensitization programmes for health care workers, youth organizations, school children, etc
(x) Training Community Volunteers as First Responders and Capacity-building Support to Local Governments and Communities
(xi) Trainings to Assessment teams
(xii) Training for psycho-social support for the disaster-affected people as well as frontline workers *(NDMA has already prepared a guideline on this subject which is available on its website - www.ndma.gov.in)*

6 Awareness Generation and development of IEC material

(i) Awareness generation and Information, Education and Communication activities to support disaster management
(ii) Website development of dissemination of awareness generation and IEC activities
(iii) Curriculum development for schools and educational institutions
(iv) DM related curriculum development by NIDM and its state counterparts.

Template for Project proposal

	Name of the Project			
	Fund			
	For Official Use			
	Project Code		Project Assigned to	

1	**Applicant Details**			
1.1	Name of the Applicant Department/ Organisation			
1.2	Type of Organisation (Government / Academic/Research Institutions / Others)			
1.3	Address			
1.4	State			
1.5	District			
1.6	City			
1.7	Pin-Code			
1.8	Project - Point of Contact			
1.9	Name	Designation	Phone number	Email
1.9.1				
1.9.2				
1.9.3				
1.9.5				

2	**Organization Profile**	
2.1	Legal Status of Organization	
2.2	Nature of business in India	
2.3	Date of Incorporation	

2.4	Registrar of Companies - Reference No/	
2.5	Address of the Headquarters	
2.6	Address of the Registered Office in India	
2.7	Any other relevant information	

3	**Past Project Implementation Experience** (Information of 3 projects of similar nature or scale in the last 5 years) (separate information for each of the project in the format given below)	
3.1	Project Name	
3.1.1	Name of Client	
3.1.2	Name of the person who can be referred to from Clients' side, with name, designation, postal address, contact phone, e-mail id,	
3.1.3	Scope of the Project	
3.1.4	Project Value in INR	
3.1.5	Project Starting date	

4	**Project Overview of the proposed project**	
4.1	Project Title	
4.2	State	
4.3	Hazard	
4.4	Hazard Profile of Area Proposed(200 words max)	Guiding Question What is the history of the hazard in the region? What has been the impact on the life, livelihood and economy of the region
4.5	Project Rationale (200 words max)	
4.6	Project Description (500 words max)	
4.7	Project Objective	
4.8	Project Goals	
4.9	Project Activities	
4.10	Project Partners	

4.11	Impact Indicators			
4.12	Proposed Human Resource			
4.12.1	Area of Expertise	Number of Resources (Part-time)	Number of Resource (Full time)	
4.12.1.1				
4.12.1.2				
4.12.1.3				
4.13	Approximate project Duration (In Months)			
4.14	Approximate Budget (INR in Lakhs) Detailed head-wise budget along with justification may be attached in Annexure			

5	**Document Checklist (As applicable)**	
5.1	Cover Letter / Endorsement	
5.2	Certificate of Registration / Incorporation	
5.3	Copy of PAN	
5.4	Copy of GST	
5.5	Company Profile with Contact details	
5.6	Audited financial statements for the last three financial years;	
5.7	Supporting Documents for Project Implementation Experience (Relevant documents (MoU, Contract Documents etc, Work order + Completion certificate OR Self Certificate of Completion(Certified by Statutory Auditor) OR Phase Completion Certificate (for ongoing projects from the Client)I issued by the Client/ Donor/	
5.8	Expression of Interest for Partnerships	

PROJECT TITLE :

Task	Short Title/Description	Objectives	Sub-Tasks		Outcome	Indicators
I			1.1			
			1.2			
			1.3			

Timeline

Task	Sub Task	Monthly Timeline																					
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	1.1																								
	1.2																								
	1.3																								

सिंचाई विभाग	**1. एडवांस पूर्व चेतावनी और पूर्वानुमान प्रणाली** सहयोगी संस्थान- मौसम विभाग नई दिल्ली, केन्द्रीय जल आयोग,RSAC, NRSC, ISRO **योजना के प्रमुख बिन्दु:-** ❖ एडवांस्ड डैशबोर्ड ❖ वर्षा के आंकडों की सुगम उपलब्धता ❖ मैप्ड मॉडलिंग ❖ एडवांस्ड एनालिटिक्स सिस्टम ❖ एक्सटेन्डेड मैप ❖ वार्निंग डिसैमिनेशन ❖ बाढ़ सुरक्षा उपाय (जल निकासी, जल चौनल, पानी का सुरक्षित उपयोग, जल दक्षता) **2. स्वचालित नदी प्रवाह गेजिंग और जलाशय निगरानी प्रणाली (आवाह, बहिर्वाह स्तर) की स्थापना** • बांधों से पानी के निर्वहन के लिए पूर्वानुमान मॉडल विकसित करना • तटबंध का सुदृढ़ीकरण • तटबंध/बांध सुरक्षा उपायों में वृद्धि और संपूर्ण प्रारंभिक चेतावनी प्रणाली के साथ एकीकरण **3. One-stop solution for Flood and Drought management** **सहयोगी संस्थान-** मौसम विभाग, केन्द्रीय जल आयोग, सिंचाई, ग्राउन्ड वाटर विभाग, रिमोट सेन्सिंग, **योजना के प्रमुख बिन्दु:-** • मौसम का पूर्वानुमान उपलब्ध कराना। • प्रमुख बांधों/रिजर्व वायर में उपलब्ध जल स्तर एवं मात्रा की डैशबोर्ड के माध्यम से सूचना उपलब्ध कराना • वर्षा के आंकड़ों को डैशबोर्ड के माध्यम से उपलब्ध कराना • मिट्टी में उपलब्ध नमी की मात्रा को उपलब्ध कराना • भूमिगत जल स्तर की मात्रा को उपलब्ध कराना • प्रमुख बांधों/ रेजेरवॉइर के छोड़े जाने वाले पानी के आँकड़े तथा उससे संभावित फ्लड इननडेशन वाले क्षेत्र का अनुमान उपलब्ध कराना • नियमित गाद की स्थिति को उपलब्ध कराना **4. वाटरशेड प्रबंधन कार्यक्रम और वर्षा संचयन प्रौद्योगिकी का विकास** **5.** Develop forecasting models for discharge of water from dams. **6.** 1. फ्लड प्लेन ज़ोनिंग और फ्लड इननडेशन मैनेजमेंट के लिए

	रेगुलेटरी फ्रेमवर्क 2. आर.सी.सी पॉर्क्यूपाइन तकनीक 3. प्रमुख बांधों के लिए संचालन नियमावली की समीक्षा और अद्यतनीकरण
लघु सिंचाई	**1. प्रदेश के समस्त स्थानीय जलाशयों/ तलाबों/बावडियों एवं सिचाई हेतु उपयोग होने वाले नलकूपों का अनलाइन मोनीटरिंग** **सहयोगी संस्थान-** मौसम विभाग, सिंचाई, ग्राउन्ड वाटर विभाग, रिमोट सेन्सिंग, **योजना के प्रमुख बिन्दुः-** • जलाशयों/ तलाबों/बावडियों एवं सिचाई हेतु उपयोग होने वाले नलकूपों का रखरखाव एवं उनके जिओ टैगिंग करना • जलाशयों/तालाबों/बावडियों में उपलब्ध जलस्तर का डाटा इन्टीग्रेटेड डैशबोर्ड पर उपलब्ध कराना • सूख रहे जलाशयों/तालाबों/बावडियों का डाटा उपलब्ध कराने के साथ-साथ उनको पुनर्जीवित करने के सुझाव उपलब्ध कराना • जलाशयों/तालाबों/बावडियों में डूबने से होने वाली घटनाओं की रोकथाम हेतु जलाशयों के चारों ओर फ्रैन्सिंग/सीढियों का निर्माण/चबूतरे का निर्माण
चिकित्सा	**1. एडवांस्ड डिसीज सर्विलांस तथा डिजास्टर रिस्क एनालिस्टिक** **सहयोगी संस्थान-** चिकित्सा विभाग, रिमोट सेन्सिंग **योजना के प्रमुख बिन्दुः-** • एडवांस्ड डैशबोर्ड का विकास करना • डिसीज सर्विलांस डाटा को सुगम तरीके से आम जन-मानस को उपलब्ध कराना • प्रत्येक सरकारी व गैर सरकारी अस्पताल/पी.एच.सी./सी.एच.सी. को जियो टैग करना तथा वहां उपलब्ध सुविधाओं यथा उपचार की तकनीकी/मशीनरी, बेडों की संख्या, उपलब्ध स्टॉफ आदि की सूचना को ONE STOP SOLUTION के माध्यम से इन्टीग्रेटेड डैशबोर्ड पर उपलब्ध कराना • विभिन्न प्रकार की बीमारियों एवं आपात स्थिति में की जाने वाली कार्यवाही आदि की सूचना उपलब्ध कराना • सूचनाओं का विस्तृत विवरण राज्य स्तर जिला स्तर के साथ. साथ आम जनमानस को उपलब्ध हो सकें **2. चिकित्सा विभाग के आपदा संवेदनशील निर्माणों का स्ट्रक्चरल ऑडिट**

	• एक्सपर्ट एजेंसी से निर्माणों का स्ट्रक्चरल ऑडिट कराना तथा अतिसंवेदनशील संरचनाओं का स्थानान्तरण/रेट्रोफिटिंग करना **3. सड़क दुर्घटनाओं के लिए क्विक मोबाइल रेस्पॉन्स टीम (क्यू.एम्.आर.टी) का विकास**
लोक निर्माण	**प्राइवेट व पब्लिक सेक्टर की संरचाओं का ऑनलाइन पंजीकरण** ✓ पंजीकरण के आधार पर संरचनाओं का समस्त डाटा उपलब्ध कराना यथा ○ संरचना के बनने की दिनांक, ○ कुल क्षेत्रफल जिसमें भवन का निर्माण किया गया है, ○ संरचना की समुद्र तल से ऊँचाई, ○ किस सेस्मिकजोन में आता है इत्यादि की जानकारी, ○ आस-पास के मौजूदा खतरों की जानकारी, ○ संरचना के क्षेत्र की लैण्डयूज पैटर्न की जानकारी तथा भविष्य बनाये जाने वाले निर्माणों के लिए सुझाव उपलब्ध कराने हेतु पोर्टल का विकास। ✓ Structural safety audit of all critical lifeline structures
गृह/अग्निशमन	• सभी पुलिस कर्मियों के लिए हर वर्ष फर्स्ट एड की ट्रेनिंग का आयोजन • राज्य में अग्निकांड जैसी आपदाओं से निपटने के लिए हॉटस्पॉट क्षेत्रों का चिन्हीकरण कर जियों टैगिंग • अग्निकांड की घटनाओं को त्वरित निस्तारित करने के लिए इंटीग्रेटड कंमाड कन्ट्रोल MIS का निर्माण, • त्वरित रिस्पान्स हेतु विभाग का क्षमता निर्माण • Training Police/ Civil Defence/ Home Guards/ NSS/ NCC /NYKS / Bharat Scouts & Guide in Disaster Management • Training and sensitization programmes • Training for psycho-social support for the disaster-affected people
आवास और शहरी नियोजन	• सिटी डेवलेपमेंट प्लान को डिजास्टर रेजीलिएंस के आधार पर विकास करना • असुरक्षित निर्माणों क्षतिग्रस्त ढांचे एवं निर्माण हेतु सुरक्षित क्षेत्रों एवं दिशा निर्देशों की सुगम उपलब्धता के लिए MIS का विकास • मौसम संबंधी महत्वपूर्ण चेतावनियों (वर्षा की चेतावनी, आंधी तूफान आकाशीय विद्युत भूकम्प आदि को प्राप्त कर शहरी क्षेत्र में रह रहें निवासियों को उपलब्ध कराने हेतु अर्ली वार्निंग प्रणाली की परियोजना का विकास • आपदा रोधक संरचना - बाढ़ नियंत्रण के लिए शहरी बस्तियों में मौजूदा स्टॉर्म वाटर और जल निकासी प्रणालियों को नया स्वरूप

	देना • सेमि-अर्बन, पेरि-अर्बन और स्लम क्षेत्रों को आपदा से सुरक्षित करना • सुरक्षित विक्रेता क्षेत्र की पहचान • स्लम कल्याण • शहरी जल निकायों का संरक्षण • सभी महत्वपूर्ण लाइफ लाइन संरचनाओं की संरचनात्मक सुरक्षा जांच करना
पंचायतीराज	• पंचायत स्तर पर क्लाइमेट चेंज, डिजास्टर रिस्क रिडक्शन आदि जैसे महत्वपूर्ण विषयों पर प्रशिक्षण देने हेतु कार्ययोजना का विकास • आपदा रोधक संरक्षणा (क्षमता निर्माण, पुराने भवनों की रेट्रोफिटिंग, नवीनतम मानकों का पालन करते हुए नए भवनों का निर्माण) • जारी दिशा-निर्देशों का पालन करते हुए जोखिम-सूचित जी.पी.डी.पी का विकास • आपदाओं से संवेदनशील गांवों/बस्तियों में बहुउद्देश्यीय आश्रयों का निर्माण • मनरेगा आदि कार्यक्रमों के माध्यम से बाढ़ प्रतिरोधी निर्माण के लिए स्थलों का मानचित्रण
पशुपालन/डेयरी विकास	• आपदा रोधक पशुपालन प्रथाओं पर क्षमता निर्माण • आजीविका क्लस्टर विकास • टीकाकरण के लिए जागरूकता कार्यक्रम
शिक्षा (बेसिक, मध्य और उच्च)	• डिसास्टर रिस्क रिडक्शन पर पाठ्यक्रम का विकास • जोखिम के प्रति संवेदनशील होने के लिए निगरानी संकेतकों का संशोधन • आपदा रोधक संरचना (सुरक्षित और हरित विद्यालय) • मौजूदा दिशानिर्देशों की समीक्षा • आपदा प्रबंधन योजनाओं के लिए क्षमता निर्माण • Training to increase capacity for risk and vulnerability analysis
ग्रामीण विकास	• DRR पर एस.आर.एल.एम की क्षमता निर्माण • सुरक्षित निर्माण पर ग्रामीण राजमिस्त्रियों का क्षमता निर्माण • ग्रामीण आवासों में कम लागत वाली बाढ़ प्रतिरोधी प्रौद्योगिकी को बढ़ावा देना • सभी महत्वपूर्ण जीवन रेखा संरचनाओं की संरचनात्मक सुरक्षा लेखा परीक्षा
उत्तर प्रदेश जल निगम	• चेक डैम/बैराज/डायवर्सन नहरों और जल संचयन संरचनाओं के निर्माण के लिए उपयुक्त स्थलों का मानचित्रण
प्रशासनिक	• डी.आर.आर, Sendai framework पर राज्य प्रशासनिक

सुधार	अधिकारियों की क्षमता निर्माण
परिवहन विभाग	• सड़क, रेल और हवाई सेवाओं के बीच समन्वय करके L2 और L3 आपदाओं के दौरान क्रिटिकल पॉइंट्स का मानचित्रण करना • सुरक्षित यातायात नियमों की जानकारी आम जन-मानस तक पहुँचाने हेतु मॉड्यूल तैयार करना पर ड्राइवरों को संवेदनशील बनाना • पेट्रोल पंप संघों के साथ समन्वय • आपदा से बचाव हेतु जन जागरूकता के लिए सड़कों पर वार्निंग संकेत
पिछड़ा कल्याण	• जागरूकता पैदा करना और बीमा और अन्य सामाजिक सुरक्षा योजनाओं के पहुंच में सुधार करना
लोक निर्माण कार्य	• आपदा रोधक संरचना (आल वेदर रोड्स) • जोखिम-स्थलों का मानचित्रण • सुरक्षा साइनेज़ • जन जागरूकता बढ़ाना • सार्वजनिक कार्यों के सुरक्षित निर्माण के लिए दिशा-निर्देशों का विकास • सभी महत्वपूर्ण जीवन रेखा संरचनाओं की संरचनात्मक सुरक्षा लेखा परीक्षा
युवा कल्याण	• DRR पर युवाओं का क्षमता निर्माण