

Operations Manual

National Cyclone Risk Mitigation Project (NCRMP)

National Disaster Management Authority

Dated: 23rd July 2010

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Abbreviations

AG	Accountant General
APL	Adaptable Program Loan
BDO	Block Development Officer
BGAN	Broadband Global Area Network
BME	Benefit Monitoring and Evaluation
BSNL	Bharat Sanchar Nigam Limited
CAG	Comptroller & Auditor General of India
CAAA	Controller of Aid Accounts and Audit
CAP	Common Alerting Protocol
CSS	Centrally Sponsored Scheme
CBO	Community Based Organisation
CRC	Central Relief Commissioner
CDMA	Code Division Multiple Access
CUG	Closed user group
CRPF	Central Reserve Police Force
CQS	Consultants Qualification based Selection
DEA	Department of Economic Affairs
DTH	Direct-to-home
DDMA	District Disaster Management Authority
DM	Disaster Management
DPR	Detailed Project Report
DRM	Disaster Risk Management
EA	Environment Assessment
ESMF	Environment and Social Management Framework
EMP	Environment Management Plan
EIA	Environment Impact Assessment
EOC	Emergency Operations Centre
EWDS	Early Warning Dissemination System
FA	Financial Advisor
FBS	Fixed Budget System
FM	Financial Management
GAAP	Governance and Accountability Action Plan
Gol	Government of India
GFRs	General Finance Rules

GFDRR	Global Facility for Disaster Reduction and Recovery
GSM	Global System for Mobile
ICB	International Competitive Bidding
IPs	Investment Proposals
IRC	Indian Road Congress
IT	Information Technology
IFR	Interim Financial Report
IST	Implementation Support Team
IUFR	Interim Un-audited Financial Report
LCD	Liquid Crystal Display
LCS	Least Cost Selection
LIB	Limited International Bidding
MHA	Ministry of Home Affairs
MIS	Management Information System
MoU	Memorandum of Understanding
MB	Measurement Book
MOF	Ministry of Finance
NCB	National Competitive Bidding
NCRMP	National Cyclone Risk Mitigation Project
NDMA	National Disaster Management Authority
NDCN	National Disaster Communication Network
NGO	Non Government Organisation
NIT	Notice Inviting Tender
OSDMA	Orissa State Disaster Management Authority
O&M	Operations and Maintenance
PAD	Project Appraisal Document
PAO	Pay and Accounts Office
PCCU	Project Command and Control Unit
PD	Project Director
PFS	Project Financial Statements
PIU	Project Implementation Unit
PMU	Project Management Unit
PM	Procurement Management
PFS	Project Financial Statement
PO	Purchase Order
PPF	Project Preparation Fund

PSC	Project Steering Committee
QCBS	Quality and Cost Based Selection
RAP/RP	Resettlement Action Plan/Resettlement Plan
RTI	Right to Information
R-PACS	Remote Public Alarm & Communication System
R&R	Resettlement and Rehabilitation
SDMA	State Disaster Management Authority
SIA	Social Impact Assessment
SIM	Subscriber Identity Module
SLA	Service Level Agreement
SO	Service Order
SPIU	State Project Implementation Unit
SRC	State Relief Commissioner
SSC	State Steering Committee
SSS	Single Source Selection
TETRA	Terrestrial Trunked Radio
TOR	Terms of Reference
TPQA	Third Party Quality Audit
UT	Union Territory
UNV	United Nations Volunteer
VHF	Very High Frequency
VSAT	Very Small Aperture Terminals
WiMax	Worldwide interoperability for microwave access
WB	World Bank

1. Introduction

1.1. Purpose of the manual

The primary purpose of this manual is to define guidelines, policies and procedures for effectively implementing the World Bank (WB) funded National Cyclone Risk Mitigation Project (NCRMP). These procedures make due reference to the World Bank guidelines as applicable to the Project.

The manual will serve as a ready reference to implement any task identified for investment under NCRMP, at the national as well as at the state level. The guidelines define the following:

- Project implementation arrangements
- Financial management procedures
- Procurement procedures
- Environment and Social management framework
- Project Monitoring – framework and responsibilities
- Governance and Accountability Action Plan

Note:

The manual provided an overview of the processes for all functions mentioned above. The manual is mainly intended for guiding in project implementation based on the agreed framework. For investment selection/preparation, separate set of guidelines and tool kits were developed by NDMA which may be referred.

This manual does not prescribe any procedures to be complied with by other agencies directly / indirectly involved in the project (such as the NDMA, the MHA, the World Bank, or CAAA). It also does not specify rules and acts that the participating units are required to follow as part of routine Government procedures. For any such rules, the participating units are required to refer to respective state/national guidelines as are applicable to them.

1.2. Target Group for the Operations Manual

The manual is intended to be used by the participating States/agencies involved in decision making and implementation of one or more of the project components in Phase-I of the project (see Section 2.1). These will include:

- Project Management Unit (PMU) –Set up at the national level specifically for overseeing the implementation of the project.
- Project Implementation Units (PIU) – Implementation units constituted at the implementation partners i.e. participating States and NIDM. PIUs are responsible for execution of the respective project components.
- Participating Line departments – Departments as identified by the PIU for implementation support.
- Implementation Support Consultants – as identified by PMU, PIU and Line Departments for desired support.

2. The National Cyclone Risk Mitigation Project

The Government of India has initiated the National Cyclone Risk Mitigation Project (NCRMP) with a view to address cyclone risks in the country. The overall objective of the Project is to undertake suitable structural and non structural measures to mitigate the effects of cyclones in the coastal states and UT's of India.

National Disaster Management Authority (NDMA) under the aegis of Ministry of Home Affairs (MHA) will implement the Project in coordination with participating State Governments and the National Institute for Disaster Management (NIDM).

The Project has identified 13 cyclone prone States and Union Territories (UTs), with varying levels of vulnerability. These States/UTs have further been classified into two categories, based on the frequency of occurrence of cyclones, size of population and the existing institutional mechanism for disaster management. These categories are:

- **Category I: Higher vulnerability States** i.e. Andhra Pradesh, Gujarat, Orissa, Tamil Nadu and West Bengal.
- **Category II: Lower vulnerability states** i.e. Maharashtra, Goa, Karnataka, Kerala, Daman & Diu, Puducherry, Lakshadweep and Andaman & Nicobar Islands.

Phase-I of the Project costing Rs 1497 crores¹ (US \$ 308.60 million) is to be funded by the World Bank (International Development Association credit) as an Adaptable Program Loan amounting to US \$ 253.71 million. The States of Andhra Pradesh and Orissa are covered in this phase. The Project is proposed as a Centrally Sponsored Scheme with 75% contribution (for Component B of the Project) by the Central government, as grant-in-aid and a matching 25% contribution by the State Governments. Other components will be funded 100% by the Central Government, as grant-in-aid. Planning Commission has given in principle approval of the project.

The project is designed on a programmatic basis to cover the other states/UT's progressively.

2.1 Project objectives

The Project development objective of the NCRMP is to reduce vulnerability of coastal communities to cyclone and other hydro meteorological hazards through (i) improved early warning dissemination systems, (ii) enhanced capacity of local communities to respond to disasters, (iii) improved access to emergency shelter, evacuation, and protection against wind storms, flooding and storm surge in high risk areas, and (iv) strengthening DRM capacity at central, state and local levels in order to enable mainstreaming of risk mitigation measures into the overall development agenda.

The Project is expected to have at least three phases. Phase I includes the states of Orissa and AP. Phase II will be open to the remaining high risk states or other coastal states that are ready to join. The balance coastal states/UT's will be covered under phase III. Each new phase will be appraised to confirm the implementation readiness and learn from the earlier phase. This will allow continuous adjustment of the project design, early risk identification if any and implementation of corrective measures. All phases will have the same development objective.

The Trigger indicators for the subsequent phases are:

¹ 1 US \$=INR 48.5

Table 1: Triggers for including new States in later Project phases

Trigger	Indicators
Implementation readiness of participating states.	<p>a.) Satisfactory appraisal of investment program:</p> <ul style="list-style-type: none"> • Identification and approval of complete investment proposal. • Preparation of Detailed Project Reports (DPRs) for at least 30% of the proposed investments and related bidding documents. • Preparation of indicative procurement plan for all investments and detailed plan for first 30% of the proposed investments. <p>b.) Operational procedures in place</p> <ul style="list-style-type: none"> • Adoption and Disclosure of Environmental and Social Management Framework (ESMF). • Adoption of Manuals: Operations, Procurement and Financial Management. • Establishment of fully staffed implementing units and MIS • Initiate appointment of Third Party Quality Audit (TPQA) Consultants and Internal Auditors.

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3.0 Project Components

Based on the above objectives, the Project has been divided into four components, namely:

- **Component A** – Early Warning Dissemination System (EWDS)
- **Component B** – Cyclone Risk Mitigation Infrastructure
- **Component C** - Technical Assistance for National and State Level Capacity Building and Knowledge Creation
- **Component D**- Project Management and Implementation Support.

3.1 Component A: Early Warning Dissemination System (EWDS)

Nodal Agency: National Disaster Management Authority

Implementation Partners: National Disaster Management Authority, State Governments of Andhra Pradesh and Orissa.

The overall objective of this component is to reduce the vulnerability of coastal communities by addressing the gap of early warning dissemination in a timely, reliable and efficient manner. The component will support:

- The installation of an EWDS allowing the state and/or district/sub district level control centre to send communication directly to the village level; and
- Strengthening of community capacity in maintaining and operating the EWDS as well as community mobilization during an emergency.

3.1.1 Installation of Early Warning Dissemination System

Implementation Cost: INR 43.65 crore

The EWDS system for the coastal villages is proposed to use CDMA/GSM technology for triggering the warnings. Under this, technology components will be procured centrally by NDMA and distributed by the state representatives of the vendor to the respective states. The various technology components and their associated services (including maintenance) proposed to be implemented have been listed below with a brief summary.

- **GSM /CDMA mobile phones with personalised SIM cards**

GSM/CDMA network has been identified as the primary communications technology.

Mobile phones with customized SIM cards will be provided as new connections to government and non-government personnel. These Mobile phone connections would contain pre-configured applications (like local directory & Cyclone Helpline) to support communication during cyclonic situations. There would be special facilities like free calls between the numbers (CUG-Closed user group scheme) and dedicated priority channels which ensure that no calls are dropped due to network congestion.

It has been estimated to provide around 2171 mobile phones with customized SIM cards (952 for AP and 1219 for Orissa) as a new mobile connection to government and non-government personnel.

Remote Public Alarm & Communication System (R-PACS)

These are GSM based customized hardened devices that act as an extended mobile phone cum public address and communication system. Each device would provide easy mobility to allow personnel to move it to appropriate location as and when required.

A total of around 3830 R-PACS devices are to be procured (1678 for AP & 2152 for Orissa), this includes 5 additional spare R-PACS for each Block office. It is envisaged to place two R-PACS devices in each village for timely and effective cyclone warning dissemination to the village population. It is recommended to place one of these devices in a cyclone shelter and the other in a prominent community gathering place so that the warnings could reach the maximum. **Siren / Loudspeaker systems**

In order to ensure that the early warnings are disseminated to the maximum village population, Siren/loudspeaker systems have been envisaged to work together with the R-PACS.

There would be two such systems placed in each village with the capability to be connected with the RPACS to broadcast the messages coming from the State or District office through the RPACS. Therefore there would be a total number of 3474 such systems procured for AP & Orissa.

- **Satellite phones**

INMARSAT BGAN based satellite terminals have been envisaged to be provided to government authorities as a backup in case the terrestrial networks like GSM/CDMA collapse due to damage of infrastructure (towers) during cyclonic conditions. It has been envisaged that *86 (41 in AP and 45 in Orissa) satellite phones* would be provided to the State authorities (District Magistrate & BDO) in the areas where severe impact is anticipated. These phones would complement any existing satellite phone procured under the State's own initiative. **Project Command & Control Unit ('PCCU') – software, hardware and networking**

A PCCU (Project Command and Control Unit) has been proposed to be located in the State EOC itself for each of the states. The PCCU would include a Web Based warning dissemination & communication application based on the CAP (Common Alerting Protocol) guidelines with connectors/gateways to various communication channels like GSM / CDMA, Satellite phones, TETRA, VSAT, VHF, WiMax, DTH, Wi-Fi Cloud and the Radio Technologies (All India Radio, Ham Amateur Radio, FM Radio). This would ensure maximum reach of the warning messages. The application could be accessed by EOC staff and outsourced helpdesk staff to disseminate warning messages and provide information to community when a call is received. They could also use the GIS feature planned in the application for monitoring purposes.

- **TETRA network equipment**

This is a two way mobile communication network using handheld sets. They work in a group calling mode in which a single button push will connect the user to the users in a selected call group and/or a dispatcher. It is also possible for the terminal to act as a one-to-one walkie talkie. TETRA was specifically designed for use by government agencies, emergency services, (police forces, fire departments, ambulance), rail transportation staff, transport services and the military.

This technology has been envisaged to be **pilot tested** in one of the identified mandals / blocks in the States of AP and Orissa for a possible secondary backup option along with the satellite phones.

TETRA network works in a 400 or 800 Mhz frequency band and has three components – Control Center, Base Stations and Handsets. Each base station would also be provided with 5 KVA portable Generators (which could run on Kerosene or Petrol) to support operations during power failure.

3.1.2 Strengthening community capacity

Implementation Cost: Rs 29.10 crore

Two types of training will be imparted to the communities in the selected coastal villages

a) Technology training

The technology training will be undertaken for the **PCCU Applications, GSM/CDMA mobile phone features/Toolkit Applications & R-PACS devices, TETRA phones and Siren/loudspeaker systems**

The vendor should impart end user training to users on solutions at the PCCU which will be used to allow end users to effectively and efficiently use the system to support the cyclone situations. The vendor will also ensure that all the staff are trained on the usage of relevant ICT that can be used for each function.

Additionally, the GSM / CDMA mobile phones, R-PACS, Satellite phones, TETRA Phones and Siren/loudspeaker systems usage trainings will be based on “train the trainer model”. In this case the PCCU staff will be trained to use and maintain the technology equipment, so that they can further go and train the authorities in the States.

b) Community training

Component A also intends to support State efforts in disaster management by strengthening the capacities of coastal communities to deal with future disasters. Cyclone risk mitigation information and cyclone warnings will be communicated to the coastal villages through the proposed technology components. Along with training on the technology components outlined above, NDMA also envisages a need to improve community capacities to respond to a disaster. It is proposed that community training will be undertaken in all identified coastal villages where component A is being implemented.

Training will be organised for the villagers and district authorities. The training will equip the community and district authorities to organise the community, develop response plans, and appropriately interpret and respond to warnings.

3.2 Component B: Cyclone Risk Mitigation Infrastructure

Nodal Agency: National Disaster Management Authority

Implementation Partners: State Governments, along with identified Line Departments

Component B aims at creation of physical infrastructure for cyclone risk mitigation.

Following a need based approach, participating States and UTs are asked to prepare Investment Proposals (IPs), wherein they States identify priority investment areas which are crucial for effective mitigation. A set of guidelines, in compliance with World Bank (WB) and Indian norms and standards, have been circulated by MHA for the purpose. Investments are to be proposed for either or all of the following categories:

3.2.1 Construction of Cyclone Shelters

Implementation Cost: AP- INR 140.65 crore and Orissa 145.50 crore

The highly vulnerable rural coastal areas of the country are affected by the limited availability of disaster proof buildings. There is a great need for safe structures like Cyclone Shelters (CS) which can help protect human lives as well as livestock during the ‘Zero’ hour of calamities. The Cyclone Shelters are proposed to be multi purpose buildings, integrated with day-to-day uses like schools, godowns, health centre, training

centre etc. so as to ensure regular use and maintenance. Mounds for cattle and animals will be included wherever necessary.

The O&M of cyclone shelters is proposed to be taken up by Cyclone Shelter Management and Maintenance Committees. A corpus fund would be created by the states that would be used for the operation and maintenance of the cyclone shelters. Shelters have been designed based on relevant Indian standards and guidelines including those on hazard mitigation structures. Normally these are being built as framed concrete structures.

3.2.2 Construction of missing road links and bridges

Implementation Cost: AP- INR 407.40 crore and Orissa - 218.25 Crore

There is a need for development of a reliable road network so as to ensure speedy evacuation of people to safer places during an impending disaster threat and also to ensure measures for relief in the event of a cyclonic storm surge attack. The component therefore aims to create road links to

- Public cyclone shelters and/or to the existing private storm / storm surge resistant buildings
- National/State highways from where the people can have access to safer localities

Roads constructions/restorations would also involve construction/restoration of en-route culverts and bridges. The objective of the construction of roads, culverts and bridges will be to provide all weather access to the villages and the cyclone shelters. Normally flexible pavements would be provided unless desired by considerations of rainfall and presence of unsuitable soil condition which would require use of rigid pavements. Bridges and culverts are being designed for appropriate class of loading in accordance with the provisions of Indian Roads Congress (IRC) and height is based on navigational requirements. Prior soil investigations are carried out to design the suitable foundations for roads, bridges and culverts. These structures would be maintained by the concerned government agencies through their normal budgetary support.

3.2.3 Construction/renovation of embankments

Implementation Cost: AP- INR 97 crore and Orissa - 155.20 crore

During cyclones, the saline water from the sea inundates villages and agricultural fields. The most vulnerable reaches along the coastline are to be identified and these areas (people, livestock and agricultural fields) are to be protected against the vagaries of the cyclonic action. Saline embankments are one such mitigation measure to protect people, livestock and agricultural fields from saline water inundation/storm surge. The NCRMP includes the renovation of existing damaged embankments as well as construction of new embankments in vulnerable coastal areas.

Detailed studies will be carried out to identify the impacts especially the negative impacts, if any, of the proposed interventions or remedial/improvement measures. Mitigation plans will be prepared, finalized and implemented based on the findings of these studies which will be cleared by the Bank. Coastal canals, drains and saline embankments would be maintained by the concerned government agencies through their normal maintenance budgets.

3.3 Component C: Technical Assistance for National and State Level Capacity Building and Knowledge Creation

Implementation Cost: INR 29.10 crore

Nodal Agency: National Disaster Management Authority,

Implementation Partners: National Institute of Disaster Management and National Disaster Management Authority,

The objective of Component C is to help undertake risk and damage assessment studies, and assess institutional capacities of the various stakeholders involved. The following activities have been identified as part of this component:

I. Risk Assessment, Implementing Agency: NDMA

The project includes micro-level risk assessment up to village level for the higher vulnerability States such as Gujarat, West Bengal, Orissa, Andhra Pradesh and Tamil Nadu and a macro level assessment up to taluka level for the remaining 8 States/UTs. The key activities in this study are

- i. Assess the nature of hazards, severity and frequency of occurrence of different cyclone related disasters, the areas likely to be affected, and duration of impact.
- ii. Prepare state/district/mandal/taluka/village level hazard zonation maps for cyclone and other hazards referred above and classify settlements according to the hazard perception.
- iii. Assess the vulnerability of the coastal communities for the preparation of composite risk atlas and maps
- iv. Provide information tools for regular up dating by NDMA/SDMAs/DDMA's and training of stakeholders
- v. Develop appropriate district specific risk management policy framework for evolving developmental mitigation action plans through collation, discussions and synthesis of hazard data;
- vi. Provide manuals for data interpretation for decision makers to plan appropriate interventions during emergencies

II. Technical Assistance to States for preparing high priority risk mitigation investments (PPF, EIA, SIA), Implementing Agency: NDMA

After the study on Risk assessment (Activity I), consultant services would be hired for implementing the results of the study in the identified States as the proposed project is new and innovative for all the participating states and they will need support in preparing and planning infrastructure investments and other project components. Assistance will be extended to States towards undertaking feasibility studies, Detailed Project Reports, Environmental Impact Assessments, Social Impact Assessments and other Project requirements.

III. Preparation of long term training and capacity building strategy (13 States/UTs), Implementing Agency: NIDM

The objective of the study would be to assess the capacity gaps of stakeholders in all the phases of the Disaster Management Cycle, develop short and long term capacity development strategies,

conduct training need analysis and develop training designs and modules for all relevant stakeholders. The modules will focus on development of capacities of the State Governments, institutions and their functionaries to effectively reduce and manage the risks of cyclone in the coastal states and UTs. The components of this study will also cover awareness generation programs, sensitization of decision makers and the strategy for quality assurance. **IV. Implementation of high priority training and capacity building programs, Implementing Agency: NIDM**

Specific modules will be designed to strengthen the capacity of state and local government officials in better preparing for and responding to disasters as output to activity III. Modules will be implemented in the states as a pilot.

V. Damage and loss assessment, Implementing Agency: NIDM

The study is being undertaken with an aim to evolve a standardized methodology for damage, loss and need assessment relevant to India. The project will also include capacity building for relevant stakeholders so that they may subsequently undertake assessments using the methodology. The key activities of this study are

- i. An in depth review of the existing procedures
- ii. Uniform standards for damage and loss assessments relevant in the Indian context
- iii. Recommendations for integrating the new standards in existing procedures
- iv. Create a panel of experts for damage and loss assessment and establish a database containing the updated procedures
- v. Modules to train panel of experts in application of new procedure.

3.4 Component D: Project Management and Monitoring

Implementation Cost: INR 95.06 crore

Nodal Agency: National Disaster Management Authority,

Implementation Partners: Project implementing units in the states

This component provides support for project management by financing incremental operating costs for Project Management Unit (PMU), PIUs, nodal units in line departments and National Institute of Disaster Management (NIDM), office equipment, training and exposure visits and consulting services for specialist activities.

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4. Functional Systems for Disaster Management in participating States

At the national level the Ministry of Home Affairs (MHA) is the nodal ministry where all the disaster management activities are anchored. The Central Relief Commissioner (CRC) in MHA is the nodal officer to co-ordinate all relief operations.

The National Disaster Management Authority is the apex body at National level with a mandate to lay down the policies, plans and guidelines for disaster management to ensure timely and effective response to disasters. Towards this, it has the following responsibilities as laid down in the Disaster Management Act of 2005:

- Lay down policies on disaster management ;
- Approve the national plan;
- Approve plans prepared by the ministries or departments of the Government of India in accordance with the national plan;
- Lay down guidelines to be followed by the state authorities in drawing up the state plan;
- Lay down guidelines to be followed by the different ministries or departments of the Government of India for the purpose of integrating the measures for prevention of disaster or the mitigation of its effects in their development plans and projects;
- Coordinate the enforcement and implementation of the policy and plan for disaster management;
- Recommend provision of funds for the purpose of mitigation;
- Provide such support to other countries affected by major disasters as may be determined by the Central Government;
- Take such other measures for the prevention of disaster, or the mitigation, or preparedness and capacity building for dealing with the threatening disaster situation or disaster as it may consider necessary;
- Lay down broad policies and guidelines for the functioning of the National Institute of Disaster Management.

4.1 Orissa

The Department of Revenue has traditionally been the nodal department for disaster management. The Orissa State Disaster Management Authority (OSDMA) was constituted to ensure special focus on activities of disaster management. The task has now been split over the two agencies where the Department of Revenue remains the administrative department for management of disasters. Special Relief Commissioner (SRC) is in charge of response phase, whereas, OSDMA deals with preparedness and mitigation aspects. It also provides support to SRC during response phase.

At the district level, Collector is the District Relief Officer and Disaster Manager. Block is the lowest unit of relief administration where the Block Development Officer and Tahsildars jointly manage relief administration at the lowest level.

The various committees in the state are:

- At State level - State level Committee for Calamity Relief under the chairmanship of the Chief Minister

- At the district level - District Natural Calamity Committees under the chairmanship of the district Collectors
- District Disaster Management Committees under the chairmanship of the concerned Collectors,
- Block Disaster Management Committees under the chairmanship of the Chairperson, Panchayat Samiti
- G.P. Disaster Management Committees under the chairmanship of the Sarpanch
- Village level Task Force Committees were constituted in the programmed areas (16 districts) under GoI-UNDP Disaster Risk Management Programme for day-to-day management of disasters and risk reduction measures.

4.2 Andhra Pradesh

Revenue Department, Government of AP is the nodal department for all disaster management activities in the state, and is headed by the Principal Secretary (Revenue). Within the Revenue department is the Revenue (Disaster Management) Department, headed by the Commissioner for Disaster Management.

At District level, the District Magistrate/ Collector's office is the focal point for disaster preparedness, relief and rehabilitation operations. They coordinate activities with other line departments like Police, Health, Agriculture, Power, Water etc. The Mandal Revenue Officer (MRO) at the Mandal level is responsible for disaster preparedness and management, and acts as the focal point of warning dissemination and damage assessment.

The Sarpanch & Panchayat Secretary is the nodal person for disaster preparedness and management at the village level.

The District Magistrate's/Collector's office functions as the District Control Room during a disaster event. At the next level, the Sub-Collector offices, MRO offices and police stations also function as control rooms for relief, rescue and search operations.

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5. Implementation Arrangements for NCRMP

National Disaster Management Authority (NDMA) is the Nodal Agency at the National Level for monitoring the implementation of the National Cyclone Risk Mitigation Project (NCRMP).

The different agencies that would be involved in the implementation and management of the NCRMP are as follows:

At the national Level

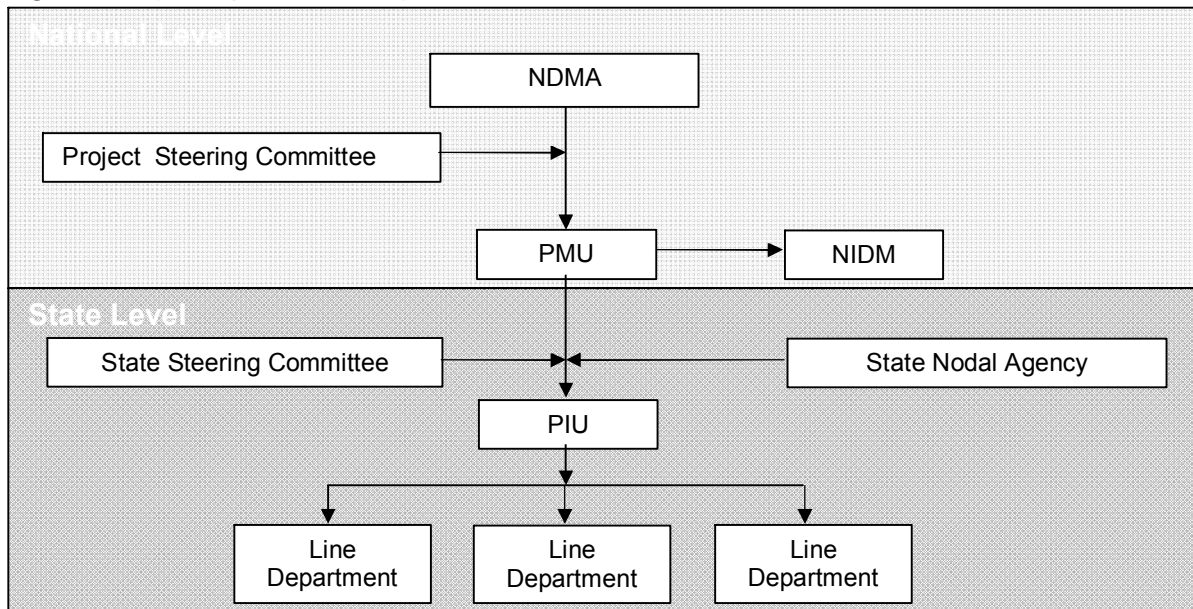
1. Project Steering Committee (PSC)
2. Project Management Unit (PMU) at National Disaster Management Authority
3. Project Implementation Unit (PIU) at National Institute of Disaster Management (NIDM)

At the state Level

1. State Steering Committee (SSC)
2. State Project Implementation Unit (SPIU) or a State Nodal Agency
3. Line Department

The relation between the various levels is represented as follows:

Figure 1: Project Implementation agencies at National and State levels



The constitution and roles and responsibilities of each of the entities are explained separately in sections that follow.

5.1 Constitution of the various National and State level agencies

5.1.1 Project Steering Committee

A **Project Steering Committee** (PSC) has been constituted with representative members from Central Ministries, Eminent Experts and State Governments (for composition refer appendix I).

During implementation, the PSC will provide strategic oversight over the operations of the NCRMP. This shall be done through regular review meetings, where the PSC shall:

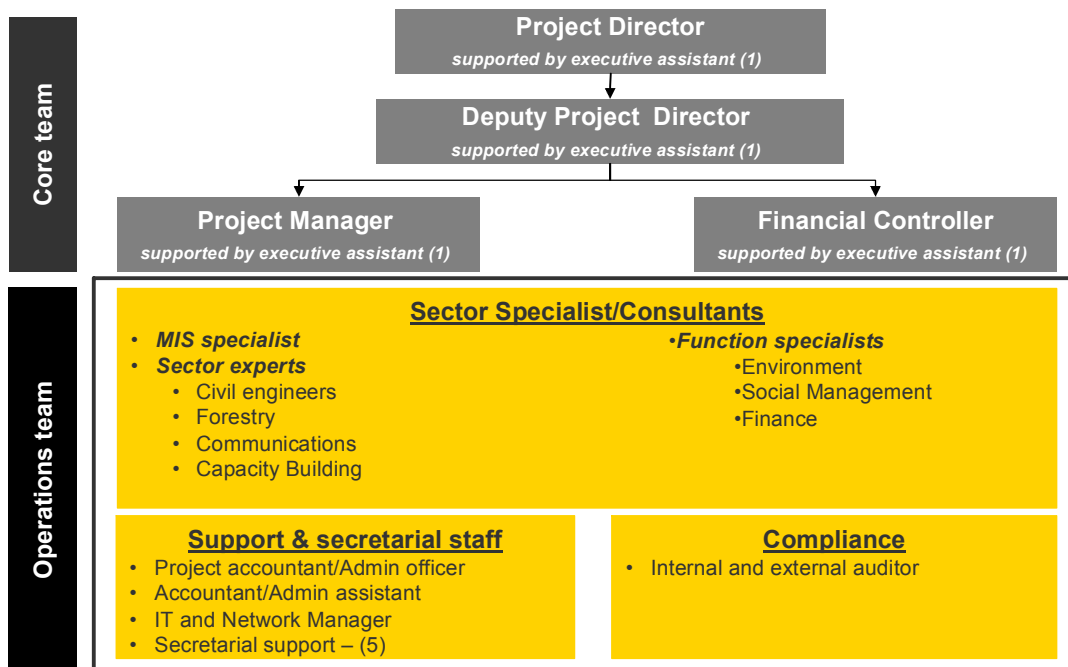
- Review and monitor progress of project implementation Review critical findings of the audit reports
- Discuss and approve the annual work plan and budget of the project for districts and States/UTs of the country
- Provide administrative clarifications and instructions regarding the project norms and implementation procedures
- Suggest proposals for modifications on the project framework for implementation to NDMA as and when required, in consultation with the States/UTs
- Provide such guidance, as it may deem necessary for the project.

Ministry of Home Affairs (MHA) will be the nodal ministry of Government of India for the Project. Funds to the States and NDMA will flow through the budgets of MHA/NDMA.

5.1.2 Project Management Unit (PMU)

At a national level, a Project Management Unit shall be set up in NDMA to oversee the implementation of the NCRMP. The structure of the PMU is as depicted in the diagram

Figure 2: Structure of Project Management Unit



Responsibility for oversight and implementation of the NCRMP vests with the PMU. The PMU shall interact with the various implementation units, nationally and at the states. At the national level, the PMU will interact with NIDM for the implementation of Component C. At the State, the OSDMA / Revenue Department of AP shall set up a separate Project Implementation Unit (PIU) for implementation of Component A and B and coordination of Component C. This relationship is depicted in figure 1.

The key tasks of the PMU are:

- **Planning:**
 - Overseeing and monitoring the preparation of the planning documents for the NCRMP, controlling their quality and ensuring their justification. These include investment proposals, DPRs, etc.
 - Preparing the framework for project implementation including documentation requirements, operationalizing the same and training the stakeholders.
- **Project implementation:**
 - For Components A and B - define requirements, derive specifications for equipments, prepare guidelines for operation and maintenance and required protocols, interact with state nodal agencies, partner agencies and carry out centralized procurement. Also implement part of component C by instituting the studies and coordination with state agencies and departments.
 - Coordination with various other implementation units.
 - Monitoring the physical and financial progress on the project including reporting.
 - Provide periodic, collated reports to the Bank.
 - Ensuring that mechanisms exist to provide assurance on operations in line with the requirements set forth in the various manuals.
- **Financial management:**
 - Preparation of the consolidated NCRMP budget and revisions thereto.
 - Manage the overall fund flow, coordinate the sanction of funds to the states and partner agencies.
 - Managing audits, preparation of financial disclosures.
- **Procurement management**
 - Prepare procurement plan and ensure timely execution of all works
 - For some activities² under component A & C PMU will
 - Define packages and prepare bid documents, procurement plans and Notice Inviting Tender (NIT).
 - Invite tenders, undertake technical evaluations and select consultants.
 - Provide guidance to NIDM PIU and State PIUs on procurement matters
- **Environment and Social Management** – monitoring to ensure that the rules set forth for ESMF have been complied with.
- **Coordination and liaising** with other departments like CAAA, DEA, and Ministry of Home Affairs.
- **Overall monitoring and reporting**
 - Have oversight on project progress, monitor overall progress and outcomes
 - Establish and operationalize the web based MIS and ensure its regular updating from the SPIUs and implementing agencies. Train the user staff and manage the public viewing portal.
 - Proactively gauge the problem areas, undertake preventive / control actions
 - Prepare consolidated reports and update PSC/NDMA/Gol and the Bank

Note: - For component A, the PMU will hire an external implementing agency to perform Project implementation and procurement management tasks on its behalf. This agency would give regular updates to the PMU and take approval from the PMU on key decisions.

The details of the activities to be carried out by the PMU have been elaborated in the section on Roles and Responsibilities.

² For details of process under each activity, refer section 5.2

Staffing and responsibilities for the PMU are:

The PMU comprises 2 separate groups – a core team and a support team consisting of sector and functional specialists. The composition and roles of these teams are as follows:

a. Core team

The PMU is headed by the Project Director who is supported by a Deputy Project Director, a Finance Director and a Project Manager.

- The **Project Director (PD)** has overall responsibility for effective implementation of the project with adequate and appropriate oversight. He is responsible for:
 - providing formal feedback and liaising with the PSC, World Bank, NDMA, MHA, the States and other stakeholders etc in relation to the Project
 - reviewing the overall physical and financial progress of the project
 - requesting for sanction of funds to the States and implementing agencies
 - ensuring overall compliance of the project implementation with the agreed project objectives;
 - ensuring that all implementing agencies including PMU are adequately and rightly staffed and strengthened to deliver their roles;
 - ensuring that PMU or its representatives will undertake field visits as required and provide necessary guidance and support to the states / NIDM in a timely and effective manner;
 - Assessing the risks / factors affecting implementation and proposing mitigation actions and ensuring their timely implementation;

The Project Director reports to Project Steering Committee/Secretary, NDMA

- The Project Director is supported by a **Deputy Project Director**. He is responsible for:
 - reviewing documentation prior to submission to the Project Director for approval;
 - reviewing the project progress, coordinating with the states and NIDM, and taking corrective action;
 - liaising with the NIDM
 - interacting and guiding the core team and support teams of PMU
 - timely selection and appointment of consultants and contractors at the national level and ensuring quality and timely outputs from these agencies;
 - appointment of the internal auditors for audit at the national level, preparation of the annual Internal Audit plan, coordination of the internal audit efforts and review of the results of the internal audit; and overseeing that such internal audits also happen and outputs are delivered in time at the state levels;
 - ensuring that appropriate mechanisms have been established and followed for compliance with the operating rules and procedures for the NCRMP;
 - ensure that the project's disclosure requirements and Governance and Accountability Action Plan are complied with by the PMU, and
 - approve the payments for 3rd parties.
- The **Finance Director** is responsible for financial management, oversight and reporting for the NCRMP. His role involves:
 - overseeing the preparation of the consolidated NCRMP budget and any revisions thereto;
 - reviewing and approving the financial progress reports;
 - preparing sanction orders for release of funds for approval by the PD based on a scrutiny of the IUF's, Utilisation Certificates etc;
 - authorising the processing of invoices for 3rd parties; and

- selection and appointment of the external auditor (for the PMU) overseeing that External audits happen at the states in a timely manner; and overseeing the timely submission of external audit reports for the NCRMP;
 - Handling and resolving project audit issues
 - signing cheques for 3rd parties.
- The **Project Manager** is responsible for providing administrative support for the project. He shall:
- oversee the daily functioning of the PMU and the support and secretarial staff; and
 - recommend the payments and sign cheques for 3rd parties along with the Finance Director.

b. Operations Team

Support for operations shall be provided by a team of experts. The team shall comprise managerial staff, functional specialists and sector specialists. The role of the different team members is as follows:

- **Function specialists** comprise personnel with expertise in different disciplines whose roles and responsibilities are given in detail in Section 5.2. The specialists include:
 - *Environment and social management* experts who are responsible for ensuring that mechanisms for compliance with the ESMF guidelines have been established at the PIUs and state line departments and are followed strictly
 - *Procurement specialist who is responsible* for ensuring that all the procurements done under the project are as per the procedures of the World Bank and that adequate systems have been established at the PMU and the PIU'
- **Sector specialists** comprising of personnel from different technical backgrounds as depicted in Figure 2. These include specialists for cyclones, cyclone shelters, embankments, roads, forestry, capacity building and communications. These specialists shall be mainly responsible for overseeing planning, procurement, implementation and smooth operation of respective sector investments under the project. Specifically:
 - Provide technical guidance to the States in the preparation of the investments
 - Review the technical documents submitted by the states for their respective area of expertise, ensure quality, and guide the states wherever necessary
 - Oversee efficient procurement and implementation planning by the states from respective sector's perspective
 - Ensure quality preparation of bid documents, specifications, bill of quantities, contract and construction drawings, setting appropriate progress milestones and bidders qualifications etc
 - Oversee timely procurement by the states, of respective sector investments; provide technical guidance on improving / expediting procurement process based on the evolving context;
 - During implementation, oversee PIUs and Line Departments implementation monitoring for timely and quality delivery of outputs through contractors. Oversee, community intermediation / involvement as required, particularly to make them understand sustainable operation of assets and usage and functionality during disaster times;
 - Review the physical progress of work for their respective areas and provide necessary feedback for corrective action
 - Once the works are completed, oversee smooth transition to integrate with the line departments' regular O&M and upkeep;
 - Undertake periodic site visits to the participating states, to review the progress of work and provide necessary advice to the states. The time and frequency of visits will be decided based on the need by the Deputy Project Director;

- Monitor and ensure deployment by the states of right skilled staff to the line departments' nodal agencies, suggest and promote timely training and orientation to the teams to ensure effective implementation of respective sector investments;
- Assess and compile information and knowledge based on lessons learned

* *Specific to Communications Expert*

- In addition to the above, coordinate with various stakeholder agencies as per the design of Component A, to ensure that respective inputs are delivered in a timely manner
- Oversee integration of Component A activities with regular State Disaster Management systems and other state agencies (e.g., police) and NDMA's National Disaster Management Communication Network and other initiatives.

* *Specific to Cyclone Specialist*

- Oversee that the overall design, preparation and implementation and outcomes of various activities contribute to cyclone risk mitigation;
- Monitor quality of preparation of ToRs for Component C activities, and any further follow-up activities that may arise; procurement of consultants of right skills; quality of work of consultants; quality of training and orientation of community on disaster management aspects in general.
- **The MIS specialist shall:**
- Oversee delivery of responsibilities of IT Specialists for effective deployment and functioning of the MIS;
- Coordinate with all the agencies for timely input of data into the MIS, generating the necessary progress and information tracking reports, as may be required.
- Synthesize the information and derive trends / critical areas of concern and highlight to the Management
- Based on experiences of using the MIS, suggest strategies for improving the system as approved by the PMU

Support and secretarial staff shall comprise:

- Two qualified accountants who are responsible for supporting the Financial Controller for:
 - consolidating the IUFs for the NCRMP
 - maintaining the books of accounts
 - processing invoices of 3rd parties and preparing cheques for disbursement.
 - consolidating the budget and revisions thereto
 - any other financial management related matter
 - reviewing the progress and results of internal and external audit
- An *IT and network manager* for maintenance and upkeep of IT and communications infrastructure at the PMU.

c. Support team

- *Support staff* may be appointed as required. They shall assist the project team in filing, paperwork and ensuring smooth execution of the project.

The Compliance function would be led by outsourced agencies. These include:

- Internal auditor for PMU and NIDM PIU
- An external auditor for review of the financial management statement and records at the PMU, NIDM PIU and OSDMA.

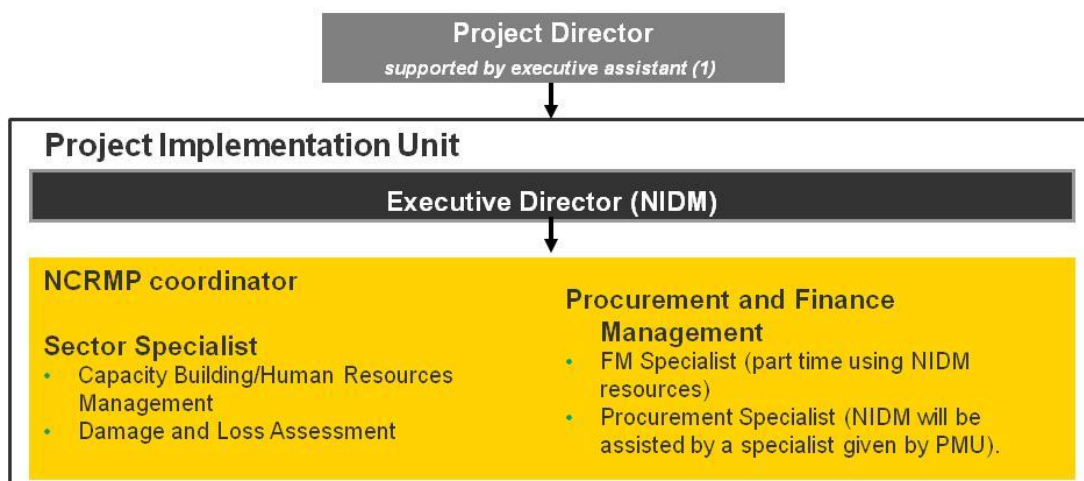
5.1.3 National Institute of Disaster Management

NIDM has the responsibility for execution of three activities in component C i.e.

- Activity III – Preparation of long term training and capacity building strategy (13 States/UTs)
- Activity IV - Implementation of high priority training and capacity building programs on a pilot basis
- Activity V – Strengthen capacity for damage and loss assessment

For the purpose of smooth execution, a Project Implementation Unit will be constituted at NIDM. The Project Implementation Unit at NIDM shall be headed by the Executive Director (ED), NIDM. The PIU at NIDM will report to the Project Director for all NCRMP related matters.

Figure 3: Structure of Project Implementation Unit ('PIU') at NIDM



A Project Coordinator will be appointed from within NIDM, who shall be responsible for timely delivery, regular oversight and progress reporting on the project and interactions with PMU. He shall also be responsible for preparing the budget and revisions thereto for the project. For the purposes of the NCRMP, he shall be the single point contact for the PMU.

Separate sector specialists will be appointed for Capacity Building (activity III & IV), and D&LA (activity V). They will be responsible for technical oversight of the project, interactions with external consultants and reviewing their work to ensure timely completion and quality in task being performed.

With reference to the procurement and financial management arrangements, NIDM shall use its existing infrastructure for this purpose. Procurement and financial management personnel will be identified from the existing resource pool at NIDM. Staff of the NIDM PIU dealing with the procurement will be provided with training in the Bank procedures and annual refresher courses will also be arranged.

5.1.4 State Steering Committee

A State Steering Committee (SSC) shall be constituted with representative members from State Ministries, Eminent Experts and Senior Officers of Line Departments (for composition refer appendix 2 and 3)..

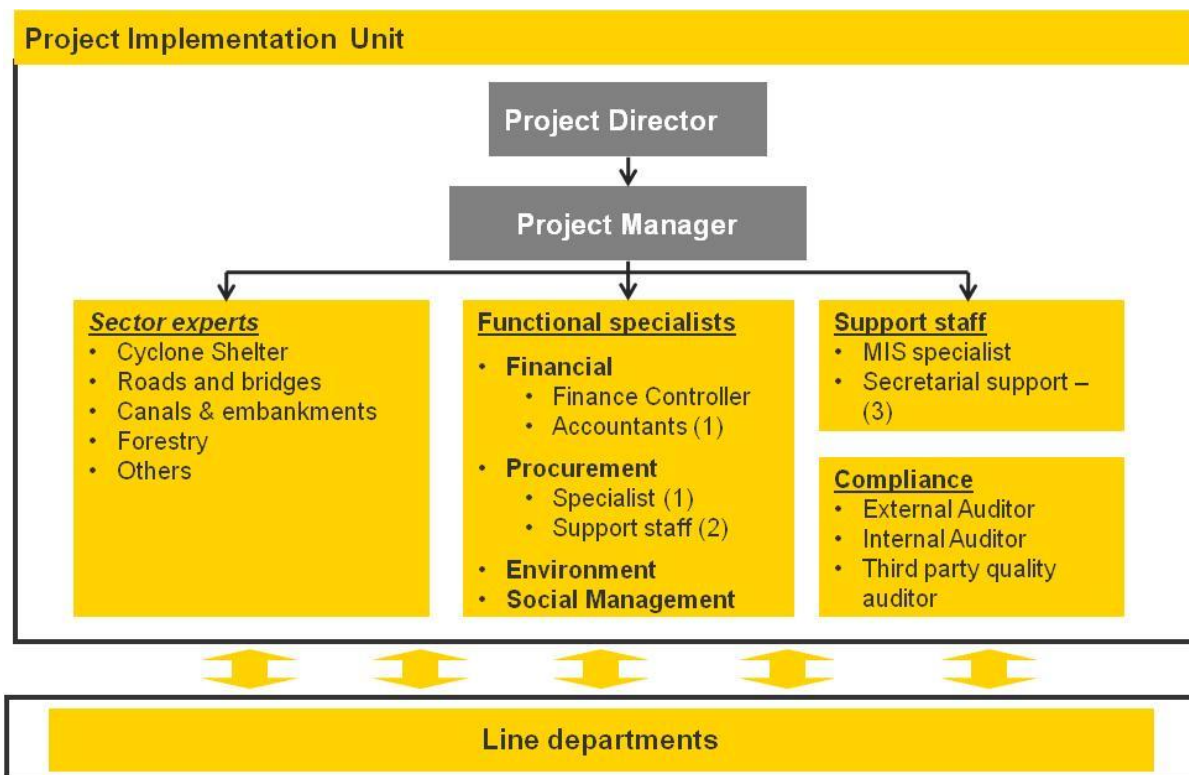
At the implementation stage, the committee will give strategic oversight to the project. The key functions will include the following

- Supervise, guide and approve proposals of various Line Departments
- Reviewing project implementation progress and giving guidance for achieving project goals and targets
- Ensure all rules laid for the project are being complied to.

5.1.5 State Project Implementation Unit

A SPIU shall be constituted for implementation at State for coordinating the activities of the NCRMP. .

Figure 4: Generic structure of Project Implementation units at States



SPIUs³ will be vested in disaster management agencies in states where these have been setup and in other nodal departments in other states. SPIUs will have reporting responsibility to the Director/head of the nodal agency and would be responsible for overall project management and implementation within the state. Each SPIU will be headed by a Project Director and supported by sector experts drawn from the line departments implementing the project investments, functional specialists to coordinate fiduciary and safeguard issues and other support staff. Need based support will be provided for evolution of SDMA in the state of AP.

The key tasks of the PIU are:

The SPIU is responsible for overall delivery of the NCRMP for the State within the predefined timelines and budgets. The principal tasks for the SPIU include:

- **Planning:**
 - Consolidating the planning documents for the NCRMP. These include investment proposals, detailed project reports, procurement plans etc. prepared by the line departments.
 - Preparing the administrative framework for project operationalisation and training the stakeholders on these documents
- **Project implementation:**

- Coordinate with the District Administration and Line Departments for implementation of Component A and B respectively.
 - Coordination with the PMU
 - Monitoring the physical and financial progress on the project and seeking corrective action, where applicable.
 - Monitoring Procurement and award of packages and purchase orders for the State.
 - Ensuring that mechanisms exist to provide assurance on operations in line with the requirements set forth for implementation of NCRMP.
- *Financial management:*
 - Preparation of the NCRMP budget and revisions thereto
 - Coordinating the sanction of funds to the implementing agencies.
 - Maintenance of books of accounts and records for the project.
 - Preparation of financial disclosures for submission to the PMU.
 - Conduct of the internal and external audit.
 - Invoice processing and release of payments to third parties (where applicable- would not be required where States are processing and releasing payments through the Pay and Accounts office).
 - *Procurement management*
 - Define packaging, review Bid documents prepared by line departments for activities under Component B.
 - Prepare procurement plan
 - Monitor that the Project procurement guidelines are adhered to by the line departments.
 - If necessary, procure Goods for Component A
 - Procure consultants/PMC services at the State level
 - *Environment and Social Management* – monitoring to ensure that the rules set forth for ESMF have been complied with
 - *Coordination and liaising* with the SSC and other Government departments.
 - *Overall monitoring and reporting*
 - Have oversight grip on project progress in the state, monitor overall progress and outcomes.
 - Establish and operationalize the web based MIS and ensure its regular updating from the implementing agencies in coordination with the PMU.
 - Proactively gauge the problem areas, undertake preventive / control actions
 - Prepare consolidated reports and update PMU/respective state governments and the Bank
 - Provide necessary support to the visiting missions from central agencies / the Bank

The details of the activities to be carried out by the PIU have been elaborated in the section on Roles and Responsibilities.

- The PIU has reporting responsibility to the State Steering Committee through the Secretary/Principal Secretary of the Revenue Department responsible for Disaster Management in AP and the MD/OSDMA in Orissa who are responsible for:
 - providing formal feedback and liaising with the SSC
 - approving the NCRMP budget and revisions thereto, prior to submission to the PMU
 - reviewing the overall physical and financial progress of the project
 - facilitate inter-agency coordination as required for effective implementation and resolve issues

- coordinate and achieve synergies between various other disaster management interventions in the state and the project interventions.

- The PIU is headed by the **Project Director**⁴ who has overall responsibility for overseeing the implementation of the NCRMP in the State. He is responsible for:
 - overseeing and coordinating all aspects of the project preparation phase, including preparation of investment proposals, DPRs, bid documents etc.
 - providing formal feedback and liaison with the SSC, World Bank, PMU and other stakeholders etc in relation to the Project
 - approving the NCRMP budget and revisions there to reviewing the overall physical and financial progress of the project and taking corrective action
 - requesting for sanction of funds to the State and implementing agencies
 - ensuring that appropriate mechanisms have been established and followed for compliance with the operating rules and procedures for the NCRMP
 - Monitor and ensure that the state line departments and the PIU always have right skilled staff in adequate numbers, suggest and promote timely training and orientation to the teams to ensure effective implementation of the overall project;
 - Monitor that the key consultancies relating to project implementation (as listed below) are procured in time and their outputs are delivered as per the specified quality standards.
 - Third Party Quality Auditor for works
 - Internal Auditor
 - External Auditor
 - Assessment of Impacts of Resettlement Action Plans
 - Assessing and analyzing implementation experiences and providing feed back to PMU for improving the processes / systems designed
 - Ensuring that project's disclosure requirements and Governance and Accountability Action Plans are complied with by the PIU and the line departments
 - Undertaking periodic field visits to direct the project implementation and assess the situation first hand

- The **Project Manager** is responsible for providing administrative support for the project. He shall:
 - oversee the daily functioning of the SPIU and the support and secretarial staff and will have cheque signing powers along with the Finance Controller.

- **Function specialists** comprise of personnel with expertise in different disciplines. These include:
 - *The Finance Controller* and his team are responsible for financial management, oversight and reporting for the NCRMP. Their role involves:
 - compliance with the finance management procedures of the NCRMP
 - overseeing the preparation of the NCRMP budget and any revisions thereto
 - reviewing and approving the financial progress reports
 - preparing sanction orders requesting for release of funds along with the required supports
 - authorizing the processing of invoices for 3rd parties
 - maintenance of the books of accounts
 - appointment of internal auditor for NCRMP
 - overseeing the timely submission of external audit reports for the NCRMP
 - coordinate and oversee the internal audits conducted for NCRMP
 - signing cheques for 3rd parties (where applicable- would not be required where States are processing and releasing payments through the Pay and Accounts office)

⁴ At present, the MD/OSDMA and the Special Commissioner, SDMA are the Project Directors in the states of Orissa and AP respectively.

- *Environment and social management* experts are responsible for ensuring that mechanisms for compliance with the ESMF guidelines have been established and followed at the PIU and Line departments. Their roles and responsibilities are described in detail in Section 5.2
- *Procurement specialist (and his team)* who is responsible for:
 - comply with procurement procedures set forth for procurement by the PMU (for details refer section 7.2.1)
Note: All procurement related procedures shall be initiated and completed by the Line departments. The Procurement Specialist shall review every bid document and contract before it is finalized to ensure that all procurement guidelines have been adhered to. The details of the role and responsibilities of the procurement specialist are given in Section 5.2.
- **One Sector specialist** for each applicable sector (cyclone shelters, embankments, roads & forestry and other sectors). These specialists shall be responsible for:
 - Acting as the single point of contact with the respective Line Departments
 - Providing technical guidance and coordination to the Line Departments in the preparation of the DPRs
 - Monitor efficient procurement and implementation planning by the nodal departments for respective sectors;
 - Performing a review of the technical documents submitted by the Line Department and ensuring their quality for technical accuracy and compliance with the DPR and bid formats
 - Review progress of procurement for respective department, analyze the sector issues that may be contributing delays, identify and guide the line departments on appropriate remedial measures
 - Ensure that line departments comply with recommendations emerging out of third party quality audits relating to their sector
 - During implementation, oversee contractors' performance, assess quality control by the line departments, provide technical guidance
 - Monitor for appropriate community intermediation / involvement by the line departments as required, particularly to make them understand sustainable operation of assets and usage and functionality during disaster times;
 - Obtain monthly progress reporting from the Line Department, check for its accuracy and assess the critical issues for follow-up
 - Reviewing physical progress of work for their respective areas and provide necessary feedback for corrective action
 - Undertake periodic site visits to review the progress of work. The time and frequency of visits will be decided in discussions with the Deputy Project Director.
 - Once the works are completed, oversee smooth transition to integrate with the line departments' regular O&M and upkeep;
- * *Communications Specialist* – shall be responsible for
 - Coordination of implementation of Component A activities in respective states
 - Ensuring that NGOs/resource personnel are hired and oriented timely for promoting community awareness and involvement to adopt, operate and maintain the equipment provided under Component A, and respond to the warning messages on the Last Mile
 - Monitor integration of Component A with respective disaster warning systems existing in the state;
 - Monitor deployment of Project Command and Control unit at the State's Nodal Unit and selected district level units.
 - Ensure orientation and training of all the agencies involved in Component A for effective utilization of the interventions.

- **MIS specialist** shall be responsible for generating the necessary progress and information tracking reports, as may be required. He/She will also coordinate with the line departments for timely input of data into the MIS system.
- A *network and IT administrator* for maintenance and upkeep of IT and communications infrastructure at the PIU. **Support staff** may be appointed as required, but shall not exceed a number of 3 personnel. They shall assist the project team in filing, paperwork and ensuring smooth execution of the project.
- The **Compliance function** would be led by outsourced agencies. These include
 - an external auditor for review of the project financial statements and records
 - Third Party Quality Auditor for works executed through the line departments
 - Internal Auditor
 - Assessment of Impacts of Resettlement Action Plans

5.1.7 Line Department

The Line Departments shall be responsible for the execution of works proposed in the NCRMP through a Nodal Unit identified in the respective Districts.

The Line departments shall have one nodal officer (at least SE level rank) supported by other Engineers as needed, and support staff; for acting as the single point of contact in the line department for the NCRMP. He shall be responsible for:

- Performing a thorough review of the technical documents being prepared by the Line Department for technical accuracy and compliance with the DPR and bid formats, and compliance with the project guidelines. Providing technical guidance and coordination to the Line Department in this function
- Appropriate planning of procurement and implementation of works related to respective line department
- Performing review of the bid evaluations done by the department staff and make recommendations to PIU for award
 - Note: Prior to award of contract, all contract documents shall be forwarded to the Procurement Specialist at PIU to confirm whether procurement procedures under the NCRMP have been complied with.
- Monitor procurement progress and take measures to expedite
- Maintenance of procurement records
- During implementation, monitor contractors' performance and recommend appropriate measures (e.g., termination / penalties etc) to the PIU
- Ensure that line department units (divisions and sub-divisions) undertake appropriate quality control of works; undertake sample check measurements to confirm that works implemented confirm to standards, review comments and suggestions of third party quality auditor and ensure compliance to the recommendations; and provide necessary technical guidance on these aspects
- Forward the consolidated bills to the paying authorities after verification that all requirements as per project framework are complied with. Approving invoices and forwarding them to the PIU for clearance
- Ensuring compliance with environmental and social guidelines set out in the ESMF in the construction phase.
- Compiling monthly progress reports for the Line Department, updating the MIS / sending relevant updated information to the PIU
- Reviewing physical progress of work for their respective areas and provide necessary feedback for corrective action
- Undertaking periodic site visits to review the progress of work
- Coordinating with the different implementing units within the department
- Monitor for appropriate community intermediation / involvement by the line departments as required, particularly to make them understand sustainable operation of assets and usage and functionality during disaster times;

- Ensuring that line department's implementing units (divisions and sub-divisions) are adequately staffed and trained/oriented for delivering the project
- As the works are getting completed, ensure smooth transition to integrate with the line departments' regular O&M and upkeep;

5.2 Roles and Responsibilities

The roles and responsibilities of the implementing and monitoring agencies at different levels will vary across the following key functional areas:

- Design process & Preparation Phase
- Execution/Implementation
 - Procurement of goods and services – tendering, award of contract
 - Progress Monitoring and Quality Control
- Financial management
- Audit requirements and arrangements
- Environment and Social compliances
- Sustainability - Post project operation and maintenance

An overview of the key roles has been provided in the previous section 5.1. A detailed description of roles and responsibilities of the stakeholders under the listed functional areas is provided in appendix 6.

5.3 Compliance requirements

The compliance requirements for NCRMP are summarised in the following table:

Table 2: Compliance requirements for NCRMP

Agency	Compliance requirements
All agencies	<ul style="list-style-type: none"> ▪ Comply with Governance and Accountability Action Plan (See Section – xx) ▪ Comply with Disclosure and Grievance Redress Procedures (see Section –xx)
PMU	<ul style="list-style-type: none"> ▪ Provide Quarterly Progress Reports, summarizing information collated from various implementing agencies ▪ Provide Monitoring and Evaluation information as per the agreed framework, on a quarterly basis ▪ Appoint Benefit Monitoring and Evaluation Consultant to develop the base line information at the beginning of the project, assess outputs/outcomes at Mid Term and End of the project
PMU, PIU, NIDM	<ul style="list-style-type: none"> ▪ Appoint Internal Auditor and undertake Semi-Annual Internal Audits; improve project management and processes based on recommendations of the Internal Auditor ▪ Appoint External Auditor, implement identified measures / resolve issues ▪ Ensure that Institutions are adequately staffed and resourced; staff are adequately oriented and trained for effective project delivery
PIUs along with Line Departments	<ul style="list-style-type: none"> ▪ Comply with ESMF requirements ▪ Appoint Third Party Quality Auditor for the entire project duration; comply with recommendations ▪ Undertake Impact of Resettlement Action Plans

5.4 Grievance Redressal

The PMU and the State PIU will be responsible for addressing the complaints received on the NCRMP. The project monitoring and tracking tool will have provision to track the complaints, escalate to the respective authorities and also track redressal status. A monthly MIS will be generated which sums up the status of all complaints for the past month.

In case the system is not in place, records of these complaints will be maintained manually and a reference number and acknowledgement will be provided to every complainant. The complaints will be marked to the concerned officials and follow-up will be undertaken to track status. A complaint not closed within a specified time will be reflected against the name of concerned official in the monthly report.

Under the NCRMP, the grievance redressal mechanism is defined at two levels

1. Grievances related to Procurement and other issues
2. Grievances related to R&R and Environment issues

The mechanism for resolution for both cases is as follows:

Grievances related to Procurement and other issues

All procurement under NCRMP will follow the World Bank Guidelines for procurement of goods and services, and care will be undertaken so as to avoid discrepancies. In case of a complaint being made, it will be brought to the notice of the Nodal Officer (NO) of the concerned line department. The nodal officer will take all possible measures to resolve the issue, and appropriately respond to the query. In case of non-resolution, the matter will be escalated to Chief Engineer (CE) of the concerned line department. Some important aspects are:

- Complainant will be given an acknowledgement within 3 days
- All complaints will be recorded in the data base of line departments with appropriate numbering,
- The complaint handling mechanisms, status of complaints received and their resolution is to be recorded in the PIU website. Efforts will be taken to resolve complaints within 30 days
- Timely resolution of complaints is to be monitored by the nodal unit at the line departments and PIUs
- PIU will inform the Bank through QPRs
- Complaints received by the Bank will be sent to PIU for information and follow-up. Their status of resolution will be intimated by the PIU to the Bank.
- Every department of the state has a Chief Vigilance Officer. Complaints regarding problems such as theft, fraud, corruption etc will be handled by Chief Vigilance Officer, who will conduct an independent department enquiry.
- On complaints related to non-award of bids to any contractor, line departments will hold debriefing meetings as stated in section 2.65 in the Bank guidelines for procurement under IBRD loans and IDA credits, for any bidder who wishes to ascertain the grounds on which its bid was not selected. They will provide an explanation of why such bid was not selected, either in writing and / or in a debriefing meeting. The requesting bidder shall bear all the costs of attending such a debriefing. PIU will monitor this.
- PIU and LDs will display names , designations and contact details of all key persons at its office at Head Quarters.

In cases where matter cannot be resolved at the level of Line department, it will be escalated to the grievance cell of the concerned department chaired by the Principal Secretary of the department concerned with the issue/matter and he would be the final authority to decide the case.

Grievances related to Environment and Social issues

In the NCRMP, all efforts will be made so that the compensation package for PAF's is decided in consultation with the community so as to avoid any dispute. In case of a potential dispute, the matter will be brought to the notice of local tehsildar/Sub Divisional Magistrate (SDM). He shall hear the case in the presence of (a) the affected party, (b) the incharge of line department who is acquiring the land/ incharge of the sub-project activity and (c) sarpanch of the village where the sub-project is being implemented. He will try to reach an amicable solution to the issue.

However, in case of non-satisfactory solution, the matter will be brought to the notice of the District Collector for solution. In case of any unresolved issue, the matter shall be brought to the grievance cell of the concerned department chaired by the Principal Secretary of the department concerned with the issue/matter and he would be the final authority to decide the case. The hearing will be attended by all members present for hearing with the SDM as well as the Social Management Specialist of the PIU. The Social Management Specialist will be responsible for maintaining a record of the proceedings and the final decisions.

5.5 Disclosure Arrangements

The disclosure guidelines to be followed for the project are summarized in the table that follows.

Table 3: Disclosure arrangements for NCRMP

Level	Disclosure requirements
Overall Project	<ul style="list-style-type: none"> ▪ Overall information about the Project ▪ Grievance redressal mechanism ▪ Information under Right to Information (RTI) Act <ul style="list-style-type: none"> ○ Monthly returns under the RTI ○ Particulars of organization functions ○ Powers and duties of officers and employees ○ Procedure followed in decision making ○ Documents held by public authority. ○ A statement of organization structure ○ Statement of Accounts ○ Directory of officers and employees ○ Officers designated under RTI ▪ The link on officers designated under RTI provides the list of information officers, assistant information officers and appellate authority to whom the complainant can appropriately address the complaints. ▪ Third party audit reports and compliances ▪ Quarterly progress reports
Environmental and Social⁵	<ul style="list-style-type: none"> ▪ ESMF ▪ Screening reports -- first year, second year etc ▪ Consultation reports – first year, second year etc ▪ Environmental assessment and environmental management plan ▪ Resettlement action plans
Procurement	<p>On PIU website</p> <ul style="list-style-type: none"> ▪ EOIs of consultants and invitation for bids

⁵ A brief summary of the relevant documents shall be in the local language.

Level	Disclosure requirements
	<ul style="list-style-type: none">○ (will also be made available through World Bank website (UNDB/ DG market) as required)▪ All bid documents, RFPs in read only formats – in tenders section▪ Queries put by bidders and any replies – also to be made available to all bidders▪ The publication of award of contract would be done as per the format provided in section-2.6 of Bank guidelines for procurement under IBRD loans & IDA credits.
Financial	<ul style="list-style-type: none">▪ FMRs▪ Quarterly expenditure reports▪ Audit reports

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6. Financial Management Arrangements

The Financial Management manual has been designed to provide **guidance on matters relating to financial recording** and reporting for NCRMP such that financial management for the project is in **compliance with the Project requirements**. The manual provides the principles of financial management including standard reporting formats. The finance manual essentially covers the following areas:

- Budgeting
- Flow of Funds and Disbursements
- Accounting and Financial Management
- Internal control and governance structure
- Financial Reporting
- Audit requirement

The experts of financial management and reporting arrangements have been provided in appendix 7 for reference.

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7. Procurement Management Arrangements

The procurement manual gives details about the procurement arrangements and methods that will be followed by the PMU, PIU and the various implementing agencies.

The manual has been prepared in compliance with the World Bank guidelines for “*Procurement under IBRD Loans & IDA Credits, May 2004, revised in October 2006*” and “*Selection and employment of consultants by World Bank Borrowers, May 2004, revised in October 2006*”. The manual outlines detailed provisions for the applicability of these procedures for NCRMP. All implementing agencies (as detailed in the implementation arrangements) invariably need to follow the procedures laid in this manual so as to enable them to procure ‘Works’, ‘Goods’ and ‘Consultant Services’ for the project. The procedures mentioned in the Procurement manual are further complemented by the model bidding documents and formats prescribed by the Bank.

The manual mainly covers the following topics:

1. Procurement Plan
2. Procurement arrangements
3. Threshold Matrix for Procurement Methods & Prior Review
4. Procurement Methods for Goods and Civil Works
5. Procedures for procurement of Goods and Works
6. Procurement methods for Consultant Services
7. Procedures for procurement of Consultant Services
8. Bank review of Procurement Action
9. Record Keeping
10. Complaint Redressal mechanism
11. Consequence of non-compliance with Manual

The highlights of procurement arrangements have been provided in appendix 8 for reference.

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8. Environment and Social Management Arrangements⁶

NCRMP proposes to support multiple sub-projects covering activities such as provision and repair of cyclone shelters, construction/repair of saline embankments and construction/repair of missing road links and bridges in the coastal areas. The program scope may also include activities like shelter belt plantation and plantation/regeneration of mangroves in future. In order to ensure effective environmental management in a scenario where multiple sub-projects are located across different parts of the coastal region across various states (Orissa and AP in the first phase), the approach of ESMF preparation has been adopted in the project.

The ESMF has been prepared for supporting the integration of environmental and social aspects within the decision making and implementation process of various sub-projects. It will also support compliance with applicable laws and regulations of Gol and State Governments apart from meeting the requirements of the relevant Bank policies.

8.1 Environment Management

The over-all environment management approach for the project under the ESMF includes the following key steps:

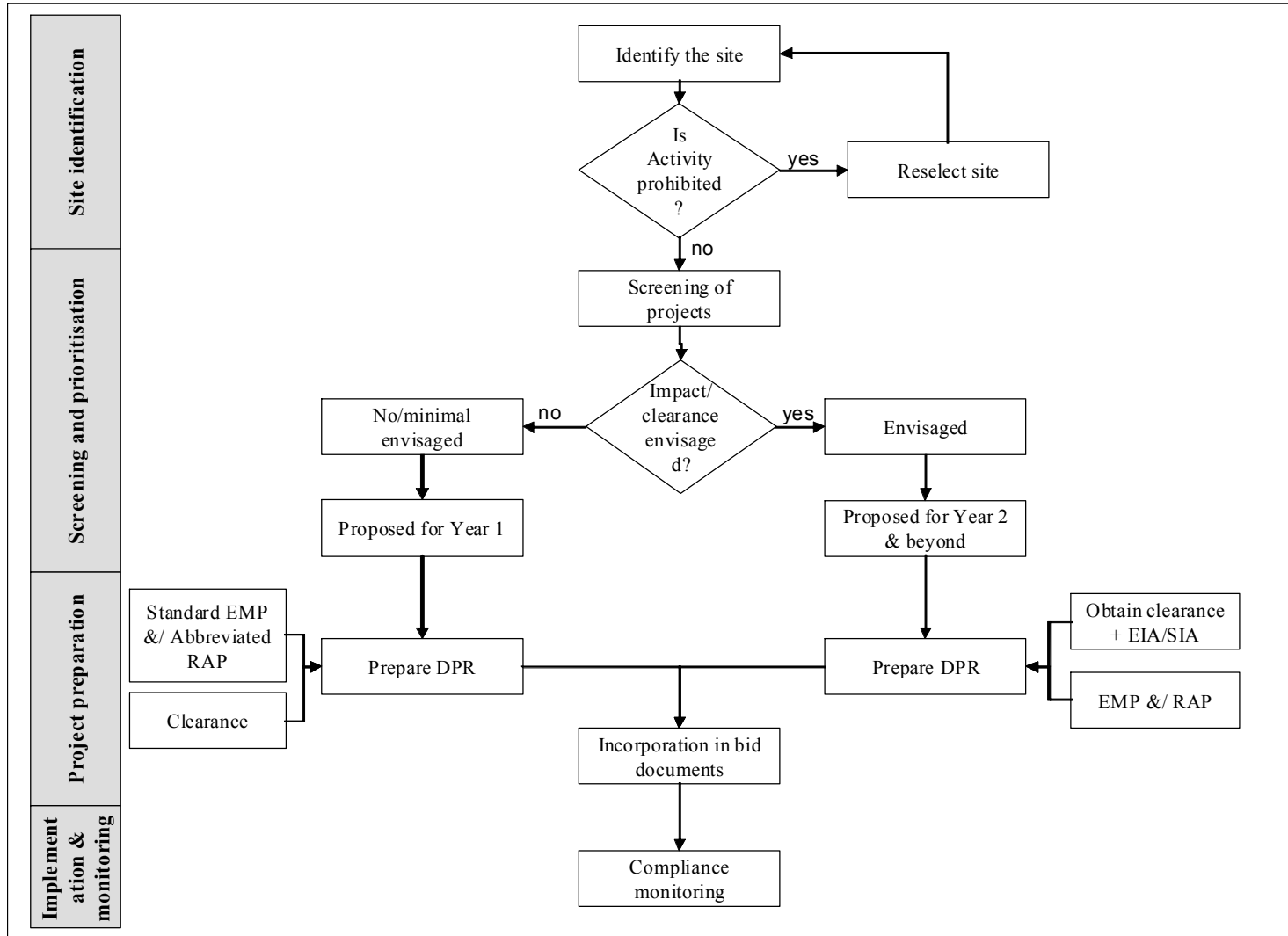
- Environment screening, which has/will help in early identification of key environmental issues at the sub-project level. The screening process forms the first step in the environment management process for the project and is being carried out in parallel with the project identification/engineering feasibility study for all proposed sub-projects. Proposed investments have been screened and sub-projects with no significant adverse environmental impact have been identified for Phase I. The environment screening process for the project has used a robust methodology supported by use of scientific tools such as GIS and remote sensing techniques.
- For sub-projects with the potential for significant adverse environment impacts (which has/will emerge from screening results), an Environment Assessment (EA) and sub-project specific Environment Management Plan (EMP) will be prepared in accordance with Bank's OP 4.01. The EA will include an assessment of baseline conditions, analysis of alternative options, assessment of potential impacts, identification of mitigation measures and preparation of sub-project specific environmental management plans. However, it is expected that sub-projects with the potential for significant adverse environment impacts will be few in number. These are expected to be limited to Saline Embankment works only.
- Based on screening results, if a sub-project does not require an EA, the generic/standard activity-specific EMP, developed as part of the ESMF, will apply. These generic/standard activity-specific EMPs provide over-all guidance on avoidance, minimization and mitigation measures to be adopted during the planning, design, implementation and operation stages of the concerned sub-project.

The ESMF serves as a comprehensive guide covering policies, procedures and provisions, which are being/will be integrated within the over-all project cycle to ensure that the environmental aspects are systematically identified and addressed in all the sub-projects. The project is being designed and will be implemented in a manner that will ensure compliance with the agreed/approved ESMF.

The overall applicability and process of the ESMF has been depicted in the flow chart below:

⁶ The Operations manual presents an overview of the screening process and highlights of ESMF. For further details on the screening checklist, processes and guidelines for management plans, please refer the ESMF. .

Figure 5: The ESMF process for NCRMP:



8.2 Social Management

The sub-projects proposed under NCRMP will have positive impact on the community as a whole but may adversely impact a limited section of the community or individual members of the community. The subprojects proposed under Component B are: (a) construction of multipurpose Cyclone Shelters; (b) construction/repair of Coastal Canal and embankments for improved drainage; and (c) construction/ repair of missing road links and bridges. Substantial portion of the infrastructure such as roads, bridges, canals and embankments will use the existing alignments and therefore are unlikely to involve land acquisitions except for minor widening/up-gradation where required by design. The new multipurpose shelters are also planned either in the existing school or other government land. Consequently, the implementation of these subprojects might have adverse social impacts largely restricted to a modest loss of land and livelihood disturbances for some people from the construction of new infrastructure. The preliminary review and assessment identified possible adverse impacts of the proposed sub-project activities as:

- Loss of land and/or shelter, specifically in relation to the potential for displacement, rehabilitation and habitat fragmentation
- Potential livelihood losses
- Displacement/loss of Common Property Resources
- Impact on the community health wellbeing due to construction activities and migrant labor
- Demographic changes - size and composition of resident population, influx of temporary work force or new users (disrupts the cohesion of a small, stable community).

To help states plan for minimizing the adverse impacts on the community and for appropriate compensation, the ESMF defines the following

- The social impacts due to the sub-project activities will be first identified using the screening checklist. This will be used to determine the requirement of full scale Social Impact Assessment and preparation of Resettlement Action Plan.
- The Participating States have conducted the screening and classified works them into two categories: (i) subprojects with no adverse social issues; and (ii) the subprojects with likely adverse social impacts. First category projects are planned to be taken up during the first year of project and the second during the later years. Social Development Expert at the State PIU will certify all the Detailed Project Reports prepared and will be responsible for the implementation of the ESMF. Implementation of mitigation measures will be completed before the start of civil works.
- The DPRs will be based on the guidelines given in the ESMF document which include (a) entitlement matrix for each identified adverse impact and (b) indicative social management plan
- Third Party Quality Auditors will assess the implementation of the RAPs. Mid-term and end-of-project evaluations will be undertaken to assess the impact of RAP in mitigating the adverse affects on the project affected people.

9. Monitoring and Evaluation

9.1 Project Tracking Framework

The project management tool would be a web – enabled fully integrated system that provides (24 X 7) real time access to the authenticated, reliable and accurate information with clearly mapped roles and rights of responsible agencies.

The Project Management Tool will serve to streamline and standardize key processes associated with various functional aspects of the project. The tool shall cover the following activities:

- Track financial progress of the project
- Track physical progress against targets
- Identify and report on key deviations and exceptions to the project. Report on constraints or bottlenecks being faced in the execution of the project & suitable action for the same
- Provide status of compliance with environmental and social management framework
- Provide real time status of the projects from Line Department level to Program Level
- Facilitate procurement activities including preparing the procurement plan Monitor assets / equipment and site inventories
-

The tool should provide broad range of capabilities to support all critical back – office functions with features / modules for procurement management, financial management, project management, etc. The expectations from the tool have been summarized under the following heads:

- Accounting and financial management
- Procurement and inventory
- Project management
- Compliances
- MIS reports & Documentation

Formats have been designed for each of the above modules. These format will used for monitoring and reporting of Project activities, and form a part of the manual on Project tracking framework.

9.1.1 Accounting and financial management

The IT tool shall act as a repository for accounting and financial reporting. The finance module shall be an integrated module.

The Project has a central Project Management Unit (PMU) that oversees the deployment of the different components across different Project Implementing Units ('PIUs'). For certain components, the PIUs are supported by implementing agencies while for other components, the PIU is itself the implementing unit. Accordingly, financial information would need to be captured for:

- Overall project (consolidation at the level of the PMU)
- For each PIU (and within it for each implementing agency)
- For each component

Certain purchase requirements (services/construction activities etc) may be clubbed into one package that would be tendered as such. A site and package shall form the base around which information shall be collated and reported.

The following is the list of tasks that is envisaged from the system:

- Fund forecasting and budgeting
- Raising demands and fund receipts
- Fund utilization
- Chart of Accounts (COA)
- Accounting entries
- Disbursements
- Cash and Bank
- Fixed assets
- Financial Reporting

9.1.2 Procurement and Inventory management

The project management tool shall constitute features to support procurement planning, procurement and order management. The following is the list of tasks that is envisaged from the system:

- Procurement Planning and implementation

9.1.3 Project Management

As part of NCRMP, several infrastructure projects would be coming up over different parts of the Country, which shall be implemented in packages by different States and Agencies. Accordingly, the tool should facilitate multi – level masters capturing project details, package details, State / implementing agency and various associated components. For instance, for a particular construction / work site, details like Site name, site code, Block, District, State, Component, Nature of work, package, budgeted and expected start and end dates, etc; along with financial information (budgets) and physical execution information (activity schedule). The following is the list of tasks that is envisaged from the system:

- Project Design and masters
- Project monitoring and control

9.1.4 Compliances – Environment and Social Management Framework (ESMF)

The IT tool shall incorporate the ESMF screening checklist/ form (refer ESMF) so as to generate the results in the prescribed Sector/ State wise report after its (screening checklist) online completion or manual upload (refer ESMF).

The IT tool shall also track by site:

- The need and status of compliances/clearances against every site
- Whether the site has any special environmental or social considerations
- Results of review by the environment and social specialists
- Exceptions reported against a particular site

- Need for Resettlement Plans and action taken
- Grievances etc raised and resolved etc.

It shall be possible to generate detailed and summary exception reports to review the progress against regulatory, environment and social matters.

Document results of audit / independent reviews conducted at various sites with respect to financial, environmental and social compliances at sites and generate audit issues / observation trackers (that details issue type, description, raised on, actions required, responsibility and resolution status, etc.). The tool shall also generate report on grievances and their status.

9.1.5 Critical Events Calendar and Scheduler

The tool shall generate GANTT charts / activity scheduler (akin to MS-Projects) for tracking different activities and their execution stages against the planned dates, Facility to generate critical activity calendar (for each implementing agency) and generate reports on completion of identified tasks and slippages.

9.1.6 MIS / Reports and Dashboards

Along with the standard reports and templates available in the tool, it shall facilitate generation of user – defined MIS / Reports by dragging and dropping the requisite information heads.

System should provide graphical presentations and dashboards providing information on

- Expenditure,
- Fund utilization,
- Project progress (physical and financial),
- Demands raised and installments received,
- Constraints and Issues, etc.

9.1.7 Document Vault

The project management tool should also have a data warehouse or an operational data store that facilitates uploading all type of documents like pdf, spreadsheet, word document, .txt files, .xml files, etc. and record comments along with the user details like name of the user, time, date, etc.

The tool should have provision to generate and assign unique number to the documents uploaded and shall maintain complete audit trail of the changes made and access to the important documents kept in the document vault. It should be possible to restrict access to files/folders in the vault to certain users

9.2 Benefit Monitoring and Evaluation

A benefit monitoring and evaluation (BME) study will be outsourced by the PMU for monitoring and evaluating the outcomes/results from activities proposed/planned under Component A, B & C vis-à-vis the goals, objectives and expected outcomes/outputs of the project.

The study will be outsourced and will have three clear-cut stages. Stage I will set up the baseline data, Stage II will a midterm evaluation and Stage III will be the end of the project evaluation. The study will incorporate both qualitative and quantitative analysis and will also be used as a tool for mid course corrections.

Table 4: Results framework for BME

	Key Performance Indicator(s):	Means of Verification
Outcome Level:		
Reduced vulnerability of coastal communities in participating states to cyclone and climate related hazards	<ul style="list-style-type: none"> • Proportion (%) of targeted coastal population covered by the EWDS • Proportion (%) of people having access to emergency shelter • Number of people and hectare of land protected by strengthened/improved embankments • Increased awareness about warnings and emergency response 	Quantitative/Qualitative Surveys comparison with base line and Supervision, Reporting and Monitoring framework.
Output Level:		
Installation of EWDSs	<ul style="list-style-type: none"> • Number of EWDSs installed. 	SRM Framework
Construction of Risk Mitigation infrastructure	<ul style="list-style-type: none"> • Number of additional cyclone shelters provided • Km of access/evacuation roads completed. • Km of embankments strengthened/ improved. 	SRM Framework
Capacity built towards managing disasters	<ul style="list-style-type: none"> • % of targeted communities / people trained in use of early warning and evacuation provisions • Number of government officials trained on specific disaster management skills • Preparation of long-term training and capacity building strategy • Completion of risk assessment studies 	SRM Framework

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10. Governance Accountability and Action Plan

The National Cyclone Risk Mitigation Project is a clearly structured and focused project, designed as an Adaptable Program Loan (APL). Phase I of the APL starts with two states Andhra Pradesh and Orissa and has three nodal agencies – one at the central level (PMU at NDMA) and one PIU each in the two states. The potential Governance and Accountability issues for the project include ensuring uniform policy regime for promotion of mitigation interventions, strengthening of control and accountability and ensuring uniformity in implementation approach due to participation of multiple states. Potential risks include delay in implementation, lack of established procedures for disclosure, new accounting format of Bank (IUFR - Interim Unaudited Financial Report), inadequate monitoring and evaluation systems, lack of third party oversight and quality checks, insufficient availability of information for beneficiaries, weak asset management systems, and weak monitoring and evaluation systems. These issues are grouped under four broad categories: **Policy, Institutional, Procedural and Human Resources**.

The NCRMP will implement the following actions for addressing the above issues for enhancing governance and accountability measures under the Project:

Policy - (i) ensure disaster mitigation focus in identifying and designing the investments; (ii) involve communities in planning, designing and maintenance of assets that includes creation of shelter management committees with a provision of corpus fund;

Institutional - (i) establish upfront project identification, preparation, evaluation and screening methodology including defining roles and responsibilities of involved agencies; (ii) ensure dissemination of information related to procurement, progress - financial and physical and project monitoring and evaluation reports. (iii) provide a system for grievance redress;

Procedural - (i) establish upfront monitoring mechanism by installing a web enabled MIS; (ii) make use of third party quality audit of works including compliance review of social and environmental management plans and to verify working of established systems; (iii) undertake financial and procurement audits; (iv) use transparent procurement processes and systems;

Human Resources - (i) orientation and capacity building of stake holders; (ii) partnering with external agencies to deliver specialized activities; and (iii) comprehensive assistance from the Bank by establishing a dedicated Implementation Support Team (IST) financed by the Global Facility for Disaster Reduction and Recovery (GFDRR).

10.1 Critical Actions

The following are the three critical actions that will be particularly monitored by the Bank team during implementation:

- Establishment and running of the MIS System and its regular improvement – target: to be established by March 2010
- Ensuring appropriate dissemination of information on a regular basis
- Ensuring proper functioning of grievance redress mechanisms

10.2 Implementation Framework

Implementation of specific actions identified in para 2 above would follow the approach detailed below. Some of the actions have already been completed, and the rest will be done on an ongoing basis and as the implementation

Project planning

NDMA created standard templates with detailed guidelines and conducted workshops with participating states. Selection and design of interventions for disaster mitigation is a primary requirement of these guidelines. Similarly, detailed screening methodology for investments has been developed in a consultative manner, to avoid significant environmental and social impacts and to effectively handle minor impacts, if any. NDMA also hired an international management firm as Project Management Consultant to help and guide the participating states in the preparation and implementation of the project. Similar procedure will follow for subsequent phases of the program.

Community participation

Community involvement is ensured from the beginning and consultations have been carried out from the preparatory stage. Community involvement in shelter management and early warning system is incorporated in the project design. Creation of shelter management committee and institution of corpus fund for operation and maintenance is a system designed to ensure participation and sustainability.

10.2.2 Institutional

Roles and Responsibilities:

The institutional arrangement for the project is simple with only three key nodal institutions, one at the centre – NDMA, and one PIU each in AP and Orissa. Roles and responsibilities of each institution have been clearly laid out in the Operations Manual. A project orientation workshop would be organized before the launch of the project.

Disclosure

Public disclosure of documents, reports, procurement process and results and physical and financial progress will be carried out by integrating a public viewing portal on the MIS. The documents for disclosure will include project preparation and implementation documents, PAD; ESMF, Technical, Procurement, Financial Management, Environmental and Social compliance reports, etc. A designated office will be made responsible in each of these institutions.

Grievance redress

A separate module for tracking of grievance redress will be included as part of the MIS and an annual audit will be carried out as feed back to the project authorities.

10.2.3 Procedural

Monitoring and evaluation

An internet supported MIS will be installed based on the agreed formats for review and monitoring that are already developed and agreed on. NDMA will hire an experienced agency for development and customization of this system. Responsibility for the management and the periodic update will lie with the PMU, state PIUs in cooperation with the concerned line agencies. Project will also set up a base line for monitoring and evaluation of results within the first year of the project.

Third party quality audit

A third party quality audit firm will be hired by each participating state based on a pre-agreed ToR that would enable compliance to standards and specification as defined in the bidding documents. The audit party would also report on specific issues related to compliance on ESMF and other social and environmental management actions. This would be done on a random and continual basis throughout the project. The audit system will also be linked to the payment mechanism to ensure effective resolution of issues prior to payments to contractors.

Financial and procurement audits

External procurement audits will be carried out for all the post review contracts. A statutory auditor will be appointed for financial audit. Additionally, there will be concurrent internal audit to validate expenses incurred for sub-projects under each of the components which will also include sample verification of assets.

Review of Institutional Systems and Processes

A review by the Bank team or Third Party would be undertaken regularly, to assess the functioning of Institutional systems and develop recommendations for improvement (e.g., mobilization and retention of capacities, delivery of respective roles, soundness of operations, value added, veracity of information generated in MIS; level and quality of public disclosures, functioning of grievance redress mechanisms etc. and quality and effectiveness of capacity building measures).

Procurement processes

Bank procurement procedures which are transparent and robust will be followed for all procurements. NDMA and state PIU will provide procurement support to the line departments.

10.2.4 Human Resources

Capacity building and Partnership

In order to augment the project implementation capacity of the agencies, NDMA has established the PMU and states have hired the technical expertise. Orientation Training and refresher courses will be organized for the staff involved in implementation. The project will also conduct annual review and reorganize the capacity building program. Where specialized skills are needed, such as community awareness of vulnerable communities, the project will partner with local NGOs / resource persons.

Implementation Support Team

This is a new and innovative approach of implementation support. The Global Facility for Disaster Reduction and Recovery (GFDRR) agreed to finance a dedicated Implementation Support Team (IST). IST will work under the oversight of the Bank task team and provide support to the central PMU as well as the state PIU's. This will among others include (i) technical advisory services, (ii) hands-on procurement training, (iii) quality control functions for the efficiency and effectiveness of the MIS system, (iv) field visits with progress and quality monitoring and interaction with beneficiaries, contractors and other stakeholders, as well as (v) reviewing the transparency and disclosure requirements.

10.3 Costing

Most of the actions identified fall under the routine operations of the institutions, and therefore their cost is factored in the Operating Costs under Component D of the project. Cost of specific actions such as Audits, agency cost for specialized activities etc have been separately estimated and included in the project cost.

10.4 GAAP: Risk Assessment and Mitigation Measures Matrix is at Appendix 10.

11. Annexure

Appendix 1 - Office Memorandum for Constitution of Project Steering Committee

MOST IMMEDIATE



No. I/MIT/NCRMP/2007-PMU(9)

Dated the 26 the May, 2010

OFFICE MEMORANDUM

Subject: Constitution of the Project Steering Committee (PSC) for National Cyclone Risk Mitigation Project (NCRMP) being administered by National Disaster Management Authority –

After the enactment of Disaster Management Act, 2005 and subsequently, the establishment of National Disaster Management Authority (NDMA) under Hon'ble Prime Minister, the Plan Project of National Cyclone Risk Mitigation (NCRMP) including a few new other Mitigation projects in the areas of Earthquake, Floods, Communication Network, Landslides etc. were taken up by NDMA. The Expenditure Finance Committee (EFC) of Ministry of Finance, Government of India considered the EFC Memo. relating to the National Cyclone Risk Mitigation Project (NCRMP) on 7.4.2010.

2. Considering the multi-sectoral Investment Proposals likely to be received by the National Disaster Management Authority under the NCRMP, it has been decided to set up a Project Steering Committee consisting of subject-matter specialists drawn up from various Ministries/Agencies/Institutions under the Chairmanship of Secretary, National Disaster Management Authority. The composition of the Project steering Committee will be as under:-

- | | |
|---|------------|
| I) Secretary, NDMA | - Chairman |
| ii) Secretary(BM), Ministry of Home Affairs or his representative | - Member |
| iii) Representative from Ministry of Earth Sciences/
India Meteorological Department | - Member |
| iv) Executive Director, National Institute of Disaster Management
New Delhi. | - Member |

- v) Secretary, Ministry of Environment and Forests, or his representative(s) dealing with matters relating to coastal shelterbelt plantation, mangrove regeneration and coastal zone management etc. -Member
- vi) Representative from the Central Water Commission dealing with coastal canal system, construction of saline embankment and river management. - Member
- vii) Director, SERC, Chennai. - Special Invitee
- viii) Director, CRRI, New Delhi, - Special Invitee
- ix) Project Director(NCRMP), NDMA - Member
- x) Financial Advisor, NDMA - Member xi)
Joint Secretary(Mitigation), NDMA, - Member Convener

3. Secretary, NDMA, can also co-opt representatives from any other Ministry/Department/Organisation concerned with the Project, if required.

4. The powers and functions of the Project Steering Committee are as under:-

- (i) Review and monitor progress of the implementation of the Project.
- (ii) Review critical findings of audit reports.
- (iii) Discuss and approve the Annual Work Plan and Budget of the project for districts and States/UTs of the country;
- (iv) Provide administrative clarifications and instructions regarding the project norms and implementation procedures;
- (v) Suggest proposals for modifications in the project Framework for Implementation to the NDMA as and when required, in consultation with States/UTs.
- (vi) Provide such guidance as it may deem necessary for the project.

5. The Project Steering Committee will meet as and when necessary to be decided by the NDMA. The outstation Members of the Project Steering Committee will be provided TA/DA as per Government Rules.

6. The Office Memorandum of even number dated 28th March, 2010, constituting the National Steering Committee for NCRMP is hereby superseded.

(A.R. SULE)
DIRECTOR

DISTRIBUTION

- 1. Secretary(BM), Ministry of Home Affairs with the request to nominate his representative

2. Secretary, Ministry of Earth Sciences with the request to nominate his representative
3. Shri P.G. Dhar Chakrabarti, Executive Director, NIDM, New Delhi
4. Ministry of Environment and Forests, Paryavaran Bhawan, CGO Complex, Lodhi Road, New Delhi:
 - (i) Shri Debasis Jana, Asstt. Inspector General of Forests
 - (ii) Dr. J.R. Bhatt, Director
 - (iii) Dr. A Senthil Vel, Addl. Director.
5. Director, Coastal Erosion Directorate, Central Water Commission, Room No. 806 (North), Sewa Bhawan, R.K. Puram, New Delhi-110066.
6. Dr. Nagesh Aiyer, Director, Structural Engineering Research Centre, PB No. 8287, Taramati, Chennai -600 113.
7. Dr. S. Gangopadhyay, Director, Central Road Research Institute, Mathura Road, New Delhi.

Copy to:

1. Dr. T. Radha, Relief Commissioner, Government of Andhra Pradesh, Andhra Pradesh Secretariat, Hyderabad-500022.
2. Shri N.K. Sundaray, Managing Director, OSDMA, 2nd Floor, Rajiv Bhawan, Bhubaneswar-751001.
3. Dr. Ranjit Banerjee, CEO, Gujarat State Disaster Management Division, Block No. 11, 5th Floor, Udyog Bhawan, Gandhinagar-382010.
4. Shri M.L. Meena, Principal Secretary & Relief Commissioner, Government of West Bengal, F Block, 4th Floor, Writers Building, Kolkata-700001.
5. Shri Ramesh Kumar, Addl. Chief Secretary, Revenue and Forest Department and Relief & Rehabilitation, 5th Floor, Maharashtra Mantralaya, Mumbai-400032.
6. Smt. Lata Krishna Rao, Secretary, Disaster Management, Revenue Department, Government of Karnataka, MS Building, DR. B.R. Ambedkar Verdi, Bangalore 560001
7. Ms. P. Nivedita Haran, Principal Secretary, Revenue and Relief Commissioner, Department of Revenue, Government of Kerala, Thiruvananthapuram-695001.
8. Shri Rajiv Yaduvanshi, Secretary(Revenue) and Relief Commissioner, Revenue Department, Government of Goa, Goa Secretariat, Panaji-403001.

9. Shri N. Sunderdevan, Relief Commissioner and Commissioner of Revenue, Revenue Administration, Disaster Management and Mitigation Department, Government of Tamil Nadu, Chepauk, CHENNAI-600005.
10. Dr. M. Moddasir, Relief Commissioner and Collector, Government of Daman and Diu, Moti Daman- 396220
11. Shri. Tapan Mandal, Relief Commissioner, Government of Andaman & Nicobar Administration, Secretariat, Port Blair-744101.
12. Shri B.V. Selvaraj, Collector & Development Commissioner, Government of Lakshadweep, Kavaratti.
13. Ms. N. Jayaseelan, Relief Commissioner, Government of Pondicherry, PONDICHERRY-605001.
14. Ms. Kavita Prasad, Director(MI), Department of Economic Affairs, Ministry of Finance, North Block, New Delhi.
15. Shri N.V.V. Raghava, Team Task Leader, World Bank, 70 Lodhi Estate, New Delhi-110003.

Copy to OSD to Hon`ble Vice-Chairman/PPS/PS to Hon`ble Members,NDMA/
Secretary,NDMA/PD(NCRMP)/FA,NDMA/ Director (Mitigation), NDMA /Senior
Specialist(Cyclone), NDMA.

Appendix 2 – Constitution of State Steering Committee at Andhra Pradesh

GOVERNMENT OF ANDHRA PRADESH
A B S T R A C T

NCRMP - Constitution of Steering Committee at State level towards monitoring the National Cyclone Risk Mitigation Project (NCRMP)– Orders – Issued.

=====

REVENUE (DM.III) DEPARTMENT

G.O. Ms.No. 35

Dated: 17.11.2009

Read :

Minutes of the meeting held on 09.11.2009 at 3.30 P.M. in the Chambers of CDM & EOS to Govt. Revenue (DM) Dept.

ORDER:

The National Disaster Management Authority (NDMA) Government of India, New Delhi have suggested the State Government to constitute the State Level Steering Committee for monitoring the National Cyclone Risk Mitigation Project (NCRMP), if not already formed by the State Government.

2. The proposal has been examined by the State Government and it has been decided to constitute a State Level Steering Committee to monitor and review the National Cyclone Risk Mitigation Project (NCRMP) to be implemented in the State as per the guidelines issued by the Government of India.

3. The following is the composition of the Committee:-

Chief Secretary to Govt.	Chairman
Principal Secretary, Revenue	Member
Principal Secretary, Finance	Member
Principal Secretary, TR & B	Member
Principal Secretary, Panchayat Raj	Member
Principal Secretary, Irrigation	Member
Director General, Environment Protection, Training and Research Institute (EPTRI)	Member
Commissioner for Disaster Management & Ex. Officio Secretary to Government	Convener

4. The Steering Committee shall have powers to direct, monitor and review the implementation of the NCRM Project in the State and lay appropriate guidelines.

(BY ORDER AND IN THE NAME OF THE GOVERNOR OF ANDHRA PRADESH)

P. RAMAKANTH REDDY
CHIEF SECRETARY TO GOVERNMENT

To

The Principal Secretary, Revenue, A.P. Secretariat, Hyderabad.
The Principal Secretary, Finance, A.P. Secretariat, Hyderabad.
The Principal Secretary, TR & B, A.P. Secretariat, Hyderabad.
The Principal Secretary, Panchayat Raj, A.P. Secretariat, Hyderabad.
The Principal Secretary, Irrigation, A.P. Secretariat, Hyderabad.
The Director General, Environment Protection, Training and Research Institute (EPTRI), Gachibowli, Hyderabad.
The P.S. to Chief Secretary to Govt. A.P. Hyderabad.
The Project Director, National Disaster Management Authority (NDMA)
Government of India, NDMA Bhavan, A-1, Safdarjung Enclave, New Delhi 110029.
The P.S. to Commissioner for Disaster Management & Ex. Officio Secretary to Government, Revenue (DM) Dept. A.P. Secretariat, Hyderabad.
The Coordinator, Ernst & Young, Ashoka Bhopal Chambers, Secunderabad.

// Forwarded by order //

SECTION OFFICER

Appendix 3 – Constitution of State Steering Committee at Orissa

No- 12 /OSDMA

Date- 01.01.2005

Office Memorandum

Subject- National Cyclone Risk Mitigation Project

The Government of India (Ministry of Home Affairs) have drawn up the National Cyclone Risk Mitigation (NCRM) Project to be implemented in 13 states/UTs including Orissa with the World Bank assistance during the period 2004-2010. Under this Project, Cyclone Risk Mitigation investments will be undertaken in the state and these, inter-alia, involve construction of cyclone shelters, shelter belt plantation, mangrove regeneration, construction of embankments to stop sea water inundation, construction of missing road links and commissioning of technical assistance/studies to sustain these initiatives in the States/UTs. States will draw up the proposals as per the local needs by identifying the priority areas wherein investments are most crucial for effecting mitigation of cyclone risk.

A State level Project Steering Committee is constituted hereunder with the approval of the Government to identify the priority areas, consider the investment proposals and review and monitor the progress of the activities taken up under the Project.

- | | | |
|--|---|-----------------|
| 1. Chief Secretary | - | Chairperson. |
| 2. Principal Secretary to Govt.,
Revenue Department | - | Member. |
| 3. Commissioner-cum-Secretary to Govt.,
Forest & Environment Department. | - | Member. |
| 4. Commissioner-cum-Secretary to Govt,
Rural Development Department | - | Member. |
| 5. Commissioner-cum-Secretary to Govt,
Water Resources Department. | - | Member. |
| 6. Special Relief Commissioner, Orissa | - | Member. |
| 7. Commissioner-cum-Secretary to Govt.,
Panchayati Raj Department | - | Member. |
| 8. Principal Chief Conservator of Forest, Orissa. | - | Member. |
| 9. Secretary to Govt,
Works Department | - | Member. |
| 10. Engineer-in-Chief, Water Resources Department | - | Member. |
| 11. Honorary Secretary, Red Cross Society,
Orissa State Branch, Bhubaneswar | - | Member |
| 12. Managing Director, OSDMA | - | Member Convenor |

- Sd -
Managing Director, OSDMA
P.T.O.

Appendix 4 – Format for bill clearance certificate

Bill clearance certificate

(The certificate is to be printed on department's letterhead)

Department:

Invoice No: _____

Description of works: _____

With reference to the above mentioned invoice no, this is to certify that:

- The works for which this invoice is being submitted have been completed and the quality of works is assured.
- The contractor has addressed all concerns/comments of the Third Party Quality Auditor and no comments are pending.
- The Resettlement and Rehabilitation guidelines have been duly adhered to.
- The suggestions of the Environment Management Plan have been adhered to on site.

(Name and signature of the nodal officer)

(Department seal)

Appendix 5 – GO for the formation of tender approval committee in Andhra Pradesh

GOVERNMENT OF ANDHRA PRADESH
ABSTRACT

NCRMP - Constitution of Technical and Financial Evaluation Committee for procurement of all works under Component "B" costing above Rs.2.00 crores– Orders – Issued.

=====

REVENUE (DM.III) DEPARTMENT

G.O. Ms. No.2

Dated:05.02.2010
Read the following :

1. G.O. Ms. No.35, Revenue (DM.III) Dept., dated 17.11.2009.
2. Approved minutes of the NCRMP dated 19.12.2009.

ORDER:

In the reference 1st read above, the State Government constituted the State Level Steering Committee (SLSC) for monitoring the National Cyclone Risk Mitigation Project (NCRMP).

2. In the reference 2nd read above, the State Level Steering Committee has accorded approval for constitution of the Tender Committee by including Engineer-in-Chiefs of various departments and Chief Engineers as members to approve tenders connected with National Cyclone Risk Mitigation Project for the works/ packages above Rs.2.00 crores (Rupees two crores only) since the powers of the Engineers-in-Chief to approve tenders for Rs.2.00 crores and below, as per the present rules in vogue the tenders which are above Rs.2.00 crores are being sent to Governments technically formed Board of Tender Committee. In the existing process, it is felt by the NDMA during the pre-appraisal meeting that the probability of according technical sanction for tenders above Rs.2.00 crores may be delayed due to various administrative reasons. Hence, the felt need of forming separate Tender Committee for NCRMP works/ packages to approve tenders of above Rs.2.00 crores.

3. The Government after careful examination, hereby constitute the following Technical and Financial Committees to evaluate and approve the tenders for NCRMP for packages costing Estimate Contract Value above Rs.2.00 crores.

Technical Evaluation Committee :

A committee consisting the following members shall finalise the activities like (i) approval of Request for Proposal Document, if needed or finalization of Expression of Interest of Third Parties (ii) approval of pre qualification of tenders/short listing of tenders and (iii) any other activity of specific importance, involving any need concept in procurement or otherwise:

- 1. Engineer-in-Chief/ concerned department for which tenders has to be finalized : Chairman**
- 2. Engineer-in-Chief of Roads & Buildings, Irrigation & Panchayat Raj departments : Members**
- 3. Chief Engineer dealing with NCRMP in the Dept., connected with tenders to be finalized : Member/convener**
- 4. Chief Engineers of other line departments Connected with NCRMP : Members**

:: 2 ::

Financial Evaluation Committee consisting the following members shall consider and finalise the tender :

1. Commissioner for Disaster Management & E.O. Prl. Secretary : Chairman
2. Prl. Secretary/ Secretary, Finance Dept., dealing with (Exp. Rev.) Dept. : Member
3. Additional Commissioner, PIU, NCRMP, A.P : Member/Convener
4. Engineer-in-Chief of the concerned line department : Member
5. Chief Engineer, NCRMP of the concerned line department : Member

4. ***After the Financial Evaluation of the tenders by the committee the approvals will be accorded by the Commissioner for Disaster Management & E.O. Prl. Secretary to Govt.***

5. This order issued with the concurrence of the Finance Department vide their U.O. Note No.2616/034/A2 Exp.Rev/2010, dated 03.02.2010.

(BY ORDER AND IN THE NAME OF THE GOVERNOR OF ANDHRA PRADESH)

Dr.T.RADHA

COMMISSIONER FOR DISASTER MANAGEMENT &
E.O.PRL. SECRETARY TO GOVERNMENT

To
The Principal. Secretary, Finance (Exp. Rev.) Dept., A.P. Secretariat, Hyderabad.
The Principal Secretary, TR & B, A.P. Secretariat, Hyderabad.
The Principal Secretary, Panchayat Raj, A.P. Secretariat, Hyderabad.
The Principal Secretary, Irrigation, A.P. Secretariat, Hyderabad.
The Director General, Environment Protection, Training and Research Institute (EPTRI), Gachibowli, Hyderabad.
The Engineer-in-Chief, Panchayat Raj/ Roads & Buildings/Irrigation Departments, Errumanzil, Hyderabad.
The P.S. to Chief Secretary to Govt. A.P. Hyderabad.
The Project Director, National Disaster Management Authority (NDMA) Government of India, NDMA Bhavan, A-1, Safdarjung Enclave, New Delhi 110029.
Shri.A.R.Sule, Director, National Disaster Management Authority (NDMA) Government of India, NDMA Bhavan, A-1, Safdarjung Enclave, New Delhi 110029.
Shri.GSG. Ayyangar, Joint Secretary, National Disaster Management Authority (NDMA) Government of India, NDMA Bhavan, A-1, Safdarjung Enclave, New Delhi 110029.
The P.S. to Commissioner for Disaster Management & Ex. Officio Secretary to Government, Revenue (DM) Dept. A.P. Secretariat, Hyderabad.
The Coordinator, Ernst & Young, Ashoka Bhopal Chambers, Secunderabad.

// Forwarded by order //

W 5/2/2010
SECTION OFFICER

Appendix 6 – Roles and Responsibilities

Design process & preparation phase

Design & Preparation phase of the NCRMP involves identification of investment priorities, preparation of the Investment Proposals and Detailed Project Reports, Bid documents, defining the implementation arrangements, preparation of procurement plans and estimating the budget requirements and timelines.

The role of different entities across the activities is as follows:

Role of various agencies in the design process of NCRMP

Agency	Roles and Responsibilities
Component A	
Activity A1: Early warning systems	
Activity A2: strengthening community capacity for response	
PMU	<ul style="list-style-type: none"> ▪ Coordinate with the States to obtain the information necessary for the preparation of DPR and IP ▪ Prepare the consolidated DPR, IP, Procurement documentation, implementation plans and costing ▪ Prepare bidding documents, procurement plans and Notice Inviting Tender ('NIT').
State Nodal Agency/PIU as applicable	<ul style="list-style-type: none"> ▪ Provide the necessary information requested by the PMU for identifying the investment priorities and estimating needs ▪ Confirm to the final plans made by PMU ▪ Coordinate with the local goods & service providers for information requested by the PMU for the finalization of specifications, numbers and costs of the various telecommunications goods and services.
Component B – creation/repair of physical infrastructure for cyclone risk mitigation in the States	
PMU	<ul style="list-style-type: none"> ▪ Prepare the guidelines for preparation of Investment Proposals and DPR's ▪ Orient the State/PIU in the preparation of the IP, DPR and bid documents, provide necessary technical support to the states to ensure quality of preparation ▪ Respond to queries of the State in relation to investments or DPRs ▪ Facilitate project appraisal by the World Bank: <ul style="list-style-type: none"> ○ Examine the IPs and DPRs submitted for compliance with the requirements set-forth in the guidelines for compliance with technical, social, environment etc. criteria ○ Monitor for timely submission of the project requirements (IP, DPR) ○ Respond to queries put forth by the World Bank ▪ Ensure that sufficient batch of investments are getting prepared every year to be ready for implementation as planned ▪ Consolidate the project procurement plans ▪ Post-appraisal & during the project implementation: <ul style="list-style-type: none"> ○ Examine the IPs, DPRs and bid documents submitted for compliance with the requirements set-forth in the guidelines for compliance with technical, social, environment etc. criteria ○ Monitor for timely preparation of the DPR and the bid documents ○ Submit DPRs, and bid documents as may be required for review by the World Bank
PIU	<u>Investment Proposals</u>

Agency	Roles and Responsibilities
	<ul style="list-style-type: none"> ▪ Prepare Investment Proposals in line with the requirements set forth under the NCRMP ▪ Prioritise the investments for inclusion in the NCRMP across the different sectors with due justification <p>DPRs</p> <ul style="list-style-type: none"> ▪ Prepare the DPR and bid document for first year investments ▪ Packaging for first year investments ▪ Monitor timely preparation of DPR ▪ Perform a quality review of the investments proposed across the different components of the NCRMP. Consolidate the requirements into a State Summary document for the NCRMP and submit it to: <ul style="list-style-type: none"> ○ The PMU for review ○ The SSC for review and approval ▪ Perform a quality review of all DPRs and bid documents, including: <ul style="list-style-type: none"> ○ Compliance with the predefined formats ○ Technical and financial requirements ○ Compliance with ESMF requirements. Additionally, confirm that the EMP and RAP are a part of the bid documents ○ Community involvement requirements ▪ Review the contract documents prepared by the Line Department for compliance with the NCRMP guidelines: <ul style="list-style-type: none"> ○ Use of standard bid documents and procurement procedures ○ Quality of contract documents: Accuracy of terms and conditions, technical specifications, contract milestones, drawings, bill of quantities etc ○ Inclusion of EMP in contract ○ Completion of RAP before the contract is signed off ○ Approval of WB (Where prior approval is required) ▪ Ensure timely technical and administrative sanctions by the line departments and any other clearances required from other departments ▪ Prepare annually and update (as and when required) the Procurement Plan and the budget ▪ Where a request is received from the Line Department for external support in the project planning activities, the PIU may procure the services of third parties ▪ Undertake field visits to randomly verify field conditions vs. Prepared documentation
<p>Nodal Unit at State Line Department</p>	<ul style="list-style-type: none"> ▪ Prepare the IP and the DPRs. Ensure compliance with the requirements set forth in the guidelines (including the ESMF) while preparing the project planning documents ▪ Correct application of the ESMF screening criteria and assessment of Environmental and Social impacts ▪ Ensure timely clearances from third parties, and internal technical and administration sanctions ▪ The departments may seek consultant services for preparation of the Project document.
<p>Component C</p> <p>Activity I. Risk Assessment</p> <p>Activity II. Technical Assistance to States for preparing high priority risk mitigation investments</p> <p>Activity III. Preparation of long term training and capacity building strategy for 13 States</p> <p>Activity IV. Implementation of High Priority Training and Capacity Building Programs</p> <p>Activity V. Strengthen capacity for damage and loss assessment</p>	
<p>PMU</p>	<ul style="list-style-type: none"> ▪ Prepare the Terms of Reference (ToR), Request for Proposals and the procurement and implementation plan for Activities I & II

Agency	Roles and Responsibilities
	<ul style="list-style-type: none"> ▪ Define packages and prepare Notice Inviting Tender (NIT).
NIDM	<ul style="list-style-type: none"> ▪ Prepare the ToR, RFP and the procurement and implementation plan for Activities III, IV & V ▪ Define packages and prepare NIT.
Component D: Project Management and Monitoring	
PMU	<ul style="list-style-type: none"> ▪ Define/modify (in discussion with the World Bank) the operating and implementing arrangements for the NCRMP ▪ Estimate the manpower and infrastructure requirements at state and national level and prepare cost estimates for necessary support to ensure smooth implementation of the project and ensure that the same are maintained all through ▪ Prepare/modify (in discussion with the World Bank) the administrative and operating framework of the NCRMP through detailed guidelines on ESMF, procurement, financial management, and project tracking. ▪ Provide user training on the operating procedures for the NCRMP ▪ Procure and deploy a suitable IT platform for recording and reporting on the financial and physical progress on the NCRMP ▪ Maintain the IT platform for recording and reporting ▪ Comply with Grievance Redress and Disclosure requirements at PMU level and ensure compliance by states ▪ Provide necessary updates in the MIS and get feedback from the states ▪ Hire Benefit Monitoring and Evaluation Consultant
State PIU & Line Departments	<ul style="list-style-type: none"> ▪ Estimate the manpower and infrastructure requirements for the State and ensure that the same are maintained all through ▪ Prepare cost estimates for necessary support to ensure smooth preparation and implementation of the project ▪ Prepare the model bid documents, procure consultancies, monitor progress by the line departments ▪ Provide necessary updates in the MIS ▪ Hire necessary consultants: e.g., Internal Auditor, Third Party Quality Auditor; External Auditor; and supporting Technical Consultants for the line departments

Execution/Implementation

Project implementation includes:

- Procurement of goods, services and works
- Implementation of various activities planned
- The Process for Progress Monitoring and Quality Control and handling issues related to implementation

Procurement of works, goods and services - Tendering and award of contract

This includes procurement for all activities under component A, B and C,

Role of various agencies in procurement of goods and services

Agency	Roles and Responsibilities
<p><u>Component A</u> Activity A1: Early warning systems Activity A2: Strengthening community capacity for response</p>	
<p>PMU</p>	<p><u>Activity A1:</u></p> <ul style="list-style-type: none"> ▪ Selection of a central procurement agency to manage all procurement under Component A (goods & services) procured at the central/NDMA level. ▪ Undertake bid evaluation, get clearance from the Bank as needed and select the vendor(s) for various technology areas ▪ Finalize the SLA and contract with the service providers ▪ Review the specifications of the goods & services procured, ▪ For goods & services procured at the central level, review the feedback from central procurement agency , and take necessary measures to ensure quality of supplies and installation ▪ For goods & services procured at the State level review the feedback from the State PIU, and take necessary measures to ensure quality of supplies and installation ▪ Monitor distribution to the states as per the SLA agreed with the selected vendor (both at the central and State level). Prepare equipment distribution report with assistance from the State PIU and ensure that states maintain assets data base. ▪ Oversee proper supply and installation of equipment through field visits ▪ Review the infrastructure readiness of the State and District EOC for hosting/accessing the web based PCCU application ▪ Review report for equipment distribution to the states. ▪ Follow up with States to ensure that states obtain timely clearances of any necessary clearances required. ▪ Before the supply of equipment , get an assurance from the States on land acquisition / logistics / premises / facilities ready for supply and installation of equipment // provide timely permits to the supplier for supply and installation ▪ Ensure that final system gets integrated into national and state systems. ▪ Ensure that states provide necessary O&M arrangements including budget <p><u>Activity A2</u></p> <ul style="list-style-type: none"> ▪ Review the progress of the trainings through the status reports submitted by the State PIU and necessary field visits ▪ Ensure timely procurement by the PIUs of state level activities (e.g., consultants / NGOs / small works contractors etc) ▪ Oversee concurrent community intermediation by the states and training and orientation of

Agency	Roles and Responsibilities
	all stake holders to use and maintain the equipment
State PIU	<p><u>Activity A1:</u></p> <ul style="list-style-type: none"> ▪ Reconfirm the vulnerable areas, supply and installation locations and beneficiaries ▪ Provide necessary permits / access to the supply contractor; get the premises / facilities ready for installation; do necessary land acquisition as needed ▪ Provide necessary feed back to the PMU on the supply, installation and commissioning plan provided by the equipment supplier ▪ Monitor the work of the supplier and clear his bills for payments by the PMU/Procurement Agency ▪ Identify the users of the various telecommunications equipment. Document the names and contact details of the persons responsible for the equipment Provide the relevant required information to the central procurement agency for the preparation of the equipment distribution list. for the goods & services that are to be procured at the central level. ▪ Ensure that the State and District EOC have the required infrastructure and manpower for hosting/accessing the web based PCCU application and necessary equipment supplied under this component ▪ Ensure that the supplied system gets integrated in the state's disaster warning systems ▪ Provide necessary O&M budget for regular maintenance of the system; and ensure that back up O&M arrangements are in place. <p><u>Activity A2</u></p> <p>Technology training</p> <ul style="list-style-type: none"> ▪ Monitor the vendor, and facilitate the vendor in arranging training for coastal communities, in collaboration with district authorities <p>Community Training</p> <ul style="list-style-type: none"> ▪ Approve the bid document and NIT for selection of agency⁷ for training ▪ Advertise the NIT as per guidelines defined in the procurement manual. ▪ Receive the received Expressions of Interest ('EoI'), prepare shortlist and send Request for Proposals ('RFP'). ▪ Receive tenders and undertake technical evaluation. ▪ Procure services - Sign agreements with the third party. ▪ Monitor works of third party and approve all necessary documents ▪ Submit periodic training status reports to the PMU ▪ Ensure timely community intermediation; training and orientation to the state and district officials
Component B – creation/repair of physical infrastructure for cyclone risk mitigation in the States	
PMU	<ul style="list-style-type: none"> ▪ Consolidate the project procurement plans for remaining projects. ▪ Monitor whether the progress is as per the plan submitted and recommend corrective action to the PIU ▪ Monitor compliance to Project procurement procedures by all entities procuring under the Project. ▪ Review bid evaluations of prior review contracts before they are sent for World Bank clearance; ▪ Oversee that states <ul style="list-style-type: none"> ○ comply with project requirements and technical standards of implementation, improve implementation based on Third Party Quality Auditors recommendations, ○ Comply with ESMF requirements

⁷ The PIU may engage state level training institutions to provide support to the PIU for undertaking the training program.

Agency	Roles and Responsibilities
	<ul style="list-style-type: none"> ○ Implement RAPs ▪
State PIU	<ul style="list-style-type: none"> ▪ Consolidate the NCRMP documents after seeking inputs from the State Line Departments: <ul style="list-style-type: none"> ▪ DPRs, bid documents and packaging ▪ Procurement plan ▪ Ensure compliance with NCRMP guidelines for all the contracts that are released: ▪ Review the contract documents prepared by the Line Department for compliance with the NCRMP guidelines: <ul style="list-style-type: none"> ○ Use of standard bid documents and procurement procedures ○ Quality of contract documents: Accuracy of terms and conditions, technical specifications, contract milestones, drawings, bill of quantities etc ○ Inclusion of EMP in contract ○ Completion of RAP before the contract is signed off ○ Approval of WB (Where prior approval is required) ▪ Update the contract/PO in the IT System ▪ Prepare the procurement plan (including updating) ▪ Review bid evaluation and award decisions and forward to PMU where clearances are required; clear bid award decisions as required ▪ Ensure appropriate implementation by the line departments, complying with project requirements and technical standards ▪ Release payments to contractors on recommendation by the line departments (in Orissa); ▪ Ensure line departments' compliance of Third Party Quality Auditors' recommendations and EMP / RAP requirements ▪ Monitor progress regularly and intervene to expedite where required ▪ Ensure timely clearances by other departments / land acquisition by the line departments as per ESMF and RAP provisions ▪ Ensure taking over of works by the line departments and provision of adequate O&M arrangements including budget ▪ Oversee community intermediation and involvement by the line departments for acceptance and appropriate use of the investments being created ▪ Visit the field as required and verify the situation on the ground to assess first hand ▪ Monitor appropriate asset recording and contract documentation recording by the line departments
State Line Department	<ul style="list-style-type: none"> ▪ Prepare the DPR and bid document for balance projects ▪ Packaging for balance investments ▪ Advertisement of the notice inviting tender ▪ Receipt and technical evaluation of bids ▪ Award of contract after necessary clearances ▪ Signing off and custody of contracts ▪ Efficient contract management ▪ Work measurement and quality control and monitoring ▪ Signing off and approval of invoice for payments ▪ Implementation supervision as per bid specifications and contract conditions, compliance with ESMF, EMP and RAP requirements, ▪ Community intermediation and involvement as required for acceptance and use of investments being created ▪ Progress monitoring and control ▪ Taking over of built assets into regular departmental inventory and maintaining asset

Agency	Roles and Responsibilities
	records <ul style="list-style-type: none"> ▪ Providing satisfactory maintenance arrangements and maintenance budget as needed / maintenance of corpus fund for cyclone shelters ▪ Provide latest updates to MIS
Component C Activity I. Risk Assessment Activity II. Technical Assistance to States for preparing high priority risk mitigation investments Activity III. Preparation of long term training and capacity building strategy for 13 States Activity IV. Implementation of High Priority Training and Capacity Building Programs Activity V. Strengthen capacity for damage and loss assessment	
PMU	<u>Activity I & II</u> <ul style="list-style-type: none"> ▪ Seek interest from states to participate ▪ Ensure state level coordination arrangements for progress of consultancy activities and information feed-in ▪ Advertise the NIT as per guidelines defined in the procurement manual. ▪ Receive the Expressions of Interest (EoI), prepare shortlist and send Request for Proposals (RFP). ▪ Receive proposals and undertake technical and financial evaluation. ▪ Procurement - Sign agreements ▪ Monitor quality of outputs and progress of work by the consultants ▪ Coordinate and facilitate consultants work; coordinate with other stakeholders for clearances / information flow ▪ Integrate study outcomes into overall national level interventions
NIDM PIU	<u>Activity III, IV & V</u> <ul style="list-style-type: none"> ▪ Seek interest from states to participate ▪ Ensure state level coordination arrangements for progress of consultancy activities and information feed-in ▪ Advertise the NIT as per guidelines defined in the procurement manual. ▪ Receive the EoI, prepare shortlist and send RFP. ▪ Receive proposals and undertake technical and financial evaluation. ▪ Procurement - Sign agreements ▪ Monitor quality of outputs and progress of work by the consultants ▪ Coordinate and facilitate consultants work; coordinate with other stakeholders for clearances / information flow ▪ Integrate study outcomes into overall national level interventions
Component D: Project Management and Monitoring	
PMU/ State PIU	<ul style="list-style-type: none"> ▪ Identify the need for goods and services as part of project management activities. Services may constitute hiring a specialist agency and/or independent consultants. ▪ Comply with the requirements of the Procurement Manual ▪ Sign agreements with the agencies ▪ Maintain MIS and synthesize information for management actions ▪ Undertake regular field visits to verify situation on ground

Monitoring and Quality Control

Role of various agencies in monitoring and Quality Control

Agency	Roles and Responsibilities
PSC	<ul style="list-style-type: none"> ▪ Perform a semi-annual project progress review against the timelines and milestones ▪ Recommend corrective action (if any)
PMU	<ul style="list-style-type: none"> ▪ Review whether the PIU has put in place a system of monitoring and quality control ▪ Review the project progress reports and recommend corrective actions ▪ Report to the external stakeholders on the progress of the project ▪ Where required, make physical visits to the implementing units to take progress updates ▪ Make formal presentations to the PSC on the project progress ▪ Review periodic implementation progress and SLA Monitoring report submitted by the “Implementing agency” for Component A ▪ Review quality control reports submitted by the “Implementing agency” for Component A ▪ Prepare SLA monitoring report taking inputs from the State PIU ▪ Prepare report for the Quality of goods and services taking inputs from the State PIU ▪ Review and liaison with the equipment and service vendors on the SLA/quality breach or implementation issue raised by the State PIU. If necessary escalate the issue to the PMU ▪ Compile the quarterly progress reports received from the PIU and submit to World Bank
SSC	<ul style="list-style-type: none"> ▪ Perform a semi-annual project progress review against the timelines and milestones ▪ Recommend corrective action (if any)
State PIU	<ul style="list-style-type: none"> ▪ Review whether the Line department has put in place a system of monitoring and quality control ▪ Update the information received from the implementing agencies in the project monitoring and tracking tool ▪ Generate and review reports on the financial and physical progress of the project on a monthly basis from Line Departments and Implementing agencies ▪ Initiate and monitor corrective action, if applicable ▪ Where required, make physical visits to the sites to take progress updates ▪ Coordinate with the representatives in Line Department ▪ Appoint Third Party Quality Auditor (TPQA) and regularly review progress of work. Take appropriate actions on the reports if necessary ▪ Provide necessary information requested by the “Implementing agency” for Component A for progress of implementation and quality of goods and services received ▪ Identify/appoint technical staff responsible for implementing, running and maintenance of the various goods and services for component A at the State & district level ▪ Identify the users at the village level responsible for the technology equipment under component A ▪ Collect periodic report on functioning of the various technology equipment for component A ▪ Raise any SLA/quality breach or implementation issue to the PMU through the “Implementing agency” for Component A ▪ Review of Third Party checks and compliance ▪ Regular supervision of works on field through a structured filed visit schedule. ▪ Review all reports received from the local implementing agency. Reports will be submitted to line department with copy to PIU to monitor rectification/remedial steps taken by the IA. ▪ Regularly prepare reports of field audits, and submit to PMU in Quarterly progress report.

Agency	Roles and Responsibilities
	<ul style="list-style-type: none"> ▪ During field visits by the Secy/CE a progress meeting with contractors will be conducted in the district head quarters to review progress & resolve issues. ▪ Prepare regular reports on environment and social compliance, and make them available for Bank review whenever necessary. ▪ Compile a quarterly progress report based on reports received from the PIU, filed visit reports and environment and social reports.
NIDM PIU	<ul style="list-style-type: none"> ▪ Review the work of consultants and ensure compliance with World Bank and Project guidelines ▪ Update information on Project tracking tool ▪ Generate and review reports on the financial and physical progress of the project on a monthly basis ▪ Initiate and monitor corrective action, if applicable ▪ Where required, make physical visits to the sites to take progress updates
Line Department	<ul style="list-style-type: none"> ▪ Nominate an officer within the department to coordinate with the PIU for project activities ▪ Regularly review project progress and ensure timely completion of works ▪ Undertake regular monitoring of all works and ensure quality of construction. ▪ Ensure compliance to ESMF on all sites. ▪ Monitor the works of environmental consultants/agency operating at the State level. ▪ Provide updates to the PIU in such form as is required by the PIU for reporting the progress on the project ▪ Regularly update project progress on the online project monitoring and tracking tool ▪ Create a quality monitoring and progress reporting program for the project activity ▪ Review all reports received from the local implementing agency. Prepare qualitative reports at regular intervals based on field assessments, and reports received from the local implementing agency. ▪ Generate monthly progress reports and submit these to the PIU ▪ Facilitate the TPQA in conducting audits ▪ Work-measurement

Financial Management

While the specific roles of different entities for financial management are elaborated under this section, it shall be the responsibility of the Finance Head for the PMU/PIU to ensure compliance with the requirements set forth in the financial management manual.

Responsibilities of various Implementation Agencies for finance function

Area	Role of the Implementing Agency
Budgeting	<p><u>PMU</u></p> <ul style="list-style-type: none"> ▪ Prepare the budget formats, calendar for submission and circulate requirements to the PIU and NIDM ▪ Prepare the annual and revised operating budget for the PMU operations ▪ Prepare the Annual and Revised NCRMP Budget, based on consolidation of budgets received from States and NIDM ▪ Submit the annual and revised budgets to the NDMA <p><u>PIU at State and NIDM</u></p> <ul style="list-style-type: none"> ▪ Prepare annual budgets as per the standards set forth in the finance manual and submit

Area	Role of the Implementing Agency
	<p>these to the PMU as per the pre-defined timelines</p> <ul style="list-style-type: none"> ▪ Prepare the revised budgets based on the status of expenditure incurred during the first six months of the year
Chart of Accounts	<p><u>PMU</u></p> <ul style="list-style-type: none"> ▪ Prepare the Chart of Accounts for financial accounting and reporting as per World Bank standards under the NCRMP ▪ Make amendments to the COA <p><u>PIU at State and NIDM</u></p> <ul style="list-style-type: none"> ▪ Comply with the centralised Chart of Accounts while recording and reporting financial transactions ▪ Request for any alterations to the Chart of Accounts to the PMU
Flow of Funds	<p><u>PMU</u></p> <ul style="list-style-type: none"> ▪ Prescribe the rules for sanction and flow of funds under the NCRMP ▪ Review the IUFRs/ utilisation certificates submitted by the PIUs ▪ Coordinate and provide such information as may be required for sanctioning of funds under the NCRMP <p><u>PIU at State and NIDM</u></p> <ul style="list-style-type: none"> ▪ Prepare the IUFRs/ utilisation certificates and other financial reports/statements for the State ▪ Provide the necessary supports for compliance with the limits and conditions set forth for release of funds
Processing of payments and disbursement of funds to 3rd parties	<p><u>PMU and PIU at NIDM and State</u></p> <ul style="list-style-type: none"> ▪ Prescribe the delegation of authority for processing of payments and preparation of cheques ▪ Perform necessary checks and balances (refer finance manual) that are required prior to processing of the invoice ▪ Prepare the cheque for disbursement of funds to the 3rd party (where applicable) ▪ Direct transfer of funds/cheque to the 3rd party (where applicable) ▪ Perform monthly bank reconciliations <p><u>Line Department/Implementing agency</u></p> <ul style="list-style-type: none"> ▪ Provide documentary evidence of receipt of goods or services as per the terms of the contract to the PIU for release of money to the contractors / 3rd parties
IUFRs and disclosure requirements	<p><u>PMU</u></p> <ul style="list-style-type: none"> ▪ Prepare the IUFR for the PMU operations ▪ Consolidate and circulate the IUFRs for the NCRMP to the concerned stakeholders ▪ Make the necessary disclosures on the Project website on a timely basis <p><u>PIU at State and NIDM</u></p> <ul style="list-style-type: none"> ▪ Prepare and submit IUFRs as per the prescribed timelines ▪ Provide the necessary information required for financial disclosure requirements to the PMU on a timely basis
Internal Audits	<p><u>PMU</u></p> <ul style="list-style-type: none"> ▪ Selection and appointment of the agency for conducting internal audits for PMU and NIDM ▪ Review and approve the annual audit plan and calendar for the NCRMP

Area	Role of the Implementing Agency
	<ul style="list-style-type: none"> ▪ Provide access to the various project documents for the audit ▪ Provide explanations and information as may be required for the conduct of the audit ▪ Review the audit reports and provide timelines & responsibilities for addressing the deficiencies ▪ Take corrective actions wherever necessary ▪ Review the quality of work performed by the internal auditor <p>Where the PMU is subject to an audit for its own operations, refer to the areas highlighted as part of PIU section</p> <p><u>State PIU</u></p> <ul style="list-style-type: none"> ▪ Selection and appointment of the agency for conducting internal audits for PIU ▪ Review and approve the annual audit plan and calendar for the NCRMP ▪ Provide access to the various project documents for the audit ▪ Provide explanations and information as may be required for the conduct of the audit ▪ Review the audit reports and provide timelines & responsibilities for addressing the deficiencies ▪ Take corrective actions wherever necessary ▪ Review the quality of work performed by the internal auditor
<p>External Audits</p>	<p><u>PMU</u></p> <ul style="list-style-type: none"> ▪ Selection and appointment of the agency/agencies for conducting external audit for PMU, NIDM and State PIU ▪ Monitoring the timeliness and results of the audit (for the NCRMP) ▪ Review the quality of work performed by the external auditor ▪ Provide such information as may be required for audit planning ▪ Timely submission of audit reports to the WB and other interested stakeholders. <p>Where the PMU is subject to an audit for its own operations, refer to the areas highlighted as part of PIU section</p> <p><u>PIU at NIDM and State</u></p> <ul style="list-style-type: none"> ▪ Selection and appointment of the agency for conducting external audits for PIU (where applicable) ▪ Support external auditor in smooth execution of audits ▪ Provide access to the various project documents for the audit ▪ Provide explanations and information as may be required for the conduct of the audit ▪ Facilitate in the timely closure of the audit

Environment and Social Management

Responsibilities for the key areas for environment and social management across the implementing agencies are illustrated as follows:

Role of various agencies for Environment and Social Management

Activity	Roles and Responsibilities
ESMF guidelines	<p><u>PMU</u></p> <ul style="list-style-type: none"> ▪ Prepare the ESMF (including updates thereto), and ensure that public disclosures have been made across the participating states ▪ Train Users in all the participating States on usage of the ESMF ▪ Monitor that mechanisms for compliance with ESMF have been put in place <p><u>State PIU</u></p> <ul style="list-style-type: none"> ▪ Conduct stakeholder consultations and make the necessary public disclosures ▪ Ensure that mechanisms for compliance with ESMF have been put in place ▪ Train and orient the Line Department personnel on the ESMF
Screening	<p><u>State PIU</u></p> <ul style="list-style-type: none"> ▪ Coordinate environment and social screening and stakeholder consultation ▪ Review the results of the screening performed by the State Line Department, especially in line with information available centrally. Where applicable, visit the site to corroborate the results. ▪ Ascertain the need for EIA/SIA, if expressed by the line department <p><u>Line Department</u></p> <ul style="list-style-type: none"> ▪ Update the screening criteria and ascertain if EIA/SIA is required ▪ Submit the screening criteria and assessment of environment and social management costs in the DPR
Preparation of EMP and RAP	<p><u>State PIU</u></p> <ul style="list-style-type: none"> ▪ Review whether the Resettlement plan and EMP have been correctly identified and the EMP has been updated in the DPR ▪ Confirm that the EMP requirements are a part of the bid document for every tender package ▪ Confirm that the EMP has been considered in the contract before the contract is signed off ▪ Confirm that Resettlement plan has been executed before the contract is signed off/work is initiated <p><u>Line department</u></p> <ul style="list-style-type: none"> ▪ Update the EMP and Resettlement plan in the DPR based on the ESMF guidelines ▪ Prepare site specific EMP ▪ Prepare the site specific Resettlement plan ▪ Execution responsibilities for compliance with site specific RAPs and SMPs ▪ Reviewing status of approvals from relevant authorities
EIA/SIA	<p><u>State PIU</u></p> <ul style="list-style-type: none"> ▪ Ascertain the need for EIA/SIA, if expressed by the line department ▪ In case an EIA/SIA is to be conducted: <ul style="list-style-type: none"> ○ provide technical inputs for the selection of the agency ○ monitor the results and assessment of the agency
Compliance and reporting	<p><u>PMU</u></p>

Activity	Roles and Responsibilities
	<ul style="list-style-type: none"> ▪ Monitor compliance with requirements of the ESMF for the NCRMP ▪ Conduct periodic site visits to independently evaluate compliance with ESMF requirements ▪ Review the consolidated environment audit reports to assess the need for corrective action ▪ Provide such information as may be required to the World Bank for evaluating compliance with the ESMF requirements <p><u>State PIU</u></p> <ul style="list-style-type: none"> ▪ Physically visit sites as per a monthly calendar and pre-defined criteria (including visits to the sensitive sites) to validate compliance with the ESMF requirements ▪ Compile and centrally analyse data for ESMF compliance ▪ Appoint third party auditors to validate compliance with the environment requirements. ▪ Prepare monthly progress reports on environment and resettlement related activities ▪ Review status of approvals from relevant authority <p><u>Line Department</u></p> <ul style="list-style-type: none"> ▪ Provide necessary details and information, as may be required for reporting on ESMF compliance to the PIU ▪ Coordinate statutory and regulatory approvals

Sustainability - Post project operation and maintenance

The operation and maintenance of the assets will be the responsibility of the States.

In case of cyclone shelters, a separate management committee (Cyclone Shelter Management and Maintenance Committees) would be formed for each shelter and would have representation from the local people. A corpus fund would be created by the states that would be used for the operation and maintenance of the cyclone shelters.

The other assets created under NCRMP which includes roads, bridges, embankments and infrastructure created under component A, will be maintained through the budgetary provisions made in the annual budgets of the State departments.

Appendix 7 - Financial Management Arrangements

Budgeting

The PIUs shall ensure effective budgeting exercise each year to facilitate timely implementation of the various components of the project. For this purpose, the PIUs shall estimate requirements of the funds for specific tasks/objectives of the project before seeking funds from the Government of India. At the time of estimating the requirements of the funds, the PIU shall consider the priority and importance of work based on the World Bank guidelines and proposals submitted. **Every effort should be made to link the budget with physical targets. The budget would be consistent with the annual Procurement Plan.. The State Government/UT shall make sufficient provision in their budget for meeting the expenditure to be incurred under the project. This budget provision would include the Government of India share as well as the State/UT share in the case of Andhra Pradesh which proposes to follow the Treasury system.**

Key processes are as follows

- **Finance Head and Project Director, PIU shall approve budgets and forward to the Project Director, PMU.** Thereafter, **PMU shall collate all state budgets**, add national estimates and prepare the consolidated budget. The Finance Head at PMU shall prepare the consolidated budget under NCRMP and submit it to the Project Director, PMU for forwarding to the NDMA.
- The **PIUs shall forward their budgets by August 31st of every year** to the PMU. The PMU shall forward the consolidated budget to the NDMA by September 30th of every year
- The funds would be sanctioned under this project through the budget of MHA by NDMA.
- The specific tasks/objectives to estimate requirement of funds shall be under the following major categories:
 - Construction/repair of Cyclone Shelters
 - Repair/renovation of coastal canals, embankments
 - Construction/ repair of missing road links and bridges
 - Procurement of equipment and other activities under Component A – Last Mile Connectivity
 - Consultancy services for NCRMP
 - Any other activities as per the Investment Proposals
 - Project management, execution and monitoring activities
- The **PIUs and PMU shall monitor the fund utilisation status on a quarterly basis** through the Interim Unaudited Financial Reports (IUFRs). It is herein clarified that the basis of this reporting is actual expenditure by the PIU and the PMU and not the release of funds to the PMU and the PIU.
- Based on the status of expenditure incurred during the first six months, the **PIU shall submit a revised budget by August 31st** of every year. The PMU shall in turn make a revised budget for its operations. Based on the feedback received, a revised budget for the NCRMP shall be prepared and submitted by the PMU, by September 30th of every year, to the NDMA.
- The PIU and the PMU is authorised to re-appropriate the budget in between the activities under the same component. However, all such cases of **re-appropriation shall be pre-approved** in writing by the head of the PIU and supported by sufficient and reasonable explanation. Such re-appropriation also requires a written pre-approval from the NCRMP Project Director (in the PMU).

Flow of Funds and Disbursements

The NCRMP shall be implemented by the Government of India through external assistance of World Bank and shall attract the provisions of GoI in respect of externally aided projects.

According to Rule 239 of the GFRs, 2005 which pertains to the fund flow for Central or Centrally Sponsored Projects financed from external aid, the process of disbursement of such claims by the Funding Agency shall be the same as explained in Rule 237 (i) (a) of the GFRs. [This Rule explains the procedures laid down for withdrawal of funds from the loan or grant account, namely Reimbursement procedure.]. The Ministry shall get funds when demands for grants are passed in the Parliament and advised by the Budget Division of the Ministry of Finance. The funds shall be released to the States on 'Report Based Disbursement' basis in line with the Circular of Aid Accounts and Audit Division dated September 2, 2008.

Salient features are

- A **Special Account for NCRMP will be opened** with an initial advance as per the Credit Agreement executed with the World Bank. CAAA shall perform the necessary procedures for seeking replenishment of funds into the Special Account. It shall seek such information as is required from the PMU in this regard.
- The rules for release of funds under different components of expenditure are illustrated as follows:

Table 5: Rules for release of funds for purchase of goods & equipment/ civil works, services:

Frequency of Installment	Percentage of Installment	Pre-Conditions	Documents to be submitted by State/UT
Year 1			
1 st	60% (Central share)	Procurement plan and budget for the year.	Procurement plan and Budget
2 nd	Balance 40% (Central share)	To furnish reasonable evidence that 50% of the total release for the year have been disbursed. Utilisation certificate may be additionally provided.	Reasonable Evidence/ Utilisation certificate
Year 2			
1 st	60% (Central share)	Procurement plan and budget for the year. and; Submission of utilisation certificate for first installment of previous year.	Procurement plan, Budget and Utilisation certificate
2 nd	Balance 40% (Central share)	Submission of utilisation certificate for : <ul style="list-style-type: none"> • Second installment of previous year and; • 50% of utilisation of first installment of current year. 	Utilisation certificate
Year 3 and subsequent years		Similar principles as those for year 2	

- The State Governments/UTs should submit Utilisation Certificates for the total amount (of the Central share) in respect of the expenditure incurred while submitting request for release of subsequent installment of funds. Similarly PIU-NIDM would also submit Utilisation Certificate in respect of the expenditure incurred while submitting request for release of subsequent installment of funds.
- Unspent balances available with the State PIU shall be taken in to account before further releases of funds are made.

- For release of funds PIU and PMU will prepare formal statement of expenditure. These statements shall be provided to the Head of Finance at the PMU with relevant supporting documents for review. Head of Finance, PMU will be authorized to sanction release of funds. The Head of Finance shall use this statement to prepare a draft sanction order for release of funds. The sanction order, after approval from the Project Director, PMU, shall be forwarded to the NDMA for further processing. NDMA shall perform the necessary administrative tasks for requesting release of funds to the PMU and the States.
- In case of Orissa, the central share of the Project shall be directly remitted to the PIU's separate Bank account.
- In case of Andhra Pradesh, the funds would be transferred by the PAO (Pay and Accounts Office) of NDMA to the State's Treasury and the State would continue to follow the existing mechanism for management and disbursement of funds.

Accounting and Financial Monitoring

Cash basis of accounting will be followed for the NCRMP. All payments shall be charged off to relevant expense account head at the time of making the payments except advance payments. Advance payments will be charged to relevant head of accounts on adjustment.

The assets created out of Project funds shall be accounted at acquisition cost including taxes, duties, freight and other incidental expenses relating to acquisition. No depreciation shall be provided on Fixed Assets acquired under the project. The basis of preparation of financial reports and significant accounting policies related to material items shall be disclosed.

Salient features are

- The State/UT shall continue to use their existing system for budget and account classification. To further bifurcate the expenditure to 'Specific Tasks/Objectives' of the project and categorise into Component, Ledger Head and Disbursement Category as per World Bank norms, it is necessary to create a detailed chart of account and link it to budgetary and accounting classification of State. For details please refer to the Financial Management Manual.
- All expenditure under the project would be recorded against the appropriate ledger codes specified in the Chart of Accounts for the NCRMP. The indicative chart of accounts is annexed in the FM Manual.
- The PIU and the PMU shall open a separate bank account for receiving NCRMP funds and making all payments out of NCRMP funds. The bank account shall be opened as per the directives issued by NDMA/Ministry of Home Affairs in this behalf in consultation with respective State Governments. However the State of Andhra Pradesh would not open a separate bank account for the Project and would continue to follow the existing mechanism for management and disbursement of funds under NCRMP.
- Separate books of accounts and records of fund flow for the Project funds are required to be maintained by each PIU. In case of Andhra Pradesh, where the existing mechanism for financial management and disbursement would be followed for NCRMP also, the line departments would have to maintain separate books of accounts and records for flow of funds under this Project. Each of these PIUs will maintain
 - Standard Books of Account (Master Cash Book, Cash book, ledger, cheque issue register etc.).
 - A 'Grant in Aid' Register in the prescribed form for receipt of funds from Government of India

- The Cash Book - a summary of all payments made to line departments.
- Support vouchers – for record of transaction.
- In addition, bank reconciliation statements would be prepared by the PMU and the PIUs on a monthly basis and be approved by the Finance Head of the respective implementing agency.
- A separate Fixed Asset Register will be maintained to record the assets acquired and created out of the Project funds.
- The PIU and the PMU shall ensure that **all records** (contracts, orders, invoices, bills, receipts and other documents) evidencing the expenditure **are retained until at least five years after the Bank has received the audit report for**, or covering, the fiscal year in which the **last withdrawal from the loan account** was made.
- Each PIU / PMU shall consolidate the amount spent and amount incurred by it on the basis of entries made in the Cash Book and Master Cash Book. Before seeking funds from GoI, the PIU shall submit the utilisation certificates in prescribed format to the PMU. Where the PMU is an implementing agency (for instance in Component A, C) or is using the funds for Component D, the PMU shall submit the utilisation certificates to NDMA.

Internal Control and Governance Structure

To ensure the integrity of Project Accounting and Financial Management System, each PIU and the PMU shall establish proper internal check and internal control mechanism. It includes establishment of procedures and systems for ensuring standard internal control such as checking of expenditures, appropriate documentation, levels of authorisation, periodic bank reconciliation and physical verification.

Salient features are:

- The PIUs and PMU will develop a system to ensure that expenditures are incurred with due regard to economy, efficiency and propriety. For this purpose, finance wing of the PIU and the PMU will check the veracity of records provided by the executing division/department. *In case of Andhra Pradesh, the State is following the existing system of financial management wherein the line departments would be maintaining financial records. Therefore the line departments would establish systems such that that expenditures are incurred with due regard to economy, efficiency and propriety.*
- An **independent internal auditor** shall be appointed to provide reporting on compliance with operating guidelines for the NCRMP for the PIU and the PMU. Internal auditor for PMU and NIDM would be appointed by the PMU. State PIUs would appoint internal auditors for the respective States.
- At the beginning of each year, an assessment would be made of the work being executed based on the Procurement plan. Based on this assessment, the Finance Head of the PIU and the PMU shall prepare a draft internal audit calendar (for PIU and PMU respectively) detailing the scope and frequency of review. This audit calendar would be reviewed by the Project Director of the PIU and forwarded to the Project Director, PMU for inputs (if any). Based on the inputs provided, the internal audit coverage would be finalised for the PIU and the PMU for the year.
- The **Finance Head** at the PIU or PMU shall be the **coordinating officer** for the conduct of the Internal Audit.
- **Report** of internal audit shall be **presented to the Project Director PIU & PMU** respectively for their respective operations on a half yearly basis. In addition, the Head the Finance of the PIU shall forward Internal Audit reports to PMU within two weeks of submission by the Internal Auditor.

- In addition, the Project Director (PIUs and PMU) shall review the findings and the progress of the Internal Audit on a half yearly basis.

Financial Reporting

Each PIU shall submit to the PMU Interim Un-audited Financial Reports (IUFRs) within 25 days after the end of every Quarter. The PMU shall consolidate the IUFRs received from PIUs and send it to the Bank within 45 days after the end of every quarter.

The duly audited PFS shall be submitted by the PIU to the PMU by August 31st after the end of the financial year. The PMU shall in turn consolidate the PFS and submit them to the Bank within 6 months of the end of the financial year.

Audit requirements for Project Financial Statements

- The PIU/PMU shall be responsible to get the audit **completed** for their operations and submit the **audit report on or before 30th September** each year after the end of financial year of the project.
- **Timely completion** of audit at PIU's end and submission of audit certificate along with Project Financial Statements shall be the **responsibility** of the **Head of Finance** for the PIU/PMU.
- PMU would appoint a firm of Chartered Accountants empanelled with Comptroller & Auditor General of India (CAG) to carry out an audit of Project accounts for PMU, NIDM and the state of Orissa.
- In case of Andhra Pradesh this audit would be conducted by the State AG as per the terms of reference agreed with CAG (provided in Financial Management Manual). However, State AG would have to adhere to the timeline of six months for completion of audit of Project accounts in these States.

Appendix 8 – Procurement management arrangements

Procurement Plan

The Procurement Specialist in the PIU will prepare contract wise annual procurement plan in consultation with the line departments. There would be separate procurement plan for goods, civil works and services listing the items/ works/services to be procured, their estimated value and method of procurement. Similarly, State PIU will prepare its procurement plan for services to be hired. PMU at national level will also prepare annual procurement plan for works, goods, and services to be procured at their level.

The procurement plan would cover the initial 18 months or longer period of implementation of the activities. The procurement plan is to be made in the standard procurement plan template approved by the World Bank. The procurement plan shall be updated on an annual basis or as required, always covering the next 18 months period of Project implementation.

The procurement plan /schedule prepared shall be shared with the Bank for its approval. Any revisions proposed to the procurement plan shall be furnished to the Bank for its prior approval.

At the time of preparing Procurement Plan, following factors need to be considered:

- Methods of procurement shall be based on the total value of the contract, need of the procurement, type of goods, works and services and availability of different sources of supply etc.
- Methods of procurement to be adopted as well as review of contracts by the World Bank will be decided based on the total value of a tender rather than on the value of each individual contract/ schedule.
- Threshold limits mentioned in the manual to be strictly adhered to for selecting the procurement method.
- Splitting up the procurement contract is not done for the purpose of using less competitive procurement method.
- It shall also be ensured that the procurement of goods and works is carried out strictly on the basis of actual need.

Procurement Arrangements

PIU shall prepare procurement plan in the manner prescribed above.

Irrespective of the procurement arrangement, every entity, whether PMU, PIU, line departments or any other agency involved in the procurement for the Project is compulsorily required to follow Bank's guidelines and approved procurement procedures.

Roles and responsibilities for procurement at State level

Following table lists down the procurement arrangements at State level:

Procurement arrangements at State level

<i>Activity</i>	<i>Roles and Responsibilities</i>
Packaging	PIU – Procurement Specialist in consultation with the Line Department
Compilation of the bid document	Line Department
Advertisement of bids	Line Department in consultation with the PIU Procurement Specialist

Procurement plan	PIU Procurement Specialist in consultation with the Line Departments
Model Bid document	PIU Procurement Specialist in consultation with the Line Department
Quality assurance of bid document	Line Department in consultation with the PIU Procurement Specialist
Bid Invitation	Line Department
Receipt of bids	Line Department
Opening of bids	Line Department
Evaluation of bids ⁸	Line Department
Scrutiny of evaluation	Line Department with the consultation of the PIU Procurement Specialist
Approval of evaluation ⁹	Review by the PIU: <ul style="list-style-type: none"> • Procurement Specialist for compliance with NCRMP procurement guidelines • Environment and social specialist for inclusion of EMP's and RAP's where required
Award	Line Department
Re-bid request	Line Department in consultation with the PIU procurement Specialist
Clearance of re-bids	World Bank
Retention of documentation	In the office of Divisional Engineer (Executive Engineer) with copies at office of Superintending Engineer/ Chief Engineer.
Contract Actions	
Variations/terminations etc.	Line Department in consultation with the PIU procurement Specialist / World Bank
Clearance of the contract actions	Based on agreed bidding conditions with World Bank
Progress monitoring	Primary responsibility of onsite supervision – Line Department Overall progress monitoring – PIU and PMU
Payments	
Preparation of bills	Line department
Scrutiny of bills ¹⁰	Line department
Clearance of bill for payment ¹¹	Line department (refer appendix 4 for the standard format for bill

⁸ In case of Andhra Pradesh, a separate Tender Approval Committee has been constituted for review and approval of evaluation of bids.

⁹ In case of Andhra Pradesh, a separate Tender Approval Committee has been formed for review and approval of evaluation of bids.

¹⁰ The observations of Third Party Quality Auditor to be considered/resolved by the Line Departments at the time of scrutiny of bills before recommending it for payment

¹¹ At the time of clearance of bill for payment, line departments to also certify that the concerned contractor has complied with the environment and social requirements of the Project.

	clearance)
Recording of bill and approving payment	By the PIU finance team
Payment method¹²	Direct release by the PIU to the contractor/vendor

Roles and responsibilities for procurement at National level

There will be a Procurement Specialist at the PMU who will coordinate all procurement related activities and his/her responsibilities are covered in Sec 5.1.2..

Threshold Matrix for Procurement Methods & Prior Review

The following threshold matrix shall be applicable for all the procurement envisaged under the NCRMP:

Threshold Matrix - Procurement of Goods & Works

Expenditure Category	Threshold Value	Procurement Method	Contracts Subject to Prior Review
Civil Works	Works estimated to cost more than US\$ 5,000,000	International Competitive Bidding (ICB)	All contracts exceeding US\$ 50,00,000
	Works estimated to cost more than US\$ 30,000 and up to US\$ 5,000,000	National Competitive bidding (NCB)	All contracts exceeding US\$ 50,00,000
	Goods estimated to cost up to US\$ 30,000	Shopping Method	As per approved procurement plan
	Small Civil works for which capacity exists internally	Force Account method if criteria are satisfied	Prior review only*
Goods/ Equipment/ Machines	Goods estimated to cost more than US\$ 500,000	International Competitive Bidding (ICB)/Limited International Bidding (LIB)	All contracts exceeding US\$ 200,000
	Goods estimated to cost more than US\$ 30,000 and up to US\$ 500,000	National Competitive Bidding (NCB)	All contracts exceeding US\$ 200,000
	Goods estimated to cost up to US\$ 30,000	Shopping	As per approved procurement plan
	Proprietary items of lesser value	Direct Contracting	Prior review only*

*. All procurement through direct contracting or Force account can be done only after a prior review by the Bank

¹² In case of Andhra Pradesh, the payments to the contractors would be made by the line departments through the existing mechanism of payments through the Pay and Accounts Office (PAO)

Threshold Matrix - Procurement of Services

Threshold Value	Procurement Method	Review by Bank
Recommended method	Quality and cost based selection (QCBS)	All contracts exceeding US\$ 100,000
Based on the specifications of the assignment. (Procurement meeting requirements of Clause 3.6 of the Bank's guidelines) Contract value less than US \$ 200,000.	Least cost selection (LCS)	All contracts exceeding US\$ 100,000
Based on the specifications of Assignment. (Procurement meeting requirements of Clause 3.5 of the Bank's guidelines) Contract value less than US \$ 200,000	Fixed Budget System (FBS)	All contracts exceeding US\$ 100,000
Based on the specifications of Assignment. (Procurement meeting requirements of Clause 3.7 and 3.8 of the Bank's guidelines) Contract value less than US \$ 200,000	Selection based on Consultants Qualification (CQS)	All contracts exceeding US\$ 100,000
Based on the specifications of Assignment (if meets requisite criteria) (Selection meeting requirements of Clause 3.9- 3.13 of the Bank's guidelines)	Single Source Selection(SSS)	Prior Review only (Refer Note 1)
Based on the specifications of Assignment (if meets requisite criteria)	Individual Consultants	Prior Review (Refer Note 2)

Note 1: All Single Source Selections (SSS) should be prior cleared with Bank.

Note 2: Prior review by Bank only if individual consultants estimated to cost the equivalent of \$ 50,000 or more (value per contract)

Appendix 9: Environment and Social Management arrangements

Environment Screening

Screening is the first step in the ESMF process. The object of screening is to identify those sub-projects that have minimal/no environmental or social concerns. Work on these sub-projects can be initiated immediately with use of standard codes or standard EMPs. Detailed studies and analysis may need to be conducted for projects with environment and social concerns.

The steps involved in the screening process are outlined below.

- Step 1: Confirm that none of the sub-projects is prohibited as per the existing notifications.
- Step 2: Appoint Environment and Social Management Consultants as per the TOR's finalized by NDMA.
- Step 3: Undertake the detailed screening process for all the investments in consultation with the Line Departments.

The objective of this screening is to quickly freeze the Year 1 investments and start the clearance process for the difficult sites. The necessity of the investment for disaster mitigation is the main concern and no activity needs to be dropped merely because of the clearances required.

The environmental and social screening flowcharts provided show the overall screening process flow.

Prior to finalising a site, the PIU team would evaluate whether the site falls in a prohibited area. If it does, then it would need to select an alternate site.

The state will evaluate the screening results according to the guidelines given in ESMF documents and decide on investments accordingly.

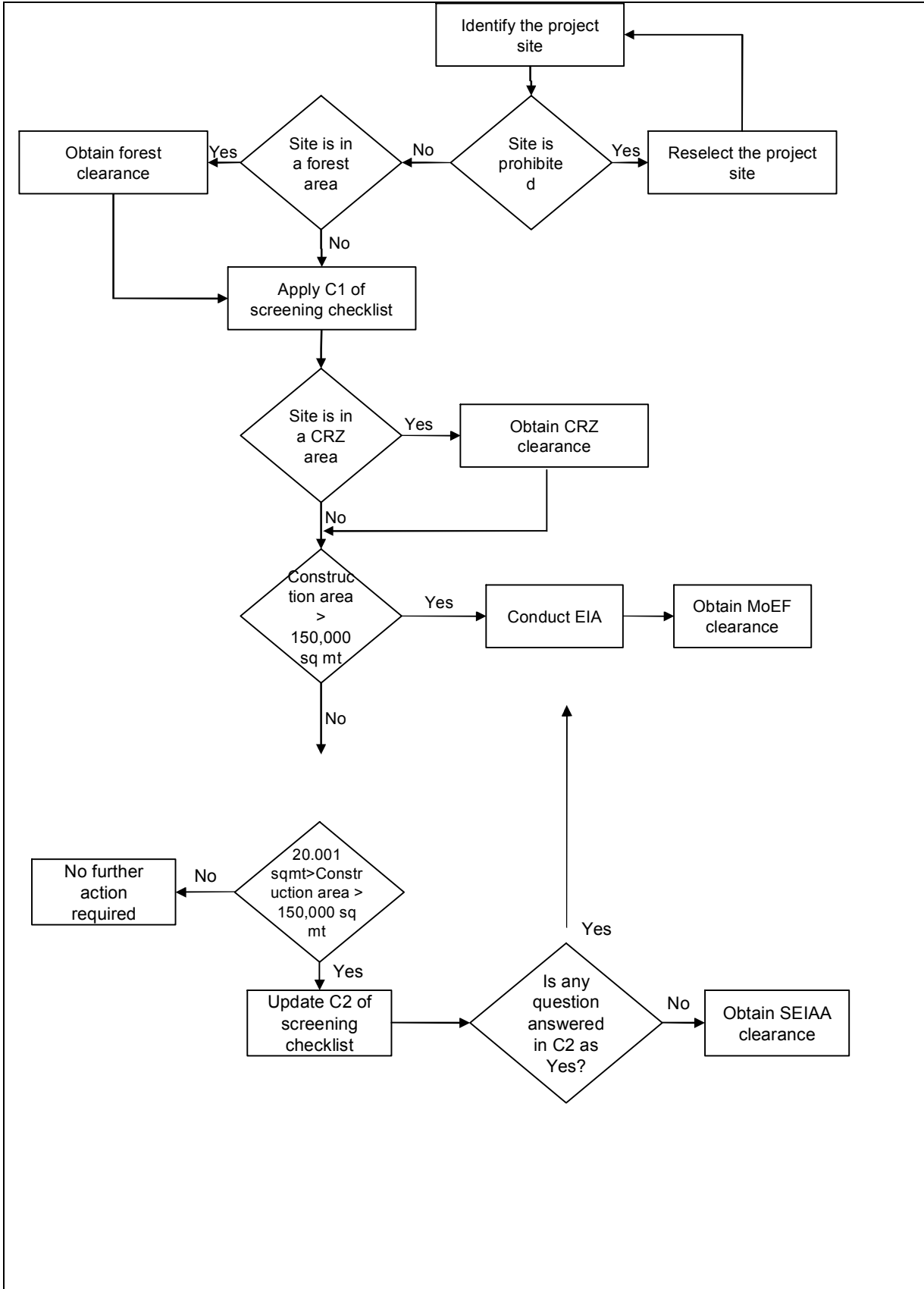
Environmental Parameters

Some of the key environmental parameters/aspects considered in the preparation of the standard/generic activity specific EMPs in the ESMF include - sensitive natural habitats including National Parks, Sanctuaries, Wetlands, Reserved and Protected Forests; trees and vegetation; water resources and their use by people; water logging, flooding and drainage issues; soil resources including erosion and siltation; physiographic conditions; material sources and their requirement (earth, sand, stone, water) for construction; management and disposal of spoils and wastes; pre-dominant land use and; presence of sensitive receptors such as schools, colleges and hospitals

Environmental Impacts

The project may have some adverse environmental impacts and these may include: (i) direct/indirect impacts resulting due to poor site selection for sub-projects (example: salt water intrusion due to inappropriate planning and design of embankments); (ii) impact on the drainage pattern of the area, including impact on coastal flora and/or fauna due to changes in tidal water flow; (iii) felling of trees and clearance of vegetation for sub-project construction; (iv) impacts on water resources used by the people such as ponds, river/streams, canals and hand pumps; (v) occupational health and safety concerns that may come-up during the construction stage; (vi) impacts due to construction material (sand, water, earth, aggregate) sourcing and transportation and; (vii) disposal of debris and construction wastes.

The environment screening process



Statutory Clearances.

A summary of the key statutory clearances that may be required for the project is provided in table below.

Key Statutory Clearances for Environment and Social Management

(depends on the area, type and extent of the sub-project)

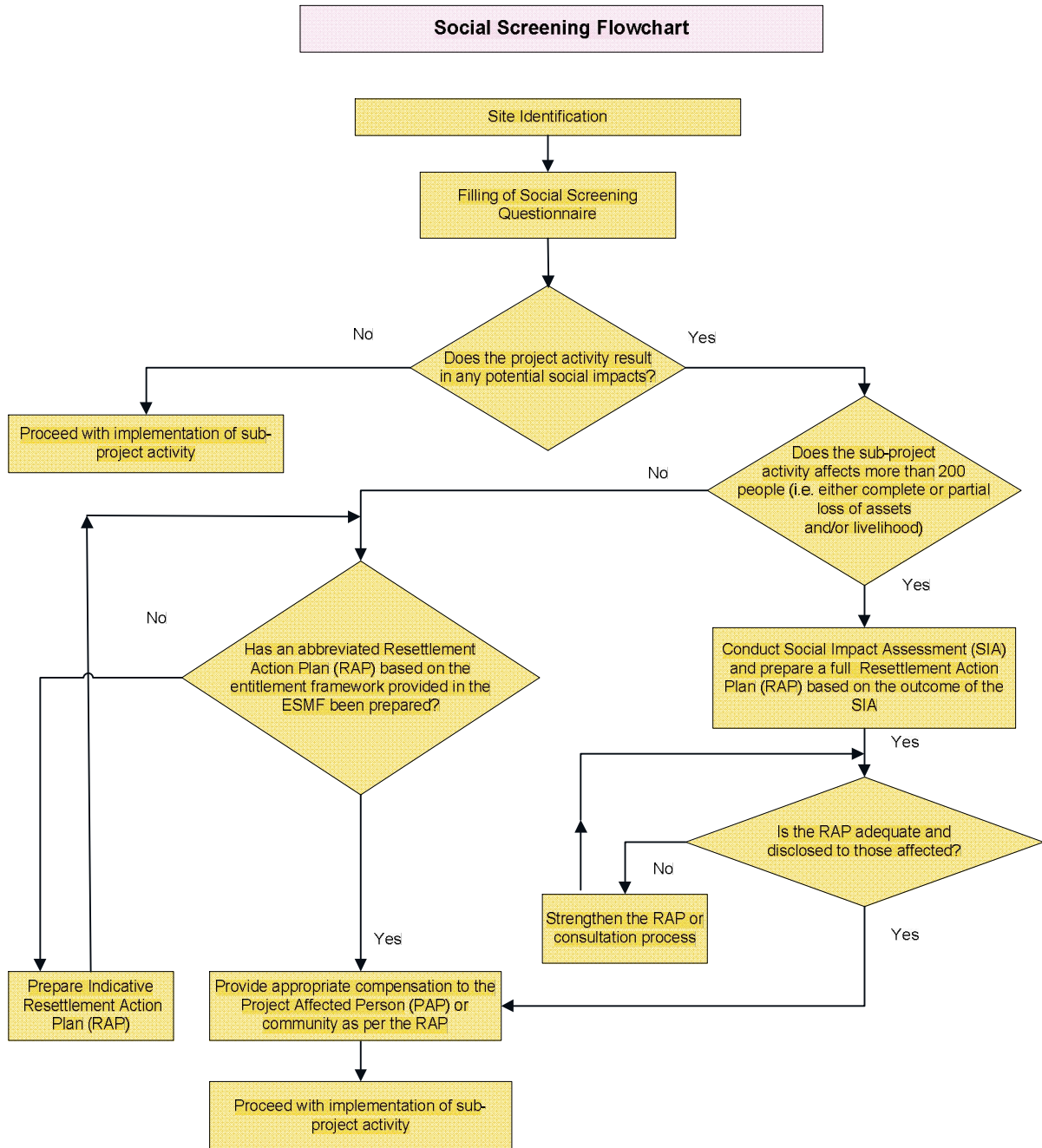
S. No.	Clearance Required	Statute under which clearance is required	Statutory Authority
Clearances Required to be taken by SDMA/State Departments			
1	Environment Clearance/NOC for the sub-project*	EIA Notification, 2006 issued under Environment Protection Act, 1986	State Pollution Control Board; MOEF, Govt. of India
2	Coastal Regulation Zone Clearance	Coastal Regulation Zone Notification (Issued under Environment Protection Act, 1986)	Coastal Regulation Zone Authority
3	Forest clearance	Forest Conservation Act, 1980	State Forest Department and/or MOEF, Govt. of India
4	Tree Cutting Permission	Forest Conservation Act, 1980	State Forest Department and/or MOEF, Govt. of India
Clearances Required to be taken by the Contractor			
4	Hot mix plants, WMM plants, Crushers and Batch Mix Plants	Air (Prevention and Control of Pollution) Act, 1981 and Noise Pollution (Regulation and Control) Rules, 2000	State Pollution Control Board
5	Storage, handling and transport of hazardous materials	Hazardous Waste (Management and Handling) Rules, 1989 and Manufacturing, Storage and Import of Hazardous Chemicals Rules, 1989	State Pollution Control Board
6	Location/ layout of workers camp, equipment and storage yards	Environment Protection Act, 1986 and Manufacturing, Storage and Import of Hazardous Chemicals Rules, 1989	State Pollution Control Board
7	Quarries (in case of opening of new quarries)	Environment Protection Act, 1986	Dept. of Mining, State Govt.; Concerned District Administration
8	Discharges from Labour Camp	Water (Prevention and Control of Pollution) Act, 1974	State Pollution Control Board
9	Permission for withdrawal of groundwater for construction	Environment Protection Act, 1986	State Ground Water Board
10	Permission for sand mining from river bed	Environment Protection Act, 1986	Irrigation Department, State Govt.

* Environmental Clearance may be required for saline embankments.

Mitigation of Impacts To help states plan for minimizing the adverse impacts on the community and for appropriate compensation, the ESMF defines the following

- The social impacts due to the sub-project activities will be first identified using the screening checklist. This will be used to determine the requirement of full scale Social Impact Assessment and preparation of Resettlement Action Plan
- The Participating States have conducted the screening and classified works them into two categories: (i) subprojects with no adverse social issues; and (ii) the subprojects with likely adverse social impacts. First category projects are planned to be taken up during the first year of project and the second during the later years. Social Development Expert at the State PIU will certify all the Detailed Project Reports prepared and will be responsible for the implementation of the ESMF. Implementation of mitigation measures will be completed before the start of civil works.
- The DPRs will be based on the guidelines given in the ESMF document which include (a) entitlement matrix for each identified adverse impact and (b) indicative social management plan
- Third Party Quality Auditors will assess the implementation of the RAPs. Mid-term and end-of-project evaluations will be undertaken to assess the impact of RAP in mitigating the adverse affects on the project affected people.

The social screening process



Implementation arrangements for ESMF

Implementation arrangements

The role for environment and social management has been explained in Chapter ESMF implementation and management arrangements of the ESMF

Monitoring and reporting

The role for environment and social management has been explained in Chapter 5 in this manual and detailed in the ESMF. Each PIU shall have designated Environment & Social Sector Experts. They shall be responsible for overseeing compliance of the sub-projects with the safeguards as well as reviewing the timely implementation of environment and social provisions as per the ESMF, EMP and RAP where applicable. The objectives of Environment & Social monitoring includes:

- Successful completion of environmental management, R&R activities identified in the EMP and R&R plan as per the implementation schedule
- Compliance with the environmental policy, R&R policy and entitlement framework.

The Environment and Social Sector experts shall play a key role in reporting the progress of implementation as well as compliance to the PIU, PMU and the World Bank.

The following set of MIS shall be made available for review:

MIS reports

No	Particulars	Frequency of updation	Reporting Responsibility	Monitoring responsibility
1	Compliance Status report: <i>'Environmentally & socially sensitive sites, status of conduct of EIA/SIA, and status of compliance at these sites</i>	Monthly Quarterly	PIU – Environmental and Social Experts PIU – Environmental and Social Experts	PIU - Project Director PMU – Environmental and Social Experts
2	Environment and social site visit report encapsulating– a. plan vs actual b. exceptions noted in visit	Quarterly	PIU – Environmental and Social Experts	PIU - Project Director PMU – Environmental and Social Experts
3	Verification of land to be acquired and status of land acquisition	Monthly	PIU – Social Expert	PIU – Project Director
4	Distribution of entitlements and assistances	Monthly	PIU – Social Expert	PIU – Social Expert
5	Community consultations	Quarterly	PIU – Social Expert	PIU - Project Director PMU – Environmental and Social Experts
6	Progress of grievance redressal	Monthly	PIU – Social Expert	PIU - Project Director

No	Particulars	Frequency of updation	Reporting Responsibility	Monitoring responsibility
		Quarterly	PIU – Social Expert	PMU – Environmental and Social Experts

Budget for the ESMF

To effectively implement the environmental and social management measures suggested as part of the ESMF, necessary budgetary provisions should be made in the DPRs for the individual sub-projects. Tentative budget for each of the project should include the environmental management costs other than the good engineering practices, cost of environmental and resettlement monitoring. All administrative costs for implementing the ESMF shall be budgeted for as part of the PIU and PMU costing.

Updating and revisions to the ESMF

The ESMF should be an 'up to date' or a 'live document' enabling revision where and when necessary. It is possible that certain aspects not envisaged at this stage during project preparation are not included in this document. These may arise in the future, and therefore should be assessed and appropriate management measures incorporated in the ESMF. This needs to be done through year end and mid-term reviews aligned with the project cycle. This should also include any revision to existing laws and regulations.

Appendix-10

**National Cyclone Risk Mitigation Project (NCRMP)
Governance & Accountability Action Plan: Risk Assessment and Mitigation Measures**

Item	Steps proposed	Responsibility	Target
Governance Structures	<ul style="list-style-type: none"> • Appointment of highly experienced Project Director by NDMA in the PMU with experience in implementation of similar large Bank projects. • Hiring of an international management firm as PMC by PMU to support its efforts during project preparation including guiding the PIUs and line departments and technical review of investments. • Creating uniformity in investment identification, evaluation, detailing and approval procedures by preparing and dissemination of tool kits. 	PMU	<ul style="list-style-type: none"> • Done • Done • Done
	<ul style="list-style-type: none"> • Establishment of two tier steering committees at both central and state level for project oversight and guidance. 	PMU/PIU	By negotiation
	<ul style="list-style-type: none"> • Implementation Support by Bank through dedicated Implementation Support Team facilitated by GFDRR 	World Bank	By effectiveness
	<ul style="list-style-type: none"> • Review of institutional systems and process, veracity of information in MIS, level and quality of public disclosure, functioning of grievance redress mechanism. 	Bank team or PIU	Annual, starting end of first year
Project Management capacity	<p>Process</p> <ul style="list-style-type: none"> • Preparation of Guidelines/manuals – operational, procurement, financial management and reporting. Environmental and social management framework, M&E framework. 	PMU	Done
	<ul style="list-style-type: none"> • Development of tracking and reporting formats for monitoring on project activities, progress and compliances. 	PMU	Done
	<ul style="list-style-type: none"> • Establishment of web based MIS for project monitoring and reporting 	PMU	March 1, 2010
	<p>Capacity building</p> <ul style="list-style-type: none"> • Appointment of third party quality audit consultants and internal auditors. 	PIU	Initiate by Dec, 2009
	<ul style="list-style-type: none"> • Orientation training and refreshers courses for staff involved in project implementation 	PMU for PMU staff and PIU for PIU and Line Agency staff.	Ongoing*

Item	Steps proposed	Responsibility	Target
	Evaluation <ul style="list-style-type: none"> Annual review of implementation arrangements, identification of gaps and corrective actions. 	Bank team or third party appointed by PIU.	Every year end starting from first year onwards
Monitoring and evaluation capacity	M&E system <ul style="list-style-type: none"> Establishing a web enabled MIS system to cover monitoring of: physical and financial progress; procurement, compliances and results as per project's Results Framework. 	Development by PMU. Updation by PIU and Line Agencies	March 1, 2010
	<ul style="list-style-type: none"> Appointment of BME consultants and creation of base line data for monitoring of outcomes indicators. 	PIU	
	Monitoring and reporting process <ul style="list-style-type: none"> Centralized project subcomponent approval process will be followed at PMU and PIU level (through Steering Committees). 	PMU/PIU	Ongoing
	<ul style="list-style-type: none"> PMU to generate monthly reports using the MIS database for project monitoring, collate quarterly progress reports and share with MHA-GoI and the Bank. 	PMU	Ongoing (monthly)
	<ul style="list-style-type: none"> Benefit Monitoring and Evaluation (BME) by appointed consultants for assessing and reporting the impacts of the project on the lives of the beneficiaries: at midterm and before project completion. 	PIU	Appointment by effectiveness. Complete base line** within first year. Periodic (beginning, midterm and before end of the project)
Procurement: Transparency in bidding process, competition in contracts, disclosure of procurement information, etc.	Process <ul style="list-style-type: none"> Use of well defined and agreed procurement procedures by creation of Procurement manuals that is agreed and adopted by states enabling standardization of bidding documents and use of clear and concise eligibility criteria for contractors, based on the value of the bids.. 	Line Department	Draft manual created and ongoing
	<ul style="list-style-type: none"> Quality check on the procurement by PIU and PMU through review of procurement notices, draft bidding documents and bid evaluation reports. 	PMU/PIU	Ongoing
	<ul style="list-style-type: none"> PIUs to conduct state level project workshop to introduce the project and the proposed packages to potential bidders in the State. 	PIU	By negotiation

Item	Steps proposed	Responsibility	Target
	Capacity Building		
	<ul style="list-style-type: none"> Training of procurement staff of PMU, PIU and line agencies by conducting orientation workshops and refreshers courses. 	PMU for PMU staff and PIU for PIU and Line agency staff	Once by negotiation and Ongoing
	<ul style="list-style-type: none"> Support by Bank through IST (see above). 	World Bank	By effectiveness
	Monitoring		
	<ul style="list-style-type: none"> Establishment of procurement monitoring database within the Project MIS. Reports compiled from the MIS to be uploaded on NDMA and State websites including for public viewing. 	PIU for the state and PMU for all states	March 1, 2010 and ongoing
	<ul style="list-style-type: none"> Regular internal audits including physical verification of assets on a sample basis by internal/Third Party Quality auditor of PIUs and External procurement audits, including post-reviews by the Bank, to review the transparency of bidding processes, range of competition, variations between estimated and bid prices, number of re-bids, etc 	PIU	Ongoing
	Disclosure, Transparency and Competitiveness		
	<ul style="list-style-type: none"> National Competitive and Transparent Bidding, including specific disclosure requirements such as web-based dissemination of bidding documents and results. 	Line agency, PIU and PMU on respective websites	Ongoing
	<ul style="list-style-type: none"> PIUs to conduct state level project workshop to introduce the project and the proposed packages to potential bidders in the State. 	PIU	Completed in one district in Orissa and complete By negotiation
Financial Management	Process		
	<ul style="list-style-type: none"> Internal audit of financial transactions by internal auditors appointed by the PIUs. Annual audit of project's financial statements and by external auditors appointed by PMU. 	Internal audit by PIU appointed agency and external audit by PMU appointed agency	Ongoing
	Capacity		
	<ul style="list-style-type: none"> Preparation of Financial Management Manual (FMM) that compiles Project accounting policies/procedures, funds flow arrangements, 	PMU	Done

Item	Steps proposed	Responsibility	Target
	chart of accounts and formats for books of account/ reporting etc. The manual has been agreed and adopted.		
	<ul style="list-style-type: none"> Appointment of qualified staff – Qualified Chartered Accountant in PMU as Financial Controller and Qualified Accountants at PIUs 	PMU in PMU and PIU in PIU.	By negotiation
	Disclosure <ul style="list-style-type: none"> Disclosure of financial information through the web that will include financial reports such as IFR and audited statement. 	PMU	Ongoing
Community participation and grievance redress	Community Participation <ul style="list-style-type: none"> Interactions with the Community during the ESMF workshops, showed great interest to have the mitigation investments and even provided suggestions to improve the designs based on their local experiences 	PIU appointed agency	Done
	<ul style="list-style-type: none"> Consultations with beneficiary communities during project preparation and implementation and involvement in management of emergency shelters through creation of Shelter Management Committees. 	PIU/Line Department	Ongoing
	<ul style="list-style-type: none"> Preparation and adoption of community level disaster preparedness plans in response to Component A, will include measures/steps to follow post warning dissemination; 	PIU	Ongoing
	Grievance Redress <ul style="list-style-type: none"> Establishing a Grievance redress mechanism as part of the web enabled MIS on complaints handling and resolution tracking in PIUs and reporting through QPRs. 	PIU	March 1, 2010
	Disclosure <ul style="list-style-type: none"> Disclosure of project activities to local communities/stakeholders in local language at prominent locations at the respective project sites; 	PIU	Ongoing
	<ul style="list-style-type: none"> As per the Rights to Information Act, 2005, PMU and PIUs would disclose information and in response to requests. Information , disclosed will include procurement results, project preparation and implementation documents, financial audit reports, ESMF, PAD, technical reports, environmental and social assessment and action plans, physical and financial progress etc. 	PMU and PIU	Ongoing
Delay in start up and project implementation	Level of Preparation <ul style="list-style-type: none"> Identification of complete investment proposals including technical review and approval. 	Identification by Line Agency, approval by PIU and PMU	Done

Item	Steps proposed	Responsibility	Target
	<ul style="list-style-type: none"> • About 30% of the planned investments are ready: <ul style="list-style-type: none"> ○ Social and environmental screening confirming compliance to safeguards. ○ DPR prepared with complete designs. ○ Bidding documents ○ Procurement Plan 	<ul style="list-style-type: none"> ○ PIU ○ Line agency ○ Line agency ○ Line agency 	<ul style="list-style-type: none"> ○ Done ○ Done ○ Done ○ Done
	<ul style="list-style-type: none"> • PMU and PIU created and to be fully staffed 	NDMA – PMU State - PIU	By negotiation
	Implementation Support		
	<ul style="list-style-type: none"> • Implementation Support by Bank through IST (see above) 	World Bank	By effectiveness

* Throughout the project period

** Critical base line data from secondary sources will be collected by Board Date

Rating of risks on a four-point scale – High, Substantial, Moderate, Low - according to the likelihood of occurrence and magnitude of potential adverse impact.