

**GOVERNMENT OF KERALA**

No. RKI1/1/2020-PLGEA

Planning and Economic Affairs (RKI) Department,

Thiruvananthapuram,

Dated:24/03/2020.

CIRCULAR

Sub: - Rebuild Kerala Initiative (RKI)- Project Appraisal Guidelines- issue of- reg.

Ref: - 1. G.O. (P) No.16/2018/P&EA dated 09/11/2018.

2. Minutes of the 8th HLEC meeting dated 29/01/2020.

Government have formed the Rebuild Kerala Initiative (RKI) for the green and resilient rebuilding of the state on the backdrop of the devastating floods of 2018. The RKI is the dedicated State-level institutional modality for formulating and coordinating the implementation of a resilient Kerala, and is mandated to develop, coordinate, facilitate and monitor the Rebuild Kerala Development Programme (RKDP). RKDP envisages a sector-based as well as cross-cutting approach in policy formulation, institutional arrangements, prioritized projects etc. for an effective and efficient rebuilding of the state. It also offers the design blueprint for a new development thinking for our State, one that is embedded in the principles of sustainability, equity, inclusiveness and effectiveness.

For the projects which have to facilitated through the RKI, the departments must submit a project proposal to the RKI-Implementation Committee (RKI-IC) for its review and subsequent submission to the High-Level Empowered Committee (HLEC) for its approval. In line with the principles underlying RKDP, the RKI has formulated a detailed 'Project Appraisal Guidelines of RKI' for evaluating the projects that are placed before its consideration. These guidelines emphasize on the adherence to the operational strategies and core principles of RKI, the expected contents of the project proposals submitted to RKI-IC, the requirement for a DPR, and a checklist which is required to be appended with the proposals.

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All departments concerned are hereby requested that project proposals that are to be submitted to the RKI may henceforth be in consonance with the Project Appraisal Guidelines, as annexed to this circular.

K. SUNIL KUMAR
JOINT SECRETARY

To:

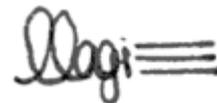
All Additional Chief Secretaries/ Principal Secretaries/ Secretaries.

All Heads of Departments.

All Departments in Government Secretariat.

I&PR (Web & New Media) Department (for publishing in Government website.)

Forwarded / By order,

A handwritten signature in black ink, appearing to read 'S. S. S.', followed by three horizontal lines indicating a signature line.

Section Officer

Project Appraisal Guidelines

THE REBUILD KERALA INITIATIVE (RKI)

Following the floods of 2018, the Government of Kerala identified the need to go beyond traditional approaches to recovery and reconstruction, to not only recover fully from the floods but also to build resilience to future disasters. The Rebuild Kerala Initiative (RKI) was established to drive the State towards resilience and risk-informed disaster preparedness. The RKI is the dedicated State-level institutional modality for formulating and coordinating the implementation of a resilient Kerala, and is mandated to develop, coordinate, facilitate and monitor the Rebuild Kerala Development Programme through a participatory and inclusive process.

The Rebuild Kerala Development Program (RKDP) outlines a roadmap for realizing a Nava Keralam that is more resilient, green, inclusive and vibrant. The RKDP offers a paradigm shift in the approach to towards post-disaster recovery, rebuilding and resilience. It also offers the design blueprint for a new development thinking for our State, one that is embedded in the principles of sustainability, equity, inclusiveness and effectiveness.

For the projects which have to be facilitated through the RKI, the nodal implementation agency must submit a project proposal to the RKI-IC for its review and subsequent submission to the High Level Empowered Committee (HLEC) for its approval. The following sections describe the guidelines for appraisal of projects by the RKI.

Section 1 – Consideration of the operational strategies and guiding principles of the Rebuild Kerala Initiative (RKI)

1.1. The Government of Kerala is of the resolve that it is not enough that the State merely undertakes a rehabilitation and restoration plan in the aftermath of the floods, and there should be consistent and collaborative efforts to rebuild the State to ensure better standards of living for all sections of the society. In this context, operational strategies and guiding principles have been established to ensure sustained comprehensive efforts of the RKI to develop a disaster-resilient State which is better-prepared to face future disasters.

1.2. The projects proposed to be facilitated through the RKI, must consider the operational strategies of RKI¹, especially the following:-

- Adoption of higher standards of infrastructure in repair and reconstruction
- Building ecological safeguards and standards into structures that will be constructed to equip new and restored assets to better withstand the onslaught of future disasters
- Redesigning infrastructure from the point of view of resilience and sustainability
- Substitution of conventional methods and technologies with alternate methods which are more cost-effective, less resource-intensive and give greater value for money

1.3. The projects proposed to be facilitated through the RKI, must consider the following core principles² which are the basis of planning and implementing the various packages under the RKI:-

¹ For additional details on the operational strategies of the RKI, the G.O.(P) No. 16/2018/P&EA may be referred to.

² For additional details on the core principles underlying the RKI, the G.O.(P) No. 16/2018/P&EA may be referred to.

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- Fast, efficient and inclusive
- Improving resilience
- Build-back-better philosophy
- Innovative and modern technologies
- Fair and equitable rehabilitation practices
- Capacity building
- Building asset management frameworks
- Simplification of processes and procedures

The core principles underlying the RKI have been detailed out in Annex-1A

Section 2 – Submission of Project Proposal

- 2.1. For the projects which have to be facilitated through the RKI, the nodal implementation agency must submit a project proposal to the RKI-IC for review and subsequent submission to the High-Level Empowered Committee (HLEC) for its approval
- 2.2. The project proposal must be appended with a duly filled Project Appraisal Form (template enclosed as Annex – 2A)
- 2.3. The project proposal should capture all the details required to support the RKI to confirm the alignment of the proposed project to the principles of the RKI as well as to recommend the project for HLEC's approval. A suggestive (inclusive and not exhaustive) list of contents is as follows:-
 - Details of all the agencies involved in project implementation and their roles and responsibilities
 - Project location(s) and target beneficiaries
 - The intended outputs and impact of the project
 - Detailed plan for implementation of the various interventions under the project
 - Plan for convergence with other Departments, agencies and/or schemes to optimise benefits and subsidies
 - Details of national and international best practices adopted
 - Detailed cost estimates for the different interventions, components and/or activities planned under the project, with a clear indication of the proportion of costs to be incurred by RKI and the proportion of expenses to be met from other sources
 - A revenue model with clear indication of the revenue streams and year-on-year revenue generation
 - A SWOT analysis of the strengths, weaknesses, opportunities and threats of the project
 - Analysis of environmental impact of the proposed project, with clear indication of the environment safeguards which will be put in place
 - Analysis of the technology requirements and risks
 - Analysis of legal issues, if any, which are relevant to the implementation of the proposed project
 - A plan for sustainability and continued operation beyond the project period
 - Industry analysis and trends, if applicable
 - Strategies for appropriate positioning, promotion, pricing and marketing of products/services, if applicable
 - Manpower requirements (full-time/part-time) and strategies for training and capacity building, if applicable
 - Alternate proposal(s)/ implementation modalities considered to establish value for money, to justify that other implementation options have been considered to ensure that the implementation model of the proposed project generates the maximum value for the funds invested.
 - Any other relevant details specific to the project

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- 2.4. The prospects for utilization of existing infrastructure should be carefully studied and examined, prior to proposing the establishment of new infrastructure in the project.
- 2.5. A review of the requirement for and status of technical studies and assessments (for eg:- hydrological studies) and/or establishment of databases and MIS must be conducted to enable a critical alignment of the timelines of the various interventions of the proposed project, to ensure evidence-based planning and decision-making.
- 2.6. If the proposed project involves augmentation of an ongoing project/scheme/intervention with specific features or components which shall enhance disaster resilience, the project proposal should make special mention of such components as well as the funding support expected to be availed under the RKI for incorporation of such components
- 2.7. If the proposed project was earlier proposed for funding by the State Planning Board and not approved, the reasons provided for non-approval should be provided. Similarly, if the project was proposed for funding by any other Department and/or for budgetary support under any alternate projects/schemes or any other sources, the project proposal should mention these sources and also the outcomes of such consideration, as well as the remarks/comments of the agency which was responsible for review, approval and/or consideration of the project.
- 2.8. In order to facilitate a detailed review of project proposals by the RKI-IC prior to placing before the HLEC for its approval, it should be ensured that project proposals are submitted to RKI atleast 7 working days in advance to the HLEC meeting. Any proposal which is not submitted within this timeline will be taken up for consideration in the next/subsequent HLEC.

Section 3 – Submission of Detailed Project Report (DPR)

- 3.1. If additional information is required in support of the proposal by the RKI-IC to submit its review comments to the HLEC, the RKI-IC may request for the submission of a DPR which shall comprehensively capture details of the proposed interventions, management and organizational structures, activities and resources, project economics, feasibility and sustainability. The DPR shall serve as a blue print for the execution and eventual operation of the project.

Annex – 1A: The Core Principles of RKI

Sl. No	The Core Principles of RKI	Key Elements
1	Fast, Efficient, and Inclusive	<ul style="list-style-type: none"> Reconstruction needs to be strong, so that assets and livelihoods become less vulnerable to future shocks; efficient, so that both men and women can get back to their normal life fast; and inclusive, so that all citizens, including members of disadvantaged communities, participate fully in the efforts and are not left behind anyway
2	Improving Resilience	<ul style="list-style-type: none"> RKI will focus on building assets that are more resilient to natural calamities like floods, approaches in this direction will comprise of elevating flood-prone road sections, drainage improvement, slope stabilization, landslide protection, and bioengineering techniques, incorporating cost effective disaster- resilient principles will improve the long-term sustainability of the reconstructed critical public infrastructure. The efforts under RKI for rehabilitation will be based upon structural assessments, geological and hydrological surveys and a range of improved technical measures. Modifications to current designs and structures will be encouraged if these lead to enhanced resilience and durability. Efforts will be made to use methodologies based on organic architecture to foster harmony between human habitation being settled and the natural world
3	Build-back-better philosophy	<ul style="list-style-type: none"> The RKI will adopt a 'build-back-better' approach, backed by sound engineering designs, adequate drainage, and greening approaches to enhance resilience. Build- back-better principles will be in general, include improvement designs, sizing, siting, and orientation, with due recognition of affordability and technical viability constraints. Where relevant, poor existing geometrics of roads and canals must be improved, and new/ additional cross-drainage structures as well as arrangements for surface drainage and wider waterways are selected vulnerable locations must be provided.
4	Innovative and modern Technologies	<ul style="list-style-type: none"> The RKI should be used as an opportunity to adopt or switch to practices that are more efficient, less resource intense and more environment friendly. For instance, road rehabilitation should choose between a variety of pavement designs. RKI will have to weigh between several available options in arrange of alternative surfacing and paving technologies based on availability of local resources, geography (floods and landslide risk, steep terrain) and traffic volumes. Some of these options may have a higher initial investment cost, but over the whole life cycle of the road, they will prove more durable and will need less maintenance and repair. Resilience will be potentially improved through innovative technologies which will extend road durability and reduce life cycle costs Adoption of new/latest technology shall be a key driver of the process and this will ensure that new projects undertaken are state -of-the-art. The implementation of smart technologies in utilities, early warning systems, setting up predictive tools in disaster management, improved technology solutions for relief work, designing evacuation plans etc., will improve the overall responsiveness of the state to tackle any such disaster in future and improve the efficiency of delivery of civic service during such catastrophes Special focus should be given for building vast depositaries of data both local, regional relating to weather, rainwater analysis, soil data for

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		designing robust and sustainable systems for disaster management. Use of data analytics in systems planning and implementation and induction of modern technologies (e.g. IoT) will be a common thread in the establishing improved disaster management and surveillance mechanisms
5	Fair and Equitable Rehabilitation Practices	<ul style="list-style-type: none"> Resettlement and Rehabilitation plans should be based on the best fair practices. In each case where resettlement/rehabilitation must be done, a Resettlement and Rehabilitation plan must be drawn up for the Project Affected People (PAP) and the Project Affected Household (PAH) after assessing the category of impacts together with socioeconomic conditions on the PAP and PAH and host communities, estimated cost of resettlement and draw up a time -bound action for implementation
6	Capacity Building	<ul style="list-style-type: none"> Durability and resilience can be increased only if technical and operational capacity of implementing agencies is adequate. Under RKI planned programs will be undertaken to enhance capacity of institutions and agencies under Government through training and support of technical laboratories and quality control. based on adoption of international good practice.
7	Building Asset Maintenance Frameworks	<ul style="list-style-type: none"> Ensuring the sustainability of public investment through sound public asset maintenance practice is challenging across countries. Road maintenance is a common challenge for most governments because of limited resources, the possibility of creating local responsibility for asset maintenance, by adopting a community-based approach to routine maintenance of public assets which has been successfully implemented in other countries, will be explored.
8	Simplification of Processes and Procedures	<ul style="list-style-type: none"> A rebuilding exercise of this magnitude requires nimbleness in decision making. At the same checks and balances are to be in place to ensure transparency and prudence in spending. The clearances and permissions that are required for the project may be given at the appropriate levels as explained in the institutional arrangements discussed below in this proposal. Improved practices may be incorporated into the procurement guidelines in RKI. Reconstruction of infrastructure systems, consequent to disasters and post war like situations needs strategies different from conventional public work execution methodologies. In such circumstances, it may be difficult to wait for the completion of entire planning and design for initiating the actual construction activities considering the limited time frame available for completion of such projects. Mode of procurement and contracting systems are also to be suitably modified to meet the specific requirements like faster construction, least disturbance to the damaged environment, and efficient utilization of natural resources, while ensuring transparency and efficiency. Integrated Concurrent Engineering (ICE) and Execution methodologies as being followed by EPC organizations are among various options to meet the above objective. The agencies awarded with such works shall be permitted to adopt techniques and methodologies in planning and design based on acceptable national/international standards/specifications suited to Kerala conditions. They may choose appropriate designs, technologies and practices from basket of acceptable options (which may be short listed with the help of experts in related fields) Eventually as the RKI progresses, good models will evolve and be a legacy for improving the process of governance specially for infrastructure construction and disaster management. Processes and Procedures which have been tried out successfully under RKI can be subsequently incorporated into Government practices, rules and procedures

Annex – 2A: The Project Appraisal Form of RKI**Project Appraisal Form**

THE REBUILD KERALA INITIATIVE (RKI)

Section A – General Information

A1. Title of the Project	:	
A2. Nodal agency for project implementation	:	
A3. Project Geography	:	
A4. Project Duration	:	
A5. Expected outcomes of the project	:	
A6. Total Project Cost	:	
A7. Project Cost to be incurred by RKI	:	
A8. Number of Project Beneficiaries	:	
[Note: If the number of project beneficiaries cannot be directly quantified, please provide details of any other relevant units and/or parameters which can be quantified]		

Section B – Alignment to RKDP sectors

B1.	Select the RKDP sector(s) to which the proposed project is aligned to?	Integrated Water Resource Management	<input type="checkbox"/>	Forestry	<input type="checkbox"/>
		Water Supply	<input type="checkbox"/>	Agriculture	<input type="checkbox"/>
		Sanitation	<input type="checkbox"/>	Animal Husbandry and Dairy Development	<input type="checkbox"/>
		Urban	<input type="checkbox"/>	Fisheries	<input type="checkbox"/>
		Roads and Bridges	<input type="checkbox"/>	Livelihoods	<input type="checkbox"/>
		Transportation	<input type="checkbox"/>	Land	<input type="checkbox"/>
		Others	<input type="checkbox"/>		
		If 'Others', please specify _____			

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B2.	Select the RKDP cross-cutting foundational elements to which the proposed project is aligned to?	Disaster Risk Management and Resilience	<input type="checkbox"/>	Strengthening Institutional Efficiency and Resilience	<input type="checkbox"/>
		Environment and Climate Changes	<input type="checkbox"/>	Open Data	<input type="checkbox"/>

Section C – Alignment to Core Principles of RKI

Note: Please utilize this section to justify the alignment of the proposed project to the core principles of the RKI. Please mention 'Not Applicable' or 'N/A' if a core principle is not relevant and/or not applicable to the proposed project.

C1.	Core Principle 1: Fast, Efficient, and Inclusive	
C1.1	Please explain how the assets and livelihoods created and/or strengthened within the proposed project will be less vulnerable to future shocks and calamities.	
C1.2	Please explain how the proposed project will support the affected people to get back to their normal life fast	
C1.3	Please explain how the proposed project will be inclusive i.e. it contributes to the upliftment of disadvantaged groups, vulnerable sections, and backward and marginalized communities	
C2.	Core Principle 2: Improving Resilience	
C2.1	<p>Please explain how the proposed project will build assets that are more resilient to natural calamities. What are the approaches which will be adopted to ensure greater disaster resilience of assets?</p> <p><i>[Select examples of approaches which can be adopted for disaster resilience – (i) geological and hydrological studies, (ii) technical and/or structural assessments, (iii) elevating flood-prone road sections, (iv) drainage improvement, (v) slope stabilization, (vi) landslide protection, (vii) bioengineering techniques, (viii) structural assessments, improvement in design, etc]</i></p>	

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C3.	Core Principle 3: Build-back-better philosophy	
C3.1	<p>The RKI aims to 'Build Back Better' to ensure that the post-disaster reconstruction and recovery efforts include new ideas, technologies and methods to improve on pre-disaster conditions. Please explain how the proposed project will improve on pre-disaster conditions and support to 'build back better'.</p> <p><i>[Select examples of approaches which can be adopted for 'building back better' – (i) sound engineering designs, (ii) adequate drainage, (iii) greening approaches to enhance resilience, (iv) improvement designs, sizing, siting, and orientation, (v) improvement in poor existing geometrics of roads and canals, (vi) new/ additional cross-drainage structures and arrangements for surface drainage and wider waterways, etc]</i></p>	
C3.2	<p>Please provide details of the constraints and limitations which have been considered in the Build-Back-Better approaches mentioned in your response to C3.1.</p> <p><i>[Select examples of constraints are (i) affordability, (ii) technical viability, (iii) operational difficulties, etc]</i></p>	
C4.	Core Principle 4: Innovative and modern Technologies	
C4.1	<p>Please explain how the proposed project uses new, innovative and modern technology to ensure greater efficiency, lesser resource-intensiveness, improved resilience, improved environmental friendliness, and better durability.</p>	
C4.2	<p>Please provide details of the constraints and limitations which have been considered in the use of technologies mentioned in your response to C4.1.</p> <p><i>[Select examples of constraints are (i) affordability, (ii) technical viability, (iii) operational difficulties, etc]</i></p>	
C4.3	<p>Please explain how the proposed project will build databases and/or a repository of data, and will use data analytics for</p>	

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	ensuring evidence-based planning and decision-making regarding disaster resilience and surveillance mechanisms	
C5.	Core Principle 5: Fair and Equitable Rehabilitation Practices	
C5.1	If the proposed project involves resettlement and rehabilitation, please explain how national and international best practices have been considered in preparing the resettlement and rehabilitation plans.	
C5.2	<p>If the proposed project involves resettlement and rehabilitation, please list the key considerations which have been made while drafting the Resettlement and Rehabilitation Plan for the Project Affected People (PAP) and the Project Affected Household (PAH).</p> <p><i>[Select examples for considerations which are to be made while preparing Resettlement and Rehabilitation Plans – (i) Socioeconomic conditions of PAP and PAH, (ii) Impact of resettlement, (iii) Estimated costs of resettlement, (iv) Activities and timelines]</i></p>	
C6.	Core Principle 6: Capacity Building	
C6.1	Please provide information on the adequacy of the technical and operational capacities of the implementing agencies of the proposed project. What are the training and capacity building programs planned to be undertaken for the associated personnel to ensure that they have the capacity to effectively and efficiently implement the proposed project?	
C7.	Core Principle 7: Building Asset Maintenance Frameworks	
C7.1	Please provide details of how the proposed project proposes the establishment of frameworks, guidelines and/or systems for maintenance of assets, so as to ensure the sustainability of public investment which has been made on these assets.	

C7.2	Please explain the year-on-year practices and frameworks which will be used to ensure sustainable maintenance of assets.	
C8.	Core Principle 8: Simplification of Processes and Procedures	
C8.1	Please explain how the proposed project will utilize simplified processes and procedures for procurement, without compromising on transparency and efficiency, as well as prudence in spending	

Section D – Convergence

D1.	Was the project proposal examined from the perspective of the prospects for convergence with other agencies and/or schemes? [If answer is No, skip to D3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D2.	Which are the agencies and/or schemes with which the prospects for convergence is present? What are their specific roles in the project?		
D3.	If no, please explain why convergence has not been addressed.		

Section E – Project Feasibility and Sustainability

E1.	Does the proposal for the proposed project include a detailed Implementation Plan for the various interventions/components under the project?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E2.	Were alternate implementation modalities considered to establish the Value for Money (VFM) proposition of the proposed project? In other words, have other implementation	Yes <input type="checkbox"/>	No <input type="checkbox"/>

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	options been considered to check if the implementation model of the proposed project generates the maximum value for the funds expected to be spent on the proposed project?		
E3.	Does the project proposal include detailed cost estimates for the different interventions planned under the project?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E4.	Does the project have prospects for revenue generation? [If answer is No, skip to E6]	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E5.	Does the project proposal include a revenue model with clear indication of the revenue streams and year-on-year revenue generation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E6.	Does the project proposal include a SWOC analysis of the strengths, weaknesses, opportunities and challenges?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E7.	Does the project proposal include a sustainability plan for continued operation beyond the project period?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E8.	Can the proposed project avail funds under any Plan budget? [If answer is No, skip to E10]	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E9.	What are the reasons for availing support under RKI, inspite of availability of funds under Plan budget?		
E10.	Has the proposed project been earlier considered for funding and/or any support under any other project/scheme/initiative/agency? [If answer is No, skip to Section F]	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E11.	Please provide details of the project/scheme/initiative/agency which was considered for funding and/or any support of the proposed project, and also provide information of the status.		

Section F – Incorporation of Best Practices

F1.	Are international and/or national best practices considered under the proposed interventions? [If answer is No, skip to F3]	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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F2.	Please provide details of the best practices which have been considered	
F3.	If no, please explain why best practices have not been considered.	