

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*:

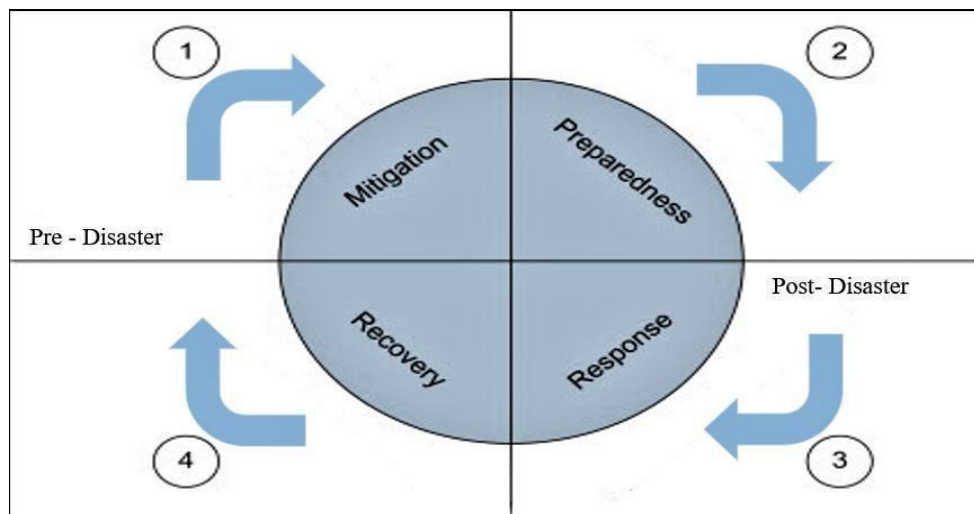


Figure 1 Disaster Management Cycle

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 / SDMA 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 SDMA 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.

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																								

