

**Green India Mission Directorate**

**Ministry of Environment, Forests and Climate Change**

**Government of India**

**Ecosystems Service Improvement Project  
Environment and Social Management Framework**

**and**

**Tribal Development Plan**

**World Bank/GEF Assisted**

**Final Report**

**October 2014**

## **Contents**

<b>SECTION A: ABOUT THE ECOSYSTEM SERVICES IMPROVEMENT PROJECT .....</b>	<b>1</b>
<b>1. Ecosystem Services Improvement Project- An Overview .....</b>	<b>1</b>
<b>1.1 Introduction and Sector Context.....</b>	<b>1</b>
<b>1.2 Development Objectives and Outcomes.....</b>	<b>2</b>
<b>1.3 Project Components and Interventions.....</b>	<b>2</b>
<b>1.4 Project Location .....</b>	<b>5</b>
<b>1.5 Implementation Agencies .....</b>	<b>5</b>
<b>SECTION B: ENVIRONMENT AND SOCIAL ASSESSMENT .....</b>	<b>6</b>
<b>2. Environment and Social Baseline .....</b>	<b>6</b>
<b>2.1 Project Implementation Area.....</b>	<b>6</b>
<b>2.2 Overview of Environmental and Social Baseline.....</b>	<b>6</b>
<b>2.2.1 Social and Demographic Baseline .....</b>	<b>7</b>
<b>3. Policy, Legal and Regulatory Frameworks .....</b>	<b>10</b>
<b>3.1 Government of India Laws and Regulations .....</b>	<b>10</b>
<b>3.2 Government Policies and Programmes .....</b>	<b>12</b>
<b>3.3 World Bank Safeguard Operational Policies.....</b>	<b>13</b>
<b>4. Stakeholder Analysis, Consultations and Disclosure.....</b>	<b>14</b>
<b>4.1 Key Stakeholders and Beneficiaries.....</b>	<b>14</b>
<b>4.2 Stakeholder Consultations.....</b>	<b>15</b>
<b>4.3 Disclosure .....</b>	<b>15</b>
<b>5. Summary of Environmental and Social Impacts and Risks.....</b>	<b>16</b>
<b>SECTION C: ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK .....</b>	<b>18</b>
<b>6. Information, Education and Communication (IEC).....</b>	<b>21</b>
<b>6.1 Consultation and Participation Plan .....</b>	<b>21</b>
<b>6.2 Social Inclusion, Mobilisation and Capacity Building .....</b>	<b>22</b>
<b>6.4 Tribal Development Plan .....</b>	<b>23</b>
<b>6.5 Gender Action Plan .....</b>	<b>24</b>
<b>6.6 Participatory Landscape Planning.....</b>	<b>25</b>

---

<b>6.7 Negative List .....</b>	<b>26</b>
<b>SECTION D: IMPLEMENTATION AND REPORTING FOR ESMF .....</b>	<b>28</b>
<b>7. Institutional and Implementation arrangements .....</b>	<b>28</b>
<b>7.1 Institutional Overview.....</b>	<b>28</b>
<b>7.2 Reporting arrangements for Environment and Social Safeguards .....</b>	<b>29</b>
<b>7.3 Institutional Capacity of the Borrower to Implement Safeguards.....</b>	<b>30</b>
<b>8. Capacity Building and Training Plan .....</b>	<b>30</b>
<b>9. Grievance Redress Mechanism.....</b>	<b>31</b>
<b>10. Monitoring, Evaluation and Reporting Framework.....</b>	<b>32</b>
<b>11 Budget for ESMF .....</b>	<b>33</b>
<b>Annexure 1 Detailed Project Description and Components .....</b>	<b>35</b>
<b>Annexure 2 Project Activities .....</b>	<b>38</b>
<b>Annexure 3 Environmental Baseline Data .....</b>	<b>40</b>
<b>Annexure 4 Social Baseline Data .....</b>	<b>50</b>
<b>Annexure 5 Applicable Laws, Regulations and Bank Policies .....</b>	<b>62</b>
<b>Annexure 6 Field consultations under ESIP in Chhattisgarh and Madhya Pradesh – Detailed Report .....</b>	<b>72</b>
<b>Annexure 7 Tribal Development Plan (TDP) .....</b>	<b>79</b>
<b>Annexure 8 Participatory Planning for Interventions on Panchayat Lands and Village Commons.....</b>	<b>87</b>
<b>Annexure 9 Gender and Women Empowerments Strategy .....</b>	<b>89</b>
<b>Annexure 10 Conflict Resolution Mechanism .....</b>	<b>91</b>
<b>Annexure 11 Reporting Formats for Application of ESMF in Sub Projects.....</b>	<b>92</b>

## **SECTION A: About the Ecosystem Services Improvement Project**

### **1. Ecosystem Services Improvement Project- An Overview**

#### **1.1 Introduction and Sector Context**

A significant portion of India's population, about 100 million, is directly dependent on forested landscapes, including the protected areas for their livelihoods; collecting forest resources for bonafide use and often to sell underpriced Non Timber Forest Products (NTFPs) in unorganized markets resulting in poor incomes. These populations are concentrated in forested landscapes, where development projects have had little impact. As a result, these people have remained out of the economic growth story. Despite the objective of the National Forest Policy to bring 33% of India's landmass under forest cover, efforts have only partially succeeded in marginally increasing the forest cover during the 11th Five Year Plan, which had set a target of 5% increase in forest cover. At the same time, India lost some of its high quality dense forest to degradation due to lopping, firewood collection, and limited illicit felling and over grazing, resulting in a higher percentage of open forest. The problem is further compounded as the scale and impact of land degradation and desertification in India is also severe, affecting about 32% and 25% respectively of India's total land area. This adds to the woes of marginal farmers operating small land parcels and landless livestock owners depending on Common Property Resources (CPR). Climate change impacts are also predicted to seriously alter the distribution, type and quality of natural resources of the country and the associated livelihoods that are dependent on them. This is especially important to the central Indian highlands (which include districts in the states of Madhya Pradesh, and Chhattisgarh) which are part of the 39% forest grids in India identified and mapped with vulnerability to climate change. These areas are also facing significant threats of degradation due to unsustainable use of land and forest resources.

Forest degradation directly contributes to climate change through release of stored carbon. Results of the dynamic global response model – IBIS (Integrated Biosphere Simulator) predicts as high as 73% of forested grids in Chhattisgarh are expected to undergo vegetation change due to climate change impacts. This imposes a significant challenge for the poor people inhabiting these areas who lack the capacity to adapt to climate change. With the decreasing forest cover, increasing habitat fragmentation and diminishing forest ecosystem quality, life is set to become more challenging, and human impacts on forest biodiversity will increase unless significant efforts are put in place to improve the sustainable flow of forest ecosystem services that provides for the survival and livelihoods of almost 18% of India's population dependent on its forests.

In order to comprehensively address these multiple sector specific issues, the Government of India launched the Green India Mission (GIM), which is one of the eight missions, forming part of its national strategy to address climate change through improving forest cover and quality. GIM will serve as the baseline project for the proposed GEF project. The GIM is expected to contribute to water, food and livelihood security when fully realized through arresting forest degradation and restoring carbon stocks in a total of 10 million ha. While GIM is a multi-purpose approach, the afforestation and reforestation practices in the past have only focused on quantitative issues and not qualitative ones. For instance, there has been a general lack of focus on forest quality, invasive species and forest-linked livelihood improvements. The ESIP proposes to bring the focus on these issues through a combination of technical assistance and demonstrative investments.

## 1.2 Development Objectives and Outcomes

The proposed Project Development Objective (PDO) is to *strengthen the institutional capacity of the Department of Forestry and community organizations to enhance forest ecosystem services and improve the livelihoods of forest dependent communities in Central Indian Highlands*

ESIP would follow a forest quality improvement approach, along with interventions aimed at building institutional capacities, reforestation and management of invasive species, enhancing NTFP trade and associated incomes and arresting land degradation, particularly on common property resources, including revenue wastelands. The intended outcomes of the project are:

- (i) Inclusive growth by reaching the yet unserved communities living around remote forest areas;
- (ii) Improved ecosystem services and reversal of land degradation in select locations at the landscape level, resulting in an overall net increase in carbon sequestration, higher volumes of NTFP and increased availability of fodder for cattle and other livestock;
- (iii) Augmentation of the shared natural resources on which extreme poor communities depend and therefore, contribute to enhancing and sustaining their incomes;
- (iv) Enhance connectivity between Protected Areas (PA) by geographically targeting investments in biological corridor areas that are remote, fragmented and often poorly connected;
- (v) Increased availability of tree and plant biomass, Non-Timber Forest Products (NTFPs), firewood and small timber for *bonafide* use is expected, which are available to communities under Nistar rights and Joint Forest Management (JFM) arrangements in the states of Madhya Pradesh and Chhattisgarh;
- (vi) Increased wage labour opportunities for the local population, particularly during the lean agriculture season, when the bulk of pre-plantation activities are carried out

## 1.3 Project Components and Interventions

The project will comprise of four main components, a summary of which is specified below. A detailed description of the components can be seen in Annexure 1 and project activities Annexure 2

### **Component 1: Strengthening capacity and skills of government institutions for Effective Delivery of Forestry and Land Management Programs (Indicative US\$ 4 million)**

The objective of this component is to enhance the capacity and skills of the state forest and natural resources management agencies for improved management of forest and land resources and ensuring the delivery of sustainable benefits to local communities that depend on these resources. This component provides technical assistance to: (i) build institutional capacity and capability for planning and efficient delivery of forest ecosystem quality improvement and land management programs; and (ii) develop, test and pilot nation-wide systems for measuring and monitoring forest carbon stocks. A number of training activities would be supported under this component to build human resource capacities for improved forest management. These would include: (i) spatial planning using new tools and technologies for designing sub-projects for mainstreaming biodiversity in production forests; (ii) training for measuring and monitoring carbon stocks in forests and related lands as well as monitoring habitat quality; (iii) training for strengthening local self-governance institutions, including Joint Forest Management Committees (JFMCs), to establish Community Reserves for co-management, monitoring and sustainable and equitable access to NTFP resources; (iv) development of systems for species-based and ecosystem-based mapping of key invasive species; and (v) generation of baselines for realistic assessment of the dependencies/ livelihoods on NTFPs, for developing local management plans

for value addition, sustainable use and equitable sharing of NTFP. To implement this component, the project will finance technical training assistance, training workshops and study tours, and equipment.

## **Component 2: Improving Forest Quality and Productivity (Indicative Us\$ 14.5million)**

The objective of this component is to improve the quality and productivity of the existing forests so as to ensure sustained flows of ecosystem services and carbon sequestration, and sustainable harvesting and value addition of non-timber forest products (NTFP) to provide economic benefits to forest dependent communities that promote conservation and improve ecological connectivity between critical biodiversity areas. This component will complement the ongoing efforts of GIM through demonstrative investments on: (i) improving forest quality using native species mix; (ii) managing invasive species; and (iii) developing models for sustainable utilization of NTFPs in collaboration with local forest communities. This component would facilitate the mainstreaming of biodiversity objectives in degraded forestlands and non-forestlands in the government's program to establish sustainable forest and land management in project areas. The project will finance on-the-ground investments in nurseries and planting materials, community labor for forest land preparation for planting and invasive species removal, technical support and equipment and training for sustainable NTFP utilization. There are three sub components:

***Sub component 2.1: Enhancing and restoring carbon stocks in forestlands:*** This component will support investments for improving, upgrading and modernizing of selected forest nurseries for raising high-quality native species and planting material. It will introduce and support new and innovative processes for undertaking soil preparation, forest enrichment planting and protection works in different degraded forest types in production forests landscapes as well as on non-forest lands. This sub component will also undertake demonstrative pilots for rehabilitation of degraded forest patches and simultaneously integrate sustainable resource use practices.

***Sub-component 2.2: Improving forest quality through effective management of invasive alien species:*** This sub component will support development and implementation of an integrated invasive species management framework for select ecosystems that builds on regulatory, preventive and restorative aspects of managing invasive species. Multi stakeholder consultations for developing a national research agenda and strategies for specific invasive species will be supported under this sub component. It will also develop and implement innovative approaches and field based activities for invasive species removal, replanting with native species, and biological control. This sub-component will result in improved guidelines and an enhanced national knowledge base to support the science-policy interface in India on preventing the introduction of invasive alien species, which would be able to underpin potential future regulatory actions towards preventing their further spread.

***Sub-component 2.3: Developing community-based models for sustainable utilization of NTFP:*** This sub-component will support formalized allocation of usufruct rights, value addition and marketing to traditional NTFP resources, and creation and management of Community Reserves. The result will be GIS based management plans for Community Reserves incorporating participatory monitoring of

biodiversity. This sub component will work with various resource user groups, women Self Help Groups, and other local stakeholders to understand the challenges of NTFP supply chains, identify potential interventions to improve NTFP marketing, and develop strategies for enhancing incomes from sustainable NTFP utilization.

**Component 3: Scaling up of Integrated Sustainable Land and Ecosystem Management (SLEM) Approaches for Reducing Land Degradation and Desertification (Indicative US\$ 3.74 million)**

The main objectives of this component are to prevent land degradation and desertification and increase above-ground forest carbon stock through a combination of investments to implement and scale-up tried-and-tested SLEM best practices, increase national capacity for monitoring land degradation and track associated indicators and generate knowledge exchange on SLEM approaches so as to benefit small and marginal farmers and other rural poor. These activities are designed to overcome the twin challenges of arresting land degradation and meeting food security targets. In particular, this component will draw heavily from the lessons and best practice approaches to sustainable land and ecosystem management that were developed and piloted under the ongoing GEF financed SLEM project. In addition, the team has also consulted with GIZ, India and will draw on their experiences of best practices during implementation (more details in Annex.1: Detailed Project Description) This component would finance on-the-ground sustainable land management investments in private land holdings and common property resource lands and enhance knowledge and capacity for further scaling up of these approaches at the national level. The following sub-components are envisaged:

***Sub-Component 3.1: Scaling-up of SLEM best practices:*** This component would support application and scaling up of the existing and tested SLEM best practices such as participatory watershed management, approaches to improve soil fertility and land productivity, restoration of overgrazed pastures and other common lands and improvement of habitat quality in micro-watersheds. The specific best practices to be applied would be screened for suitability to the respective agro-climatic zones, using GIS.

***Sub-Component 3.2: Building national capacity for land degradation and desertification monitoring:*** This sub-component would help increase national capacity for monitoring the status of land degradation and desertification and SLEM outcomes, as well as the results of UNCCD action programs at the country level. It would also facilitate reporting on key indicators under the UNCCD. Current capacity to prepare National Reports (NR) to report back to the Conference of Parties (COP) on the National Action Plans (NAPs) is limited. This sub-component would help develop and implement a web based national MIS that would allow capturing trends and status of key impact and process indicators on land degradation and desertification. The data input would be collected at the sub-national and local level and would be consolidated at the national level through the project. This would improve the timeliness and quality of the NR to UNCCD.

***Sub-component 3.3: Development and Implementation of a National Knowledge Network:*** This sub-component would help develop an interactive web-based platform with direct access and use at the farm level with help from extension services. It would promote and mainstream NRM best practices through a network of excellence, including and using the extension services networks of both agriculture and forest sectors. The platform would provide links and virtual access to repositories of best practices and analytical reports. It would also develop a community of practice by connecting stakeholders with

common interests in adopting and expanding SLEM approaches. The platform would also organize and implement learning events at the interface of the community, farm and common lands.

#### **Component 4: Project Management (Indicative US\$ 2.4 million)**

A modest Project Management Unit (PMU) would be established to coordinate and monitor project implementation and progress towards the envisaged development objective. The PMU would be housed within the Division/Cell responsible for implementing the GIM within the Ministry of Environment, Forest and Climate Change (MoEFCC), so as to ensure that there is complete complementarity between the project and GIM and co-financing benefits are supportive rather than competitive. Other than the core Government staff in the PMU, this component will support hiring of specialized staff for project management, technical advice and communications.

#### **1.4 Project Location**

The project will be implemented in three States within India and across a number of Districts and Blocks within these States. These are Goa, Madhya Pradesh, and Chhattisgarh. Final selection of area is based on the projected vulnerability of forest grids to climate change impacts. In addition, the selection criteria included filters on presence of globally significant and threatened species, socio-economic, inclusiveness, forest type and their degradation status and anthropogenic pressures. The field level investments on improving forest quality (and others) will be only in Madhya Pradesh and Chhattisgarh. In Goa, only the carbon sequestration measurement and monitoring sub-component will be implemented.

Most of the selected landscapes include a range of forest types and sub-types characteristic to the central Indian highlands – semi-evergreen to dry deciduous types. Often interspersed are grasslands and bamboo brakes with some thorny elements. Key tree species include *Tectona grandis*, *Sterculia alata*, *Madhuca indica*, *Dyrosyros melanoxylon*, *Terminalia tomentosa*, *Accasia* species etc. These landscapes will include mix landuse with private farmlands, interspersed with forested landscapes. The project will not work inside the Protected Areas but could include parts of Reserve Forests for ensuring contiguity of forest quality improvement. Many of these landscapes are located in key biological corridors in biologically rich landscapes of the central Indian highlands.

#### **1.5 Implementation Agencies**

The Ministry of Environment, Forests and Climate Change (MoEFCC) is the primary recipient of the grants and is presently implementing three Bank financed projects (approximating USD 300 million) on improving environmental quality and biodiversity conservation.

Within MoEFCC, a Green India Mission Directorate is established that will have officers from the Indian Forest Service and which will work closely with the National Afforestation and Eco-development Board (NAEB) having wide experience in afforestation activities. It has been implementing a number of forestry and afforestation programs over the years targeting both environmental and social gains and outputs.

The project will be implemented by a PMU within the Ministry of Environment, Forests and Climate Change (MoEFCC) at the Centre, and Implementing Agencies at the state level such as State Forest Departments, Forest Development Agency, Indian Council of Forestry Research and Education and technical resource agencies such as CABI, all of which are experienced in forest management and biodiversity conservation practices.

## **SECTION B: Environment and Social Assessment**

As part of the due diligence and ensuring that no unintended adverse impacts cause harm to the natural environment and the social fabric of the project areas, an Environmental and Social Assessment (ESA) was undertaken. The ESA was undertaken with the following objectives:

- (a) To identify and assess the potential environmental and social impacts and risks of the interventions proposed under the project and recommend mitigation measures.
- (b) To develop a simple and practical ESMF that would be used by the ESIP to mitigate the potential negative impacts arising out of project investments.

Amongst other things, the critical areas covered by the ESA include:

- a) Environmental and social baselines of the project areas
- b) Review of policy, legal and regulatory framework relevant to project activities
- c) Stakeholder analysis and consultations
- d) Environmental and social impacts and risk assessment

The assessment is based on desk review of secondary data/information, field visits, stakeholder consultations and expert interviews. The key finding of the ESA is that the project is expected to have an overall positive environmental impact by conserving globally and nationally significant biodiversity, protecting ecosystems and enhancing the sustainability of natural resource use in the project areas. No significant adverse or irreversible impacts are foreseen under the project. Any unintended adverse impacts would be localized and manageable through simple mitigation measures. The ESA includes an Environment and Social Management Framework (ESMF) to guide the implementation by integrating key mitigation action into the project design, particularly those that promote equity, inclusiveness, participation and transparency.

## **2. Environment and Social Baseline**

### **2.1 Project Implementation Area**

The project will be implemented in three states of India representing central Indian highlands (Madhya Pradesh and Chhattisgarh) and the biodiversity hotspot of Western Ghats (Goa). Within the states, a number of GIM landscapes in different districts and Blocks would be selected for project implementation. These areas are selected based on the projected vulnerability of forest grids to climate change impacts, presence of globally significant and threatened species, socio-economic, inclusiveness, forest type and their degradation status and anthropogenic pressures.

### **2.2 Overview of Environmental and Social Baseline**

The baseline is generated by extensively gathering secondary information from review of published reports, papers and other documents includes relevant environment policies, legal and regulatory provisions of the World Bank, Government of India, and State government of Madhya Pradesh, Chhattisgarh and Goa. While this section gives an overview, the detailed environment baseline information is provided in Annexure 3

**Environmental Baseline Data.** Details of Social baseline data can be found in

## Annexure 4

### Social Baseline Data.

## 2.2.1 Social and Demographic Baseline

Both Madhya Pradesh and Chhattisgarh have similar social and demographic characteristics, having a large population that belongs to the Scheduled Caste and Scheduled Tribes categories. The state of Madhya Pradesh has an area of 308,245 sq. km. and a population of 72.59 million of which 72.37% reside in rural areas. There are 48 districts, 313 blocks and 55393 villages. The state's per-capita gross state domestic product (nominal GDP) is the fourth lowest in the country (2010–11). The population growth rate continues to be higher, at 20.36%, as against 17.64% for India. With over 21% population being Schedule Tribe (ST), the state accounts for 14.7% of the country's ST population.

Chhattisgarh is the neighboring state to MP, located in central highlands with a population of 25 million and has the highest percentage of Scheduled Tribe (ST) population within a state (30.6%) and accounts for about 7.5% of the total STs in India. The majority of the population of the state lives in rural areas which is about 76%.

Goa shares the same geographical features as the central highlands in the form of the Western Ghats features with respect to biodiversity and environment. In comparison to MP and Chhattisgarh, it is the smallest state in India by area and the fourth smallest in terms of population, of which 62.7% of the population living in urban areas. Goa also is the state with lowest proportion of Scheduled Tribes at 10.2% among the three project states.

## 2.2.2 Baseline Socio-Economic Profile and Human Development Indices

**Madhya Pradesh** is one of the least developed states in India, having a HDI (Human Development Index) value of 0.375 (2011), well below the national average.<sup>1</sup> It has the fourth highest percentage of poor households among 15 non-special category states in the year 2004-05, next only to Orissa, Bihar and Chhattisgarh.<sup>2</sup> The incidence of poverty in rural areas was more than that of urban areas. In 2004-05, the percentage of population living below poverty line in rural areas was 53.6 as against 35.1 for urban areas. The overall poverty in the state increased from 44.6 % in 1993-94 to 48.6 % in 2004-05. In all, 4.4 million rural and 1.4 million urban households were living below poverty line in the state (Go MP, 2011) 45.5 percent of all households in the state are categorised as 'poor'.<sup>3</sup> The incidence of poverty is highest among the STs in rural areas (80%), followed by SCs in rural areas (63%). On the Global Hunger Index (2008), India obtained a score of 23.7, gaining the dubious distinction of being the only emerging economy falling within the lowest ranking 20 countries (lower even than Nepal, Pakistan, Rwanda and Cambodia).

**Chhattisgarh** As of 2011 Chhattisgarh had an HDI value of 0.358, the lowest of any Indian state. It has one of the lowest standards of living in India as per the Income Index (0.127) along with the states of Assam, Bihar, Jharkhand, Madhya Pradesh. These states have incomes below the national average. Despite low absolute incomes, Chhattisgarh is a fast growing state, and has witnessed high Net State Domestic Product (NSDP) growth rates. The average GDP growth between 2004-05 and 2011-12 was about 15.0 percent. In Chhattisgarh, the estimated poverty ratio in 2004-5 based on uniform reference period consumption is around 50%.

---

<sup>1</sup> The national average is 0.467 according to 2011 Indian NHDR report.

<sup>2</sup> Report of the Expert Group to Review the Methodology for Estimation of Poverty, November 2009" using 61st round of NSSO data (2004-05),

<sup>3</sup> IHDS survey (based on 2004-05 primary data on incomes)

### **2.2.3 Baseline status of Women and other Vulnerable Communities**

The ST population of Madhya Pradesh and Chhattisgarh is 21.1% and 30.6% respectively (Census 2011). There are 6 and 7 districts with greater than 50% ST population in MP and CGH; and 13 and 6 districts with between 25-50% ST population respectively. The total population of PTGs (Particularly Vulnerable Tribal Groups) in the two states (as of 2001) was 785,720. Caste-based discriminations is so widespread in both states

The aggregate score for GEM<sup>4</sup> for India was 0.497 in 2006 and 0.416 in 1996. In comparison, MP's GEM in the year 2006 was 0.463; Chhattisgarh was 0.464, and Goa 0.551. The inherent gender inequalities are located in the household and harder to capture in statistics. Intra-household inequalities that exacerbate the impact of poverty on women result from a patriarchal system where there is unequal distribution of resources/ lack of inheritance rights; control of decision-making; unfair and unequal distribution of work, drudgery, and food, including between male and female children. Women are therefore found in higher concentrations at the low-paying end of the market – their unequal situation in the labour market is linked to their increasing poverty.

### **2.2.4 Baseline status of Village Community Institutions for Forest Protection and Management**

Joint Forest Management Committees (JFMCs) and Forest Protection Committees (FPCs) have been constituted in both states following the GoI's JFM Resolution of 1990, and subsequent passage of supporting executive orders by the respective state governments. <sup>5</sup>Eco-Development Committees (EDCs) are created in the fringe/ buffer zones of Protected Areas (sanctuaries and national parks), and their primary purpose is to link livelihood gains for local populace with improved protection and conservation measures.

The federation of all JFMCs within a Division is the Forest Development Agency, which has the concerned Divisional Forest Officer as the Member-Secretary cum Chief Executive Officer and the Conservator of Forests as the Chairperson. The rationale behind formation of FDAs (during the Tenth Five Year Plan) was to facilitate multi-sectoral convergence and development of forest- and forest-fringe villages through creation of a mechanism that enabled flow of funds directly to the JFMCs for forestry activities, and facilitated engagement with other developmental departments on a regular basis.

### **2.2.5 Baseline Biodiversity Status**

**Madhya Pradesh** As per the Forest Survey of India 2011 there are three forest types, namely, the Tropical Moist Deciduous (8.97%), Tropical Dry Deciduous (88.65%), Tropical Thorn (0.26%). The estimated tree cover in the state is 7,090 km<sup>2</sup> which is 2.30% of the geographic area of the state. The central, southern and eastern parts of the State have a better forest cover than the northern and western parts, which are deficient in forest vegetation. Today the flora of Madhya Pradesh is represented by more than 2724 species but it is expected that this number can increase if the entire state is evaluated for the

---

<sup>4</sup> Gender Empowerment Measure (GEM), which is intended to measure women's and men's ability to participate actively in economic and political life and their command over economic resources, focuses on opportunities and captures gender inequality in three key areas: 'Political Participation and Decision-making Power', 'Economic Participation and Decision-making Power' and 'Power over Economic Resources'.

<sup>5</sup> The constitution of JFMCs and FPCs is guided by the state government's JFM resolutions (for example, in M.P., by gazette notification F-16-4-91-Ten-2, dated October 22, 2001, and amended June 25, 2011). Most works carried out through JFMCs have received funding support under the National Afforestation Programme (NAP) of the National Afforestation and Eco-development Board (NAEB).

floral diversity. The State boasts of a wide range of terrestrial fauna including the large carnivores like the Tiger (*Panthera tigris*). A small population of Barasingha (*Cervus duvaucelii branderi*), which is also the State Animal of Madhya Pradesh, resides in the Kanha National Park. A total of 469 species of birds has been listed in Madhya Pradesh by Grimmett and Inskipp (2003). It includes three Critically Endangered birds (Oriental White-backed and Long-billed vultures, Siberian Crane), three Endangered species (Great Indian Bustard, Lesser Florican and Greater Adjutant) and 15 Vulnerable species. A total of 17 sites have been selected as IBAs in Madhya Pradesh of which one is a Biosphere Reserve which includes a national park, two wildlife sanctuaries and a wetland.

**Chhattisgarh:** There are four major forest types, namely Tropical Moist Deciduous, Tropical Dry Deciduous, Tropical Thorn and Subtropical Broadleaf Hill Forests. Forests are largely distributed in the north and in the southern parts of the State. Teak and Sal are the two most important forest formations of the State (Ministry of Environment and Forests 1999, 2001). Most of the large mammals of Central India are found in Chhattisgarh, with similar mammalian diversity as Madhya Pradesh. The State lies in Biome-11 (Indo-Malayan Tropical Dry Zone).

**Goa:** The topography of Goa is hilly; the state is wedged between the Arabian Sea on the west and the Western Ghats (Sahayadri range) on the east. The State can be divided into three main physical divisions (1) The coastal belt which is 133 km long with sandy bays, beaches and rocky headlands broken by the wide estuaries of the Mandovi and Zuari rivers. (2) The midland region which is mainly plateau (30-200 m high) adjoins the sea in many places. (3) The Western Ghats, known as the Sahayadris, running on the eastern border with Karnataka and extending to about 125 km, form an arc. The forests of Goa are represented mainly by Tropical Wet Evergreen (24.9%) and Tropical Moist Deciduous forest (25.4%) and Tropical Semi Evergreen (19.3%).

### **2.2.6 Natural Resources, Income and Occupation Baselines**

Madhya Pradesh and Chhattisgarh are both predominantly rural states, and most of the population in the two states continues to depend on agriculture and natural resource use for its sustenance. The states rank 2<sup>nd</sup> and 7<sup>th</sup> in terms of area covered in the country.

In Madhya Pradesh, there are large areas of cultivable waste and fallow lands, and agricultural holdings are fragmented. According to the Agriculture Census (2000-01), there were 73.60 lakh operational holdings in the state of which 38.6% and 26.5% are marginal and small holdings respectively, and account for 8.5% and 17.3% of area. While the contribution of agriculture and allied activities in the state domestic product has been declining, and stands at less than twenty five percent, more than two-thirds of its population still survives on it. Agriculture in the state is still traditional and mostly rain fed (74%). There is high proportion of “low value” crops with low productivity. The greatest dependence on forests is for fire wood for cooking. As per the latest estimates (Census2011), 80% of all households in Madhya Pradesh and 91% in Chhattisgarh depend on firewood, crop residue, dung cakes, charcoal, etc. as their primary source of fuel for cooking. Data for Chhattisgarh reveals that 92% of all rural households use firewood as their primary source of fuel for cooking. The percentages are higher for Scheduled Tribes (97%) and other traditional forest dwellers.

More than half of the area of Madhya Pradesh is classified as degraded on account of soil erosion. A total of 40,113 sq km (13% of the state’s geographical area) is classified as ‘wasteland’ (DoLR, GoI, 2011, based on 2008-09 data), which includes 3084.6 sq km of land classified as ‘under-utilized/ degraded forest (agriculture)’. The cropping intensity has gone up from 118 per cent in 1970-71 to 138 percent in 2008-09. Similar to the case in MP, agriculture in Chhattisgarh is characterized by small landholders and the landless. Of 3.6 million rural households in the state 18% are landless, 24% own land ranging between 0.002 and 0.5ha, and 19% own between 0.5 and 1.0 ha. They share 12 % of the arable land and

average size of their land holding is only 0.4 ha. Although agriculture remains the main occupation for a majority of rural population in the State, agricultural conditions are not conducive to support an adequate livelihood especially for smallholders. The net sown area comprises 35% of the geographical area, the proportion being higher in the central plain zone (48%) compared to northern and southern zones.

Statistics published by the Ministry of Agriculture indicate that the highest proportion of small ruminants is owned by marginal and small farmers. Madhya Pradesh has considerable livestock wealth, with the total number standing above 40 million, including cattle, buffaloes and small ruminants. The livestock in Chhattisgarh is an integral part of the mixed crop livestock system where crop production meets most of the feed and fodder requirements of livestock and they provide drought power and dung manure for crop production. The Chhattisgarh state is also rich in livestock wealth about 1.27 crore animal out of which cattle population is the highest with 64% followed by goats (16%), buffaloes (14%) and sheep and pigs

### 3. Policy, Legal and Regulatory Frameworks

A robust policy, legal and regulatory environment for the sector exist in the country and some of these instruments will have a bearing on project implementation. The key policy, legal and regulatory provisions, applicable to the project have been summarised in the section 3.1-3.3 below. For a detailed overview of all applicable policies and regulations refer to in [Annexure 5](#)

#### Applicable Laws, Regulations and Bank Policies

### 3.1 Government of India Laws and Regulations

The implementation of the proposed activities under the ESIP must be consistent with all applicable laws, regulations, and notifications of the Government of India It is the responsibility of the Implementing Agency to ensure that project activities are consistent with the national and state or municipal/local regulatory/legal framework.. Considerable powers over natural resource management have been vested in the Panchayats and Gram Sabhas under the Panchayats Extension to Scheduled Areas Act (1996), and more recently under the Forest Rights Act (2006); however, there is little awareness about the policies and provisions of the law among elected representatives, Panchayat functionaries, and state officials. Conformity with the legislation at the state level gives powers to the Gram Sabha to control local plans and resources for development related activities, the planning process for watershed development, joint forest management, poverty alleviation and other externally sponsored plans. The project will also aid the implementation of the Wildlife (Protection) Act (1972) by investing in establishing Community Reserves, which are included as new categories of protected area with greater role and responsibility of the local communities. The important and relevant policies and laws to the environmental and social management in relation to the Ecosystem Services Improvement Project are listed below in Table 1.

**Table 1 Laws and Regulations of Central and State Governments in Project Areas**

S. No.	Relevant Act	Scope of the Act	Implication for the ESMF
<b>National Laws</b>			
1	The Indian Forest Act, 1927	<ul style="list-style-type: none"> <li>▪ Provides three categories of managed forest-reserved, village and protected forests</li> <li>▪ Laws relating to forests (Reserved, Protected, Village forests and other), their management, forest produce, and transit of forest produce</li> </ul>	Planning and implementation of project interventions within the ambit of this Law
2	Biological	<ul style="list-style-type: none"> <li>▪ Having objectives of (i) conservation,</li> </ul>	<ul style="list-style-type: none"> <li>▪ Relevant to project</li> </ul>

S. No.	Relevant Act	Scope of the Act	Implication for the ESMF
	Diversity Act 2002 Biological Diversity Rules 2004	<p>(ii) sustainable use of biodiversity and (iii) equitable sharing of benefits derived out of its use</p> <ul style="list-style-type: none"> <li>▪ Regulates access to biodiversity and traditional knowledge and provision for benefit sharing.</li> <li>▪ It provides for establishment of a National Biodiversity Authority at national level, State Biodiversity Boards at state level and Biodiversity Management Committees at the level of Panchayats and Municipalities</li> </ul>	<p>activities as activities are taken up in ecologically sensitive areas.</p> <ul style="list-style-type: none"> <li>▪ Provides Ecological integration</li> <li>▪ Increased ecological symbiosis (e.g. pollination) increases production</li> </ul>
3	The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006	<ul style="list-style-type: none"> <li>▪ Recognition of the rights of STs and other forest dwelling (non-ST) communities in respect of occupation of forestland for cultivation and/or habitation (secure individual or community tenure or both)</li> <li>▪ Right of ownership, access to collect, use, and dispose of minor forest produce</li> <li>▪ Right to protect, regenerate, conserve or manage any community forest resource which they have been traditionally protecting and conserving for sustainable use;</li> </ul>	<p>Applicable</p> <p>Claims and settlement process under the Act is ongoing, and the Project will have to ensure that its activities do not go against the spirit or implementation of the Act</p>
4	Panchayats (Extension to Scheduled Areas) Act, 1996 (PESA)	<ul style="list-style-type: none"> <li>▪ The provisions of Panchayats, as per the Constitution of India, are extended to Scheduled Areas; endorsing the rights of <i>Adivasis</i> (tribals) to self-governance</li> <li>▪ Contain special provisions for the benefit of Scheduled Tribes, including empowerment of Gram Sabhas &amp; adequate representation in Panchayat bodies; grants a range of powers to the Gram Sabha for decision-making at the habitation level</li> <li>▪ <i>Panchayat (Grama Sabha)</i> is entitled to ownership right and work on exploiting non-timber forest products</li> </ul>	<p>Applicable</p> <p>A number of project landscapes would be in Schedule V areas; recognition of the rights of PRIs and Gram Sabhas, vested under the Act, would need to be ensured.</p>
<b>State Laws</b>			
13	The M.P. Lok Vaniki Act, 2001 And Rules, 2002	<ul style="list-style-type: none"> <li>▪ For the scientific management of privately owned 'forests' and other 'tree clad areas' (under jurisdiction of GP or Gram Sabha) in the state</li> <li>▪ Provides for enrolment of Chartered Foresters to make available technical assistance to the people willing to take up forestry on their private holdings</li> <li>▪ Provides for rights for preparation of Management Plans for such areas</li> </ul>	<p>Applicable to sub-projects on privately owned lands</p>
14	Protection of Plant Varieties and Farmers' Rights Act, 2001	<p>In order to provide an effective system for protection of plant varieties, the rights of farmers and plant breeders and to encourage the development of new varieties of plants it</p>	<p>The component with respect to SLEM also deals with up-scaling the cultivation and conservation of genetically</p>

S. No.	Relevant Act	Scope of the Act	Implication for the ESMF
		has been considered necessary to recognize and protect the rights of the farmers in respect of their contribution made at any time in conserving, improving and making available plant genetic resources for the development of the new plant varieties. Such protection is likely to facilitate the growth of the seed industry which will ensure the availability of high quality seeds and planting material to the farmers	important land races of major crops

### 3.2 Government Policies and Programmes

This section serves as guidance to the application of the legal and regulatory provisions to the project planning and implementation. It should also be pointed out that the project is aligned with the National Forest Policy (1988) as it would contribute to its objective of bringing 33% of India’s landmass under forest and tree cover. The project also supports the key elements of the National Biodiversity Action Plan (2008) as it result in augmented natural resource base and its sustainable utilization as well as building national capacities for biodiversity conservation and addressing invasive alien species. The proposed sub-projects to be undertaken do not fall under any of the project categories listed in Schedule-I of the Environmental Impact Assessment Notification, therefore does not require any formal environmental clearance of the Ministry of Environment and Forests, GOI. The key environmental and social policies of the Government of India are summarized below in Table 2.

**Table 2 Environmental and Social Policies of Central and State Governments**

S. No.	Relevant Policy	Scope of the Policy	Implications for the ESMF
1	National Forest Policy, 1988	<ul style="list-style-type: none"> <li>▪ Emphasises meeting the requirements of rural and tribal populations of fuel wood, fodder, minor forest produce and small timber, efficient utilisation of forest produce and maximizing substitution of wood</li> <li>▪ Restraining non-forest based industry, except village or cottage level, from exploiting in order to assure the availability of forest in the future.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Relevant to planning and implementation of project activities</li> </ul>
2	Joint Forest Management Policy, 1993	<ul style="list-style-type: none"> <li>▪ Encourages people’s participation in forest management, cost and benefit-sharing mechanism of interventions carried out on common property resources, degraded forest lands, wastelands, etc.</li> <li>▪ Benefits are categorized into two – ecological benefits and economic benefits</li> </ul>	<ul style="list-style-type: none"> <li>▪ Relevant to project activities.</li> <li>▪ Relevant if employment generation for resettlement and rehabilitation are taken up in villages near forests.</li> </ul>
3	National Environment Policy, 2006	<ul style="list-style-type: none"> <li>▪ To protect and conserve critical ecological system and resources and to ensure equitable access to these resources for communities which are dependent on these resources for their livelihood.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The project promotes conservation and sustainable use of land, forests and biomass</li> <li>▪ The project addresses the issue of awareness generation and mitigation measures</li> </ul>

S. No.	Relevant Policy	Scope of the Policy	Implications for the ESMF
4	Madhya Pradesh Nistar Policy, 1994	Rights of local communities to collection of firewood, bamboo, <i>nistari</i> construction timber, thorns, and grazing of cattle in forest areas under management of state forest department	

### 3.3 World Bank Safeguard Operational Policies

The relevant and applicable safeguards policies of the World Bank have been reviewed; their applicability for the project has been assessed. The sub project activities will be designed in order to ensure consistency with OP/BP 4.01 Environmental Assessment, OP4.04 Natural Habitats, OP/BP 4.36 Forests and OP/BP4.10 Indigenous People. Detailed overview of the Operation policies triggered and their explanation can be found in the Table 3 below.

**Table 3 Applicable Safeguards Policies of World Bank**

Policy	Key Features	Applicability to this project
OP/BP 4.01 Environmental Assessment	<ul style="list-style-type: none"> <li>▪ Potential environmental consequences of projects identified early in project cycle.</li> <li>▪ Assessment and mitigation plans required for projects with significant environmental impacts</li> </ul>	Some specific activities may have adverse environmental impacts if not implemented with due caution. Activities requiring mitigation action may include piloting biological control methods of managing invasive species, developing sustainable NTFP harvesting models, etc.
OP/BP 4.04 Natural Habitats	<ul style="list-style-type: none"> <li>▪ Prohibits financing of projects involving "significant conversion of natural habitats unless there are no feasible alternatives".</li> <li>▪ Establishes limits on Bank financed projects that may impact areas with high degrees of plant and animal species and that have not been essentially modified by human activity.</li> </ul>	The project would work in locations with significant natural habitats and some activities would be carried out within the natural habitats. However, these activities are likely to yield positive outcomes, as their objective is to improve ecosystem services and conserve biodiversity. Activities would not be carried out within the designated protected areas.
OP/BP 4.36 Forestry	<ul style="list-style-type: none"> <li>▪ Prohibits financing for commercial logging operations or acquisition of equipment for use in primary moist tropical forests.</li> <li>▪ Project supporting community based forest management and development to account for: the extent to which local livelihood of local communities depend; institutional, policy and conflict management issues involved in improving the participation of indigenous peoples and forest product and services issues relevant to indigenous peoples.</li> <li>▪ In case of projects involves forest restoration or plantation development then the project design should incorporate following things such as: potential of forest restoration to improve biodiversity, ecosystem functions,</li> </ul>	Bulk of the project investments are aiming to enhance forest quality and introduce sustainable forest management practices to improve ecosystem services. The forests would include common forestlands, village forests, reserved forests, and forest areas under Territorial Forest Divisions. However, no investments on commercial logging and inside protected areas are proposed.

Policy	Key Features	Applicability to this project
	potential to plantation in non-forest lands, avoid conversion or degradation of natural habitats.	
OP/BP 4.10 Indigenous Peoples	Purpose is to ensure indigenous peoples benefit from Bank financed development and to avoid or mitigate adverse effects on indigenous peoples. Applies to projects that might adversely affect indigenous peoples or when they are targeted beneficiaries. Requires participation of indigenous peoples in creation of “indigenous peoples development plans”.	The project would be implemented in many tribal areas and would require a specific social assessment to identify and analyse issues related to tribal communities in relation to the project activities. This would help prepare a tribal development strategy which would be applied during project implementation.

The project does not envisage imposing any new restrictions, temporary or permanent, in accessing natural resources. There is no land acquisition as well. Further, the project implementation area is outside of any Protected Areas (National Parks and Sanctuaries) and therefore will not finance activities within Protected Areas. Hence OP 4.10 is not triggered.

#### 4. Stakeholder Analysis, Consultations and Disclosure

##### 4.1 Key Stakeholders and Beneficiaries

The beneficiaries of the proposed project in the states of Madhya Pradesh and Chhattisgarh are highlighted below and detailed in Table 4:

**Community level:** the beneficiaries would primarily include forest dwellers, small landholders and marginal farmers, including landless livestock holders, livelihood groups - wage labourers, graziers and Non Timber Forest Products (NTFP) collectors, and three main social groups - women, Scheduled Tribes (ST), and Scheduled Castes (SC).

**State level:** The State Forest Departments will be the project beneficiaries, as they stand to benefit from strengthened institutional capacities, use of new technologies and enhanced carbon measurement and monitoring systems.

*Table 4 Key project stakeholders and their roles and responsibilities*

Stakeholders	Proposed Roles and Responsibilities
<b>MoEFCC</b>	MoEFCC will be the nodal ministry, as GIM is also housed under it. It is also the nodal ministry for UNCCD. The funds will flow through the budget system of MoEFCC and it will be responsible for overall implementation of the project.
<b>State Forest Departments and extension agencies (FDA/VVK/KVK)</b>	At the State level, these will be responsible for implementing and monitoring the investments on improving forest quality, managing invasive species, applying SLEM best practices and interfacing with the communities for co-management and sustainable NTFP use. These would also help monitoring project outcomes.
<b>Other partnering/ implementing agencies</b>	Indian Council of Forestry Research and Education (ICFRE), The National Biodiversity Authority (NBA), Forest Survey of India (FSI), Center for Agricultural Bioscience International (CABI), The National Afforestation and Ecodevelopment Board (NAEB) etc. may be selected as implementing/resource/partner agencies for specific technical parts of the project.
<b>NGOs</b>	Grassroots NGOs may be involved for community mobilization, SHG skill building, training of local communities etc. These would be mostly contracted agencies and will be instrumental in providing implementation support.

---

<b>Panchayati Raj Institutions</b>	These would play a crucial role in establishing ‘community reserves’, equitable benefit sharing and for introducing any new approaches in accessing NTFPs
<b>JFMC, BMC, EDC, SHG etc.</b>	Formally recognized local community bodies would also play a critical role in the project, especially in improving the livelihoods and developing sustainable NTFP extraction approaches; these would also be useful in developing value-added products from NTFPs.

---

## 4.2 Stakeholder Consultations

Large scale stakeholder consultations, with adequate prior notice, were organised at four representative/project landscapes in Chhattisgarh (Kawardha and Gariaband Divisions) and Madhya Pradesh (Hoshangabad and Umaria Divisions) for seeking stakeholder inputs, specially from beneficiaries, on the proposed project design, components and interventions, as well as assessment anticipated social and environmental impacts.

Participants at these consultations included forest users, NTFP collectors, JFMC representatives, members/leaders of Tendu Patta Cooperative Societies, NGO representatives, and forest department staff and officials in the two states. The consultations and interactions were also attended by forest- dependent vulnerable and marginalized communities, specially tribal populations, during the preparation of the ESMF with Implementing Agencies at the state level.

In addition, the project design and safeguards issues have drawn from a series of expert interviews, multi-state consultation workshop and discussions with the State Forest Department officers. Participants’ comments and suggestions have been incorporated in the project design/ ESMF. A summary of the proceedings is placed at

Annexure 6

Field consultations under ESIP in Chhattisgarh and Madhya Pradesh

**4.3 Disclosure**

*National and State Level:* PMU and the state forest departments shall disclose the ESMF on their websites. A summary of the ESMF would be translated into the local language and placed on the respective websites.

*District Level:* This ESMF will be kept at the District Library, District Collector’s Office and Block Development Office for interested persons to read and copy. This ESMF will be made available at the project web site as well. A summary of this ESMF will be displayed at the Gram Panchayat Offices of the concerned villages. This summary will be displayed at the Block Development Offices and at the District Collectors offices too.

*Community level.* At the start of the project, State and Division-level workshops would be organized to formally launch the project, with the purpose of information sharing and consultation with stakeholders. A summary of this ESMF will be translated into local languages and displayed at these venues as also in the Gram Panchayat Offices. All landscape communities will be informed about the ESMF through formal meetings conducted during village entry and social mobilisation

The ESMF includes a reporting format, which will provide regular updates on the status of its implementation.

**5. Summary of Environmental and Social Impacts and Risks**

From the project development objective, it can be seen that this project and the associated sub-projects are yielding positive and beneficial impacts on the target population and environment. As it is an attempt to improve forest cover and ecosystems. There is likely to be an improvement in ecosystem services at the landscape level, such as groundwater recharge, diversity of flora and fauna, availability of tree and plant biomass, NTFPs. Furthermore, it is expected that a host of ecological improvements will result in increased soil fertility and agriculture productivity.

However, some interventions are likely to yield both positive and negative impacts if not managed appropriately. The significance of these listed impacts would vary depending on the individual sub-project, its size and location. The size of the sub-projects would be small both physically and financially, ergo, adverse impacts, would be minimum and localized.

The following potential environmental and social impacts identified in Table 5 are based on the environment and social assessment.

**Table 5: Summary of environmental and social impacts and risks**

Positive Impacts		Potential Adverse Impacts and Risks	
i.	Increased soil and water conservation resulting in higher productivity	i.	Risk of elite capture - exclusion of poor, marginal and landless stakeholders from resource use planning and management
ii.	Reduction in land degradation and national level monitoring of degradation	ii.	Impact of biological control agents on populations of non-target species
iii.	Increased carbon sequestration		

Positive Impacts	Potential Adverse Impacts and Risks
iv. Reduction in spread of invasive species v. Conservation of RET species vi. Improvement of CPR; increased availability of fodder and grasses vii. Increased incomes of forest-dependent communities viii. Better exchange of knowledge and best practices benefitting poor stakeholders	iii. Risk of monoculture plantations leading to simplification in structure and composition of plant/animal communities iv. Increased grazing pressure elsewhere by cattle displaced from afforestation activities in CPRs and forest lands v. Conflicts around use of and access to forest resources, common lands, grazing lands and conflicts between forest department and forest dwellers vi. Risks related to the selection of exotic species for biological restoration

**Summary of Social Impacts:** The project triggers World Bank’s Operational Policy (OP) 4.10 on Indigenous People as most of the project landscapes, and targeted beneficiaries, will be in areas that are either tribal dominated, or have a sizeable tribal population, especially in the immediate vicinity of area under treatment.

No adverse impacts are expected on tribal populations as a result of project interventions. There is a risk of exclusion from investments and institutions in areas where the tribals are a minority group. A Tribal Development Plan (TDP) will be applied. In tribal-dominated landscapes, the TDP will be incorporated within the overall project design. In other areas with a scattered tribal population, the implementing agency, will implement the provisions of the TDP

The Project will avoid any and all prospects of conflicts with local communities over individual and community claims under the Scheduled Tribes and Other Traditional Forest Dwellers’ (Recognition of Forest Rights) Act, 2006, by delimiting project investments to areas free from individual and community claims filed by residents under the Act.

The key social issues and implications for ESIP are summarized below:

1. Address the risk of exclusion of local village communities from resource use planning and management
2. Avoid any adverse impacts on livelihoods of tribals and resource-dependent households as a result of project interventions
3. Address issues of unequal access, use, dependence and control of resources, project investments, training , and other project services by women, tribals, SCs, resource-dependent households, wage earners and migrant households
4. Ensure adequate participation of all stakeholders in preparation of forest development and scaling up of SLEM best practices, and representation in project supported/facilitated institutions, and decision-making forums regarding the use and management of local natural resources
5. Ensure equitable distribution of project benefits and investments across all social and livelihood groups, with a positive discrimination towards households and groups whose livelihoods are adversely impacted by the sub-projects implemented, viz., head-loaders, livestock herders, etc.
6. Address issues around human-wild animal conflict arising in project adjoining areas
7. Manage conflicts around use of and access to forest resources, common lands, grazing lands
8. Ensure transparency in criteria and processes of beneficiary selection for project-supported training and exposure visits; and

Scheduled tribes: The central Indian plateau region, including Madhya Pradesh and Chhattisgarh, has a sizable tribal population; the socio-economic situation of these stakeholders is characterised by:

- Low incomes, indebtedness, lack of employment opportunities, and seasonal migration;
- Small agricultural holdings; practice of subsistence agriculture under rainfed conditions;
- High livestock density; dependence on forests and common lands for grazing livestock;
- Low outreach of government extension services and capacity building; and
- Unsettled claims and on-going process of settlement under the Forest Rights Act, 2006

Women: Although comprising nearly 49% of the population, women in a patriarchal society as are found in India and in rural areas in particular, seldom have the privilege of being treated as equal citizens. Broad characteristics that define the socio-economic situation of women in project states are:

- Unequal access to community institutions, information sources, and governance processes;
- Restricted mobility; disproportionate division of labour; and Primary responsibility holders for collection of firewood for cooking, fodder for livestock, and water

## **SECTION C: ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK**

Based on the environment and social assessment exercise, including field visits and beneficiary consultations, An ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF) has been developed, which includes measures to avoid, minimise or mitigate any adverse environmental and social impacts emanating from the project. The ESMF spells out the environmental and social safeguards, institutional arrangements and capacity required to use the framework. This ensures that ESIP meet the national and state environmental regulations and also consistent with OP/BP 4.01 Environmental Assessment, OP4.04 Natural Habitats, OP/BP 4.36 Forests and OP/BP4.10 Indigenous People (of the Bank).

The ESMF establishes clear procedures and methodologies for identifying risks and impacts and implementing mitigation actions. It specifies clear roles and responsibilities and the necessary reporting procedures for managing identified risks. Management of potential environmental and social risks will be tracked during all stages of the project to ensure that supported activities comply with the policies and guidelines laid out in the ESMF. The ESMF includes a negative list of activities that the project will not invest in. The activities financed by ESIP will conform to the ESMF during their implementation.

For the social impacts and risks associated with the project interventions, the ESMF includes strategies for consultation and participation, social inclusion, gender and women's empowerment, and tribal development. A gender empowerment strategy has also been designed ([Annexure 9](#)

[Gender and Women Empowerments Strategy](#)) In addition to the range of mitigation actions given in the matrix below, the ESMF also includes a Tribal Development Plan (

**Annexure 7**

Tribal Development Plan to ensure inclusion and participation of the tribal and other vulnerable people in project processes, institutions, and project-linked benefits in a socially and culturally sensitive way. Apart from tribals, the ESMF also includes specific strategies to promote participation, inclusion and empowerment of the marginalised and forest dependent communities, particularly the scheduled caste, other vulnerable social and economic groups. Table 6 details the ESMF.

**Table 6 Environment and Social Management Framework**

<b>S. No.</b>	<b>Potential Risk/Impact</b>	<b>Mitigation Actions</b>	<b>Implementation Responsibility</b>
<b>ENVIRONMENT</b>			
1.	Chance escape of bio-control agents/species Sub-component 2.3	<ul style="list-style-type: none"> <li>▪ Use only approved and safe bio-control agents and follow release and documentation protocols</li> <li>▪ Monitor invasive species status to regulate release of bio-control agents</li> <li>▪ If using a new bio-control agent, ensure adequate testing and quarantine</li> <li>▪ Follow guidelines for the International Code of Best Practices for Classical Bio-control</li> </ul>	CABI
2.	Bio-control agents/species impacting non-target species Sub-component 2.3	<ul style="list-style-type: none"> <li>▪ Monitor non-target species for potential impacts</li> <li>▪ Avoid using general bio-control agents; use host-specific ones for targeted species</li> <li>▪ Always follow eradication with replanting using native species</li> </ul>	CABI
3.	Use of exotic and non-native species for plantation/restoration of forests and CPR Sub-component 2.1 Sub-component 3.1	<ul style="list-style-type: none"> <li>▪ Only use indigenous and native species with multi-purpose benefits</li> <li>▪ List available exotics and non-natives and issue notification disallowing their use in plantation/restoration</li> </ul>	SFD/ICFRE
4.	Use of agro-chemicals against pests, weeds and invasive species – impact on groundwater, surface water and soil Sub-component 2.1 Sub-component 3.1	<ul style="list-style-type: none"> <li>▪ Promote use of bio-fertilizers and bio-pesticides</li> <li>▪ No procurement of banned Class I &amp; Class II A and II B pesticides</li> <li>▪ Promote IPM on private farmlands through KVKs</li> </ul>	SFD/ICFRE/CABI
5.	Escalation of human wildlife conflict Sub-component 2.1, 2.2, 2.3 Sub-component 3.1	<ul style="list-style-type: none"> <li>▪ Monitor and map movement of large mammals in GIM landscapes</li> <li>▪ Awareness building on human-wildlife conflict and managing it</li> <li>▪ Use of non-threatening measures to ward off wildlife (signs/sounds/barriers)</li> <li>▪ Ensure compensation is swift and adequate</li> </ul>	GP/JFMC/SFD
6.	Impact on composition and structure of wildlife communities, especially birds	<ul style="list-style-type: none"> <li>▪ Restoration through diverse set of local indigenous species</li> </ul>	SFD

S. No.	Potential Risk/Impact	Mitigation Actions	Implementation Responsibility
	due to monoculture plantations Sub-component 2.1	<ul style="list-style-type: none"> <li>▪ Use youth for monitoring key biodiversity species/indicators</li> <li>▪ Ensure regular use and reporting of species/habitat monitoring protocols</li> </ul>	
7.	Increased grazing pressure in other areas due to displacement of cattle/livestock from pastures/CPR undergoing restoration Sub-component 3.1	<ul style="list-style-type: none"> <li>▪ Identify alternative areas before restoration of existing ones in use</li> <li>▪ Follow zonation approach while restoration</li> <li>▪ Involve users in planning, restoring and managing CPR</li> </ul>	GP/SFD/ICFRE
8.	Arbitrary identification and poor management of Community Reserves Component 1 and 2	<ul style="list-style-type: none"> <li>▪ Establish scientific criteria (biological richness, species abundance etc.) for identification</li> <li>▪ Ensure wider GP level consultation prior to finalizing Community Reserve</li> <li>▪ Composition of management committee to ensure adequate representation of poor and vulnerable communities</li> <li>▪ Ensure that legitimate users are not denied access to resources as a result of declaration</li> </ul>	SFD/GP
<b>SOCIAL</b>			
9.	Elite capture of project benefits by powerful village leaders and influential people All Sub-components	<ul style="list-style-type: none"> <li>▪ Ensure that free, prior consent consultation are organized before planning and implementing activities that involve local communities</li> <li>▪ Extensively use IEC material to create awareness about project activities and entitlements</li> <li>▪ Establish village level participatory monitoring protocols and social audit arrangements for the project</li> </ul>	GP/JFMC/SFD
10.	Exclusion of poor, marginal farmers and landless stakeholders Sub-component 2.3 Sub-component 3.1, 3.3	<ul style="list-style-type: none"> <li>▪ Create village level household beneficiary lists and identify the most poor, farthest, marginal and backward beneficiaries</li> <li>▪ Track the numbers of left out poor households not engaged in project activities and ensure that at least 70% beneficiaries are poorest of the poor</li> <li>▪ Hold regular village meetings for reviewing participation of poor stakeholders</li> </ul>	SFD/GP
11.	Low participation of vulnerable and backward classes (SC/ST/OBC) and women Sub-component 2.1, 2.2, 2.3 Sub-component 3.1, 3.3	<ul style="list-style-type: none"> <li>▪ Develop and extensively use IEC material for mobilizing vulnerable, backward and women beneficiaries</li> <li>▪ Set local minimum thresholds (upward of 70%) for inclusion of vulnerable, backward and women beneficiaries in project activities</li> </ul>	SFD/ICFRE
12.	Restrictions imposed on accessing CPR	<ul style="list-style-type: none"> <li>▪ Enlist all existing customary rights,</li> </ul>	GP

S. No.	Potential Risk/Impact	Mitigation Actions	Implementation Responsibility
	and other natural resources by existing users Sub-component 2.1, 2.2, 2.3 Sub-component 3.1	nature and extent of dependence on CPR and uphold the existing arrangements <ul style="list-style-type: none"> <li>▪ Hold GP meeting to resolve any access related issue during CPR restoration</li> <li>▪ Avoid village lands that are encroached</li> </ul>	
13.	No alternatives for landless livestock owners for fodder/grazing during restoration of CPR Sub-component 3.1	<ul style="list-style-type: none"> <li>▪ Create lists of CPR users</li> <li>▪ Ensure convergence for alternative employment/income for landless livestock owners during CPR restoration</li> <li>▪ Use zonation approach for restoration and leave some areas for use</li> <li>▪ Agree schedule in GP and involve actual users in restoration of CPR</li> </ul>	SFD/GP/ICFRE
14.	Conflicts with SFD regarding implementation and exercising the provisions of FRA and PESA Sub-component 2.1, 2.2, 2.3 Sub-component 3.1	<ul style="list-style-type: none"> <li>▪ Identify areas where claims are already settled or finalized</li> <li>▪ Practice transparency and communicate decisions on claims in a timely manner</li> <li>▪ Facilitate provisions of FRA and PESA</li> </ul>	SFD/GP
15.	Selective use of project provisions, especially use of NTFP sustainable harvest protocols and value addition provisions Sub-component 2.3	<ul style="list-style-type: none"> <li>▪ Protocols to be developed in association with users and forest-dwellers</li> <li>▪ Adequate training to dependents on use of protocols</li> <li>▪ Use civil society as interface in this component</li> </ul>	GP/SFD/ICFRE

## 6. Information, Education and Communication (IEC)

The project has been designed so that information, awareness and communication activities are undertaken to enable effective implementation of the ESMF including assessment procedures, supervision and monitoring. Information, education, and communication (IEC) interventions would be undertaken for dissemination of relevant information regarding project location, its duration, objectives and strategies for activities such as management of invasive species a separate communication plan would be prepared and followed for community awareness and sensitization. Some specific measures will be:

- i) Preparation and dissemination of IEC materials (using audio-visuals, multimedia, street plays at local markets and festivals and other folk and local media;
- ii) Use of local community leaders, especially from existing forest and women's groups to promote key messages on the project;
- iii) Training of field staff and NGOs in social outreach and communication methods.

The PMU will prepare and implement an outreach strategy for the ESIP and will have local officers in the project areas to facilitate communication with project beneficiaries and stakeholders. These would be carried out over a 6-12 month period at the beginning of the project. A specialist agency with expertise in

development communication would be engaged by the PMU for content development and broadcasting. At the local level, partner agencies (NGOs) would be encouraged to use local groups and folk media for project publicity.

### **6.1 Consultation and Participation Plan**

Consultations with potential project partners and primary stakeholders would be carried out in each project landscape at the sub-project planning and pre-implementation stages. This is to ensure that community participation and ownership of investments is established. These consultations will help understanding the resource dependencies and use patterns, livelihood strategies as well as concerns. Consultations would focus on identifying the project villages/ hamlets, understand the socio-economic situation, identify primary stakeholders and vulnerable groups (particularly STs and PVTGs), and make specific assessments of potential adverse impacts and associated risks. The consultations would inform the preparation of the landscape planning and resource mapping exercise. These will also inform the targeting process and help design participation strategies in a more contextualized and effective manner, keeping in mind local institutions, resource availability, stakeholder issues, constraints and capacities. Focused group discussions, regular meetings, stakeholder feedback etc. will promote transparency in decision making, create awareness regarding project activities and entitlements etc. It will also help gather community perceptions and concerns and their priorities for development mechanisms at the local level. Specific measures include:

- i) Inception Workshops at State and Division Levels. At the start of the project, State and Division-level workshops would be organized to formally launch the project, with the purpose of information sharing and consultation with stakeholders
- ii) Formal community level meetings and consultations would be conducted at village entry and social mobilization and broad community support would be formally documented.
- iii) Consultations would be carried out as part of participatory resource mapping, landscape planning exercise, selection of sites, species,; opportunities for local community participation and strategies for livelihood enhancement. .
- iv) Quarterly meetings and consultations with JFMCs (reconstituted), as well as separate meetings with women, STs and other vulnerable groups would be conducted on a quarterly basis during project implementation by the office of the RFO and the DFO.;
- v) Reconstituted JFMCs/ appropriate resource management institutions would also be involved in monitoring project implementation progress, and record their feedback with the facilitating agency.
- vi) Exclusive consultations with tribal and vulnerable women beneficiaries at planning and pre-implementation stages. Consultations and Focus Group Discussions will be held with women forest users and existing women's groups in the village. Facilitating NGOs will hold exclusive and periodic women's meetings at key stages in the pre-planning and planning process, as well as for information dissemination, and monitoring of ESIP interventions
- vii) Separate consultations and small group meetings would be conducted with each of the relevant stakeholder groups to understand their resource use and dependence patterns, livelihood strategies, needs and concerns. It will include details of consultations held with various resource dependent groups, their key issues and concerns vis-à-vis natural resource use and management, information on any potential adverse social impacts arising out of the proposed interventions, and identify suitable mitigation measures on a site-specific basis.

### **6.2 Social Inclusion, Mobilisation and Capacity Building**

***Representation in JFMCs and Project-Consultation Forums:*** ESIP will facilitate strengthening and democratisation of JFMCs and ensure that it is not only constituted in accordance with the norms laid out in the respective state JFM Resolutions, but also has adequate representation of STs, SCs, women and forest-dependent households. For all other existing and project-facilitated decision-making forums, such as the federation of JFMCs at the Range level (FDA), the project implementing agencies will adhere to inclusive criteria for membership, representation, participation in meetings and institutional planning and decision making processes, membership in executive committees and office bearing positions.

***Representation of Poor, Marginal, Vulnerable (SC/ST), Women and Landless:*** Ensure adequate representation of the economically and socially weaker sections of the society in all levels of formal and informal arrangements (JFMCs/BMCs/other Managerial Roles); participation in project consultation forums and in decision making process; special focus on women beneficiaries to be maintained throughout the project period.

***Participation in Decision-Making:*** JFMCs and facilitating NGOs will ensure that the time, duration and venue of meetings for the purposes of decision-making and information sharing is convenient for all stakeholders, especially women, wage earners, SCs, STs and forest-dependent households. Minutes of meetings would be recorded along with names of all present, and used for monitoring participation levels of concerned groups.

***Equitable Cost and Benefit Sharing Norms:*** ESIP will invest in a range of user-shared and commonly held natural resources, such as forests and grazing lands, silvipasture plots, etc. The benefit sharing norms/rules for such public goods will ensure inclusion of the primary beneficiaries specially STs, SCs, women and forest dependent communities, implementation and monitoring of the benefit sharing arrangements. Equitable benefit sharing and following of agreed benefit sharing norms would be highlighted and promoted by the facilitating NGOs, and monitored by the state-level PMU/ SFD. This would be specially followed in participation of the mentioned groups in information sharing, beneficiary contribution and cost-sharing norms, wage labour opportunities arising from project works, training, and exposure visits.

***Adoption of Community-Based Approaches for Planning and Monitoring:*** The nature and scale of the project necessitates adoption of strong community-based approaches for forest management and sustainable NTFP harvest. Development and testing of sustainable NTFP harvest protocols would be done in consultation with specific user communities (e.g., Basods for bamboo harvest, honey hunters for honey collection, etc.) and concerned JFMCs.

One of the roles of the facilitating NGOs would be to improve the organisational capacities of the JFMCs to function equitably and in a socially inclusive manner, undertake appropriate measures for resource protection, sharing and conservation, as well as monitor environmental dimensions of ESIP interventions. ESIP will support training of JFMCs and Community Resource Persons for assisting in measurement of improvement in ecosystem services.

### **6.3 Community Mobilization and JFMC Capacity Assessment/ Strengthening**

Landscape plans would include capacity assessment of the concerned JFMC/ local village institution and mobilization of the village community, depending on the prevailing situation. It will be ensured that the JFMC has been formed in accordance, and is in conformity with, the respective state JFM Resolutions (viz., representation of STs, SCs, women; member enrolment in general body; conduct of meetings; records maintenance, etc.). Project information including objectives and proposed interventions would

also be shared specifically with the Forest Rights Committee (FRC) constituted for the purpose of whetting individual and community forest rights claims under the FRA, 2006.

Landscape level planning would include capacity and institutional needs of the JFMCs/local natural resource groups, and would be facilitated by local NGOs.

#### **6.4 Tribal Development Plan**

Given the significant presence of tribal communities in the project landscapes in Chhattisgarh and Madhya Pradesh, the project has prepared a tribal development plan. The overall objective of the TDP is to enable and facilitate inclusion of tribal, and other vulnerable communities, including Dalits and other socially marginalized groups, in the project supported institutions, operations and investments and benefits. ESIP would ensure that i) project activities and interventions uphold the social and cultural norms and practices, and constitutional rights of the tribal communities; ii) project engages with the tribal communities in a free, prior and informed manner and facilitates their participation and broad community support in the entire process of preparation, implementation and monitoring of the project interventions.

The TDP will:

- (i) Focus on inclusion of tribal communities directly dependent on forest landscapes, as well as vulnerable households
- (ii) ascertain that the project does not inadvertently lead to or induce disempowerment, or increase disparities between the tribal/ other vulnerable and 'mainstream' communities
- (iii) avoid, minimize and/or mitigate any kind of adverse impacts on tribal households, including on their livelihoods
- (iv) establish appropriate strategies for information sharing, communication, training and decision-making with the different tribal communities (women and men) at all stages of the project
- (v) ensure that the project benefits and investments are equally accessible to the tribal and other vulnerable communities inhabiting the project area;
- (vi) develop appropriate training and/or development interventions in accordance with the articulated needs and concerns of tribal groups (women and men) inhabiting the project landscapes

The key actions envisaged under the TDP are:

- i) Informed consultations with tribal and PRI community leaders, forest dependent groups and women's groups and documentation of broad community support;
- ii) Socially appropriate awareness and communication campaigns using folk media/artists, local language, local markets and festivals, in addition to other methods;
- iii) Landscape/village socioeconomic baseline to highlight presence of tribal and other disadvantaged communities/households, their situation assessment
- iv) Inclusion of tribal and other vulnerable communities in i) leadership of JFMC, EDC and other community institutions supported by ESIP; ii) as community resource persons, animators, project facilitators; and iii) in wage and livelihood opportunities; iv) project benefits;
- v) Discuss the final plan in the Gram Sabha and have it validated and endorsed by all the affected households, concerned village institutions, and the Gram Panchayat.
- vi) Orientation and training of project teams and extension workers in engaging with tribal communities;

- vii) **Convergence with tribal development programmes of the state and central government;**  
Emphasis on convergence with other ongoing schemes of state and central governments for overall area development (responsibility of FDA)

All teams working in these areas are oriented and trained on tribal development and social safeguards.

The Social Development Specialist (SDS) in PMU will have overall responsibility for incorporation of TDP provisions and their implementation in project landscapes. There will be a Social/Tribal Development Coordinator for focussed development of tribal and other vulnerable communities at the landscape level. The detailed tribal development plan (TDP) is presented in Annex 7.

### **6.5 Gender Action Plan**

The key gender issue which is operationally relevant for ESIP is need for greater recognition of women as primary users of forests (for collection of firewood, fodder, etc.) and NTFP collectors, and their inclusion and capacity building for greater access to institutions and decision-making forums, information resources, and opportunities for training and capacity building, as well as livelihood and wage employment. ESIP will promote gender inclusive approaches across the project structures, institutions, plans and interventions in the project landscapes through a range of measures:

- i) Orientation of project teams, partner agencies as well as village leadership, specially males, on the need to empower women with respect to access to leadership and decision making, training and capacity building,
- ii) Gender disaggregated information included in landscape baseline;
- iii) Exclusive Consultations and focus group discussions with women with women forest users and existing women's groups in the village.
- iv) facilitating women's membership, participation and inclusion in the JFMCs and FDAs at all levels – in the general body, executive committee and office-bearer positions;
  - i) Inclusion of women leaders in all training and exposure programs on leadership skills, record-keeping, conflict resolution, NTFP collection and value-addition, livestock development.
  - ii) Training and engagement of women community resource persons in each landscape,
  - iii) PMU will develop a Gender Sensitization and Orientation Training Module for ESIP staff and partners

Facilitating NGOs will hold exclusive and periodic women's meetings at key stages in the pre-planning and planning process, as well as for information dissemination, and monitoring of ESIP interventions.

Facilitating partner NGOs will promote and proactively support women's participation in meetings, and decision making and planning processes. Wherever not specified, ESIP will follow the gender and social inclusion norms prescribed in government policies and programmes. Further details are provided in Annex 9.

### **6.6 Participatory Landscape Planning**

***Socio-Economically Disaggregated Baseline for Each Landscape.*** The landscape level baseline assessment envisaged as part of the planning and preparation process would include documentation of

baseline socioeconomic, human development and resource dependence of women, tribals, dalits, landless, and other traditionally forest-dependent communities such as Basods (who practice bamboo basket making) across all project-affected villages. Any forest rights granted to communities living within the landscape will also be recorded. The status of implementation of the Forest Rights Act, 2006, would need to be closely reviewed and recorded for each Division and Range at the time of preparation of the baseline.

### **Preparation of Resource Management Plans**

All activities, especially the ones having a beneficiary interface, will adopt a participatory planning approach. Beneficiary groups for developing implementation strategies (for CPR restoration, management of Community Reserves, developing and implementing NTFP harvest protocols, women's groups for nursery and other plantation operations etc.) would be formed.

The planning process would be participatory in nature and focus on identification of different types and layers of resource access and use; and mobilization of all resource dependent households around the project concept, with a special focus on tribals, women, scheduled castes, landless, wage labourers, and people dependent on forests and common lands for collection of firewood, NTFPs, grazing, housing, and other purposes. The unit of planning will extend to and encompass all user groups dependent on the land area/ forest patch under consideration.

Preparation of Resource Management Plans would be facilitated by an inter-disciplinary team including officials from the Range Forest Office, a local civil society organization/ NGO and the concerned Ward members/ representatives of the Gram Panchayat. The Plan thus prepared would be presented at a village Gram Sabha for approval and further action. A detailed description of participatory planning and management is given in Annexure 8

#### **Participatory Planning for Interventions on Panchayat Lands and Village Commons**

The planning process would be participatory in nature and focus on identification of different types and layers of resource access and use; and mobilization of all resource dependent households around the project concept, with a special focus on tribals, women, scheduled castes, landless, wage labourers, and people dependent on forests and common lands for collection of firewood, NTFPs, grazing, housing, and other purposes. The unit of planning will extend to and encompass all user groups dependent on the land area/ forest patch under consideration.

While sharing the project objectives and information with them, the needs and concerns of different stakeholder groups vis-à-vis proposed ESIP interventions would also be elicited. Details of sub-projects and proposed interventions, approach and strategies to be adopted, would be collectively formulated and agreed upon, including delineation of area boundaries, objective/s of resource management, details of systems for forest use and protection, choice of species, cost and benefit sharing arrangements, monitoring, decision-making forums, budget and schedule for implementation.

Preparation of Resource Management Plans would be facilitated by an inter-disciplinary team including officials from the Range Forest Office, a local civil society organisation/ NGO and the concerned Ward members/ representatives of the Gram Panchayat. The Plan thus prepared would be presented at a village Gram Sabha for approval and further action.

## 6.7 Negative List

Activities that will result in significant and often irreversible adverse environmental and social impacts are included in the Negative List and will not be financed by the project. If any activity in the negative list is deemed necessary for achieving the development objectives, it will be screened using the Environmental and Social Safeguards Data Sheets/Checklists for working out appropriate mitigation actions. The following activities are included in the Negative List:

- 1) Any activity that requires forcible eviction of people from land under their ownership and/or results in loss of livelihoods to the people/communities
- 2) Any activity that is not consistent with the applicable laws, policies and regulatory measures of the State and the Country
- 3) Any activity that puts any additional restrictions (which are not in force today) on accessing, including informal arrangements, to natural resources, such as, village common lands, CPR, forests etc. that communities are currently enjoying<sup>6</sup>
- 4) Any activity that compulsorily exclude participation of tribal, landless, marginal farmers and poor/BPL families<sup>7</sup>
- 5) Any activity that prohibits filing of *bonafide* claims pertaining to the Forest Rights Act, 2006 (both individual and community forest rights)
- 6) Any project that is not consistent with the project description at time of project negotiations, unless subsequently agreed to with the Bank along with the appropriate level of environmental and social management.

---

<sup>6</sup> This does not include temporary provisions effected for restoration of CPR that may restrict access during restoration, as long as these restrictions are discussed and agreed in the *Gram Sabha*.

<sup>7</sup> This does not include activities taken up on private farmlands

## SECTION D: Implementation and Reporting for ESMF

### 7. Institutional and Implementation arrangements

#### 7.1 Institutional Overview

The MoEFCC is the primary grantee for receiving project funds. The implementation is at the following three levels:

**National Level:** A small PMU would be established within the GIM Directorate and the GIM Director would also be the National Project Director for ESIP. Mission Director will be supported by a full time Assistant Project Director and other key staff constituting the PMU and funded through ESIP. The key PMU staff will include environment and social experts and core forestry sector expert. The key responsibilities of the Environment and Social experts includes: (a) orientation and training of implementing agency teams and the contractors on environmental and social management, (b) leading/providing oversight on the screening process and its outputs, (d) review of monitoring reports submitted by the implementing agencies on ESMF/SMP/TDP implementation, (d) conducting regular visits to project sites to review ESMF compliance during sub-project planning, design and execution, (e) providing guidance and inputs to the implementing agency teams on environment and social management aspects.

**State Level:** The State Forest Departments would be the primary implementing agencies at the State level and the GIM Nodal Officer would be responsible for overall implementation of ESIP and will be the focal point for all documentation and reporting. The project would support contracting of a small team (State PMU) to support project implementation and management. An Office Manager and Safeguards Specialists will be part of the State PMU.

**Forest Development Agencies:** FDA may be used to implement certain specific activities under the project but funds will not flow directly to them for the project.

**Community Level:** The project will support capacity building of Joint Forest Management Committee (JFMC) etc. that would play a critical role in project implementation, though funds will not directly flow to the community level.

**Grassroot level NGOs** may be involved for community mobilization, SHG skill building, training of local communities etc. These would be mostly contracted agencies and will be instrumental in providing implementation support.

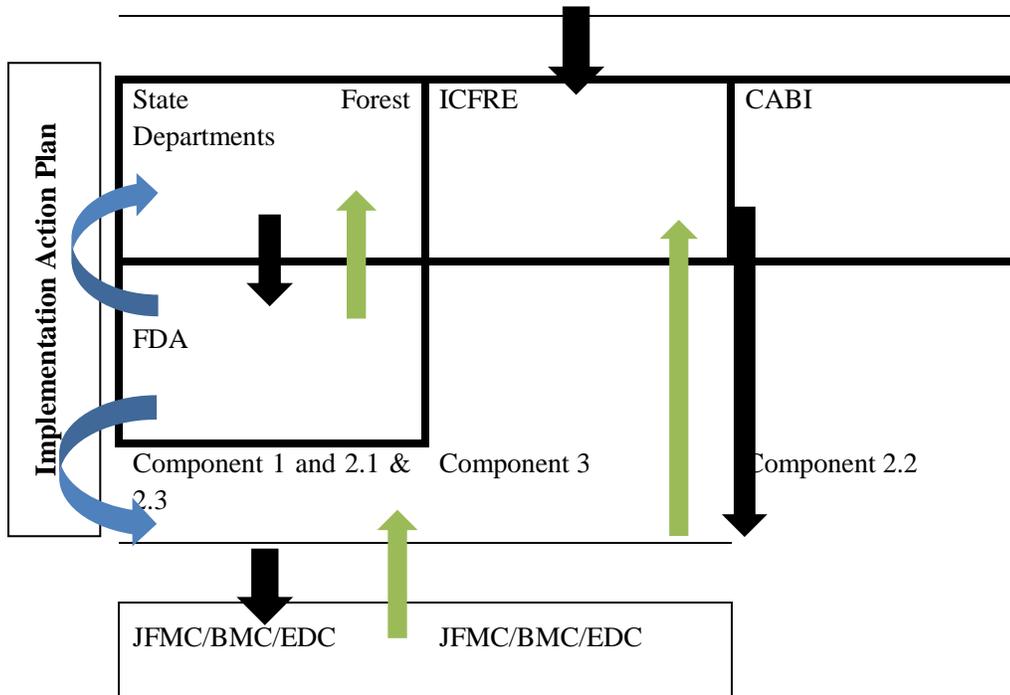
**Panchayati Raj Institutions** would play a crucial role in establishing 'community reserves', equitable benefit sharing and for introducing any new approaches in accessing NTFPs

**Technical Support Agencies:** Specialized technical agencies, such as, Indian Council of Forestry Research and Education (ICFRE) and CABI (or others as identified during implementation) would be bought on board to provide guidance, technical resources and monitoring support during project implementation. In addition to bringing the experts available with these agencies, the project will support contracting specialized M&E consultants who would be deployed for the project work.

An overview of the institutional arrangements and implementing agencies for each project component is displayed below in

**Figure 1: Institutional Overview of the Project**





## 7.2 Reporting arrangements for Environment and Social Safeguards

A semi-annual progress report will be submitted to the Bank as part of the overall project reporting arrangements; this will include a section on the safeguards application in project implementation in accordance with the ESMF. This will also include subprojects screening and classification, preparation of safeguards instruments, disclosure and consultation. The table 7 below outlines the work flow of reporting within the key agencies responsible for the implementation of the project.

**Table 7 Safeguards Monitoring and Reporting Arrangements**

<p>Environmental and Social Safeguards Specialists provide Implementation Support and Guidance on Implementing the ESMF and Social Inclusion Strategies; they compile safeguards reporting from Implementation Partners and send consolidated safeguards report to the Bank as part of the six monthly progress report</p>

<p>Technical, Resource, Partner Agencies provide implementation support and advise on mitigation action and monitoring of safeguards issues; they also report on their own implementation activities (progress report includes a section on safeguards)</p>

<p>Village Institutions (JFMC, BMC, EDC etc.), NGO and FDA report on Safeguards Issues, including implementation of mitigation action (progress report includes a section on safeguards)</p>

<p>Project Funded Activities at the Community and State Level</p> <ul style="list-style-type: none"> <li>- Forest Quality Improvement (Plantation)</li> <li>- Invasive Species Control Strategies</li> <li>- Value Addition to NTFP and Sustainable Use Framework</li> <li>- Carbon Measurement and Monitoring</li> <li>- Training and Capacity Building</li> <li>- Improved Planning and Coordination</li> <li>- Application of SLEM Best Practices</li> </ul>

### 7.3 Institutional Capacity of the Borrower to Implement Safeguards

The Ministry of Environment and Forests is the primary recipient of the grants and is presently implementing three Bank financed projects (approximating USD 1.25 billion) on improving environmental quality and biodiversity conservation. For all these projects, the MoEFCC is already implementing various tools for managing environmental and social issues, such as the ESMF, investment specific environmental assessments and mitigation plans. A close monitoring of triggered safeguard policies during project preparation and implementation along with adequate staffing of the selected PMU with both social and environmental staff will be undertaken.

### 8. Capacity Building and Training Plan

ESMF focused capacity building and training programmes covering, regulatory requirements, environment and social priority issues in the project will be undertaken. The GIM Directorate is a new entity, and will need additional training in the management of environmental and social issues of the program. The training program for various relevant stakeholders will include an orientation program on the ESMF, technical training, communications and reporting. The training program is to be coordinated and anchored by PMU with support from skilled professional agencies / NGOs and resource persons to all project stakeholders. The types of training are summarized below and timeline given in Table 8.

**Awareness programs on ESMF:** The will be a half day program at the district level covering formal bodies, such as JFMCs, FDAs, KVKs etc. There will also be a refresher programs organized annually.

**Special training on ESMF to Forest Department Officials:** The training will include an initial orientation workshop, a main and annual refresher training workshops on safeguards. All officials in the GIM landscapes will undergo this training.

**Table 8: Capacity Building and Training Plan for Environmental and Social Safeguards**

Stakeholders	Training type	Years					
		1	2	3	4	5	6
SFD and line departments - PMU, SPMU, Divisional Office staff/ FDA, Partner NGOs	Induction/ Orientation/ Sensitization/ Training for trainers						
	Identification of environmental and social issues and their mitigation						
	Social assessment, gender mainstreaming and participatory planning						
	Training with respect to ESMF data collection, reporting and monitoring system						
	Training with respect to bio-control mechanism and handling invasive species						
Representatives of cluster level/ Panchayats/ Village level community institutions (District level and village level)	Group development, M&E, Record keeping, mapping						
	Social & Environmental issues and participatory mitigation						
	Training in improved farming practices						
	NTFP harvest and management						
	Issues related to invasive species infestation						
	Awareness about the invasive species and their impacts						
	Forest Rights Act, 2006; rights and responsibilities of communities under CFR						
PRI (All three tier representative) (Block and District level)	Awareness about environmental and social issues and their impacts						
	Sustainable use of CPRs						
	Promotion of agro-forestry and Silvipasture development						
	Promotion of environmental sanitation and public health						
Continues		Discontinues					

## 9. Grievance Redress Mechanism

This section describes the Grievance Redress Mechanism (GRM), the Grievance Redress Cell and the legal options available to the beneficiaries and Project Affected Persons (PAPs), if any. In order to address grievances related to project implementation, three bodies are to be established; National Level Grievances Committee at the MoEF (national) level, State Level Grievances Committee at the state level, and Grievance Redress Committee at the district level.

### National Level

A National Level Grievances Committee will be established with the NPD in the PMU as its Chair. Most complaints and grievances are likely to be resolved at the District and State level, but some may escalate to the National level for which the committee will meet as required. The composition of the committee will be as follows:

1. Chair: Green India Mission Director (and NPD)
2. A senior representative from Department of Tribal Affairs
3. A prominent Social Scientist
4. A prominent woman development professional
5. A representative of a prominent voluntary organization working on forestry/wildlife and tribal issues

### State Level

The State Level Grievances Committee will be established under the chairmanship of Principal Chief Conservator Forests. Project Director, SPMU will be convener of this committee. The composition of the committee will be with the following members:-

1. Chair: Principal Chief Conservator Forests

2. A senior representative from SC&ST Welfare/ Tribal Affairs
3. A senior representative of the Revenue Department
4. A senior representative of Rural Development Department
5. A representative of the PRIs
6. A prominent Social Scientist or Academician
7. A prominent woman development professional from the state
8. A representative of a prominent voluntary organization from the state

This committee should meet every quarter to review the progress made in grievance Redress. This committee will also provide policy and programmatic direction to the Grievance Redress Cell and the participating departments at the state level.

### **District Level**

The Grievance Redress Committee will be established at each project landscape under the chairmanship of concerned District Forest Officer. District level heads of tribal departments and Block Development Officer (BDO) will be members along with 2-3 JFMC/VFC representatives, and a prominent Social Worker/NGO representative of the district. *Gram Panchayat* acts as Grievance Redress Committee at the village level.

Ways to reach the Grievance Committees will be communicated to all stakeholders through various forums, including printed material with contact information. No grievance can be kept pending for more than three months, though efforts should be made to resolve them at the earliest. In case the aggrieved party is not satisfied with the proposed redressal measures, it can approach the State-level Committee. If the aggrieved party is not satisfied with the decision of State level Committee, it can approach the PMU in NAEB (MoEF). Table 9 presents a summary of GRM and further details are provided in Annex 10: Conflict Resolution Mechanism.

**Table 9 Grievance Redress Mechanism**

Level	Agency	Estimated time for resolving	Issues likely to emerge	Responsibility
<b>Village</b>	<i>Gram Panchayat</i>	Within 2 weeks	Encroachment Livelihoods Inclusion and Equity	GP, Project Staff
<b>District</b>	Grievance Redress Committee	Within 4 weeks		District Collector as Chairperson and IA in-charge as Convener
<b>State</b>	State Grievances Committee	Within 8 weeks		PCCF as Chairman and SPMU
<b>National</b>	Grievances Committee at PMU	Within 12 weeks	Any issue escalated to national level	National Project Director

## **10. Monitoring, Evaluation and Reporting Framework**

The ESMF requires detailed supervision, monitoring and evaluation of the impact of the project on the environment and social aspects and for tracking the implementation of the mitigation actions. This will be undertaken by the Environmental and Social Experts at PMU and safeguards specialists at SPMU. Civil Society, JFMC and other such institutions will also assist in monitoring and reporting. Simple monitoring formats will be developed for monitoring by the community and monitoring indicators will also be included in the project level Management Information System (MIS). Monitoring aspects (methodology etc.) will be part of the Project Operations Manual or other similar document for the project. Safeguards monitoring outcomes

will be reported regularly in the half yearly project progress reports. The following key indicators will be monitored, which are in addition to the indicators already included in the project’s results framework:

<u>Environmental parameters</u>	<u>Social parameters</u>
<ul style="list-style-type: none"> <li>▪ Groundwater level measured in village wells (in feet)</li> <li>▪ Soil erosion on CPR (% land exposed)</li> <li>▪ Soil quality on private farms (soil health cards)</li> <li>▪ Changes in land use (% land use converted)</li> <li>▪ Trends in human-animal conflict ( in numbers)</li> <li>▪ Invasive species (% area within GIM landscape)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Grievances registered and resolved (numbers)</li> <li>▪ Proportion of household income derived from forests-based livelihoods (%)</li> <li>▪ Tribal (ST), SC and women beneficiaries (numbers)</li> <li>▪ Users benefitted from CPR restoration (numbers)</li> <li>▪ Proportion of ST/SC/Women in decision making bodies (formal/informal village level committees) (% representation)</li> </ul>

This report also should give a listing of relevant new legislation and regulations that have a bearing on the environmental social performance of the project. The concurrent internal environmental social monitoring will be done as part of the regular monitoring by the implementing agencies. A reporting format for sub project screening (consolidated) and reporting arrangements for trainings conducted are provided in Annexure 11

#### Reporting Formats for Application of ESMF in Sub Projects

**Benefit Monitoring and Evaluation (BME):** A three-stage Benefit Monitoring and Evaluation (BME) study would be carried out by the PMU. The study will be outsourced and will have three clear-cut stages. Stage I will setup the baseline data, Stage II will conduct midterm evaluations 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 if necessary. This will be part of the external monitoring planned for the project to undertake baseline, mid-term and end-of-term evaluation of ESIP implementation in all the states, which includes reporting on the application of safeguards instruments in sub project planning and execution. The PMU shall be responsible for the engagement of the External monitoring consultants, and shall ensure that funds are available for monitoring activities, and that monitoring reports are submitted to the World Bank.

## 11 Budget for ESMF

Most of the mitigation actions are already mainstreamed into the project design and many of the remaining are process steps and do not require activities such as special constructions, purchase of equipment etc. Training and capacity building as well as monitoring would require some investments. It is expected that up to 1% of the total project cost may be required for ensuring implementation of the identified mitigation action.

# ANNEXURES

## Annexure 1

### Detailed Project Description and Components

**Green India Mission** : The overall goal of GIM is to respond to climate change by a combination of adaptation and mitigation measures, which would help enhancing carbon sinks in sustainably managed forests and other ecosystems, adaptation of vulnerable species/ecosystems and adaptation of forest dependent communities. The objectives of the GIM are to: (i) improve quality of forest cover on 5 million ha and increase forest/tree cover in another 5 million ha; (ii) improve ecosystem services, including biodiversity, hydrological services and carbon sequestration as a result of treatment of 10 million ha (5 million ha for forest quality and 5 million ha for increasing the forest/tree cover); (iii) increase forest based livelihood income of about 3 million households; and (iv) enhance annual carbon sequestration by 50 to 60 million tons by the year 2020. The GIM is adopting a multi-pronged strategy that will integrate cross-sectoral approaches to implementation and take a holistic view of greening that goes beyond *plantations*. The mission is planned to coincide with the 12<sup>th</sup> and 13<sup>th</sup> five year plan period. It will revamp the state Forest Development Agencies (FDA) which will be linked with the District Planning Committees and will work closely with the *Gram Sabhas* (Local Self Governance).

The GIM is designed with having a subset of five sub missions: (i) enhancing quality of forest cover and improving ecosystem services; (ii) ecosystem restoration and increase in forest cover; (iii) enhancing tree cover in urban and peri-urban areas; (iv) agro-forestry and social forestry; and (v) restoration of wetlands. The mission strategy comprises of promoting integrated actions at the village level, cluster of villages in and around contiguous forestlands and at the landscape level. GIM would also add value to various ongoing programs and projects on *greening* taken up by multiple agencies. And GIM will seek a greater role for women in planning, decision making and execution of mission interventions. The mission will target forest areas for quality improvement that are moderately dense (crown density 40-70%) and degraded open forests (crown density 10-40%). Most of the forested landscapes are facing problems of recurrent forest fires, unregulated grazing, invasive species, shifting cultivation, illicit felling intense biotic pressures etc.

**ESIP Project**: The project will have the following four components:

***Component 1: Strengthening capacity and skills of government institutions for Effective Delivery of Forestry and Land Management Programs (Indicative US\$ 4 million)***. The objective of this component is to enhance the capacity and skills of the state forest and natural resources management agencies for improved management of forest and land resources and ensuring the delivery of sustainable benefits to local communities that depend on these resources. This component's finance technical assistance.

***Component 2: Improving forest quality and productivity (Indicative US\$ 14.5million)***. The objective of this component is to improve the quality and productivity of the existing forests so as to ensure sustained flows of ecosystem services and carbon sequestration, and sustainable harvesting and value addition of non-timber forest products (NTFP) to provide economic benefits to forest dependent communities that promote conservation and improve ecological connectivity between critical biodiversity areas. There are three sub components:

***Sub component 2.1: Enhancing and restoring carbon stocks in forestlands***: This component will support investments for improving, upgrading and modernizing of selected forest nurseries for raising high-quality native species and planting material. It will introduce and support new and innovative processes for undertaking soil preparation, forest enrichment planting and protection works in different degraded forest types in production forests landscapes as well as on non-forest lands. This sub component

will also undertake demonstrative pilots for rehabilitation of degraded forest patches and simultaneously integrate sustainable resource use practices.

***Sub-component 2.2: Improving forest quality through effective management of invasive alien species:***

This sub component will support development and implementation of an integrated invasive species management framework for select ecosystems that builds on regulatory, preventive and restorative aspects of managing invasive species. Multi stakeholder consultations for developing a national research agenda and strategies for specific invasive species will be supported under this sub component. It will also develop and implement innovative approaches and field based activities for invasive species removal, replanting with native species, and biological control. This sub-component will result in improved guidelines and an enhanced national knowledge base to support the science-policy interface in India on preventing the introduction of invasive alien species, which would be able to underpin potential future regulatory actions towards preventing their further spread.

***Sub-component 2.3: Developing community-based models for sustainable utilization of NTFP:*** This sub-component will support formalized allocation of usufruct rights, value addition and marketing to traditional NTFP resources, and creation and management of Community Reserves. The result will be GIS based management plans for Community Reserves incorporating participatory monitoring of biodiversity. This sub component will work with various resource user groups, women Self Help Groups, and other local stakeholders to understand the challenges of NTFP supply chains, identify potential interventions to improve NTFP marketing, and develop strategies for enhancing incomes from sustainable NTFP utilization.

***Component 3: Scaling up of Integrated Sustainable Land and Ecosystem Management (SLEM) Approaches for Reducing Land Degradation and Desertification (Indicative US\$ 3.74 million).*** The main objectives of this component are to prevent land degradation and desertification and increase above-ground forest carbon stock through a combination of investments to implement and scale-up tried-and-tested SLEM best practices, increase national capacity for monitoring land degradation and track associated indicators and generate knowledge exchange on SLEM approaches so as to benefit small and marginal farmers and other rural poor. These activities are designed to overcome the twin challenges of arresting land degradation and meeting food security targets. In particular, this component will draw heavily from the lessons and best practice approaches to sustainable land and ecosystem management that were developed and piloted under the ongoing GEF financed SLEM project. There are three sub-components:

***Sub-Component 3.1: Scaling-up of SLEM best practices:*** This component would support application and scaling up of the existing and tested SLEM best practices such as participatory watershed management, approaches to improve soil fertility and land productivity, restoration of overgrazed pastures and other common lands and improvement of habitat quality in micro-watersheds. The specific best practices to be applied would be screened for suitability to the respective agro-climatic zones, using GIS.

***Sub-Component 3.2: Building national capacity for land degradation and desertification monitoring:*** This sub-component would help increase national capacity for monitoring the status of land degradation and desertification and SLEM outcomes, as well as the results of UNCCD action programs at the country level. It would also facilitate reporting on key indicators under the UNCCD. Current capacity to prepare National Reports (NR) to report back to the Conference of Parties (COP) on the National Action Plans (NAPs) is limited. This sub-component would help develop and implement a web based national MIS that would allow capturing trends and status of key impact and process indicators on land degradation and desertification. The data input would be collected at the sub-national and local level and would be

consolidated at the national level through the project. This would improve the timeliness and quality of the NR to UNCCD.

***Sub-component 3.3: Development and Implementation of a National Knowledge Network:*** This sub-component would help develop an interactive web-based platform with direct access and use at the farm level with help from extension services. It would promote and mainstream NRM best practices through a network of excellence, including and using the extension services networks of both agriculture and forest sectors. The platform would provide links and virtual access to repositories of best practices and analytical reports. It would also develop a community of practice by connecting stakeholders with common interests in adopting and expanding SLEM approaches. The platform would also organize and implement learning events at the interface of the community, farm and common lands.

***Component 4: Project Management (Indicative US\$ 2.4 million).*** A modest Project Management Unit (PMU) would be established to coordinate and monitor project implementation and progress towards the envisaged development objective. The PMU would be housed within the Division/Cell responsible for implementing the GIM within the Ministry of Environment, Forest and Climate Change (MoEFCC), so as to ensure that there is complete complementarity between the project and GIM and co-financing benefits are supportive rather than competitive. Other than the core Government staff in the PMU, this component will support hiring of specialized staff for project management, technical advice and communications.

## Annexure 2

### Project Activities

<b>Proposed Activities</b>
<b>Component 1: Strengthening Institutions for Effective Delivery of Forestry and Land Management Programs</b>
<ul style="list-style-type: none"> <li>• Staff training in use of GIS systems</li> <li>• JFMC (and others) training in preparing sustainable use plans for NTFPs</li> <li>• Support for identifying and mapping biodiversity corridors</li> <li>• Training and protocol development for biodiversity measurements in select locations for preparing biodiversity management plans, especially in corridors</li> <li>• Support for revising management plans and new local level management plans for non-forest areas (integration in district level planning)</li> <li>• Support for strengthening Biodiversity Management Committees (as per NBA)</li> <li>• Support for exposure visits for frontline staff/JFMCs for improving management practices</li> </ul>
<ul style="list-style-type: none"> <li>• Technical support (consultancy) for developing carbon measurement and monitoring system</li> <li>• Support for hardware and software procurement and its deployment in the field</li> <li>• Staff training in carbon measurements and support for additional contractual staff</li> <li>• Networking with national (FSI) and international institutions for carbon measurements</li> </ul>
<ul style="list-style-type: none"> <li>• Support for research on invasive species for developing the protocols and manuals for their management</li> <li>• Technical training in invasive species risk assessment</li> <li>• Support for review and amendment of invasive species and NTFP legislation</li> <li>• Staff training on new invasive species management protocols and manuals</li> <li>• Develop systems for species-based and ecosystem-based mapping of key invasive species</li> <li>• Support for developing M&amp;E frameworks and biological indicators</li> <li>• Support for awareness in local communities on invasive species</li> </ul>
<ul style="list-style-type: none"> <li>• Support for contracting local NGOs for developing sustainable use frameworks</li> <li>• Training of local frontline staff and JFMCs in applying NTFP frameworks</li> <li>• Training for strengthening local self-governance institutions, including JFMCs to establish community reserves for co-management, monitoring and sustainable and equitable access to NTFP resources</li> <li>• Strengthening of FDAs and <i>Van Vigyan Kendras</i> (VVKs)</li> </ul>
<b>Component 2: Increasing ecological connectivity and generating sustainable flows of forest ecosystem services</b>
<b>Sub Component 2.1: Enhancing and restoring carbon stocks in forestlands</b>
<ul style="list-style-type: none"> <li>• Upgrading/modernization of select forest nurseries to raise high-quality native species planting material.</li> <li>• Building institutional capacity on new processes for undertaking soil preparation, forest enrichment planting and protection works in degraded production forests forest as well as on non-forestlands, and implementation of these processes at the community level.</li> <li>• Investments in restoration works on degraded forestlands</li> <li>• Establishing a forest carbon monitoring system</li> </ul>
<ul style="list-style-type: none"> <li>• Technical support for mapping and monitoring RET species</li> </ul>
<b>Sub-Component 2.2: Improving forest quality through effective management of invasive alien species</b>
<ul style="list-style-type: none"> <li>• Develop and implement an integrated invasive species management framework for select ecosystems</li> <li>• Carry out multi stakeholder consultations for developing a national research agenda and strategies for specific invasive species</li> <li>• Develop, test and implement innovative approaches and field based activities to arrest further spread of identified invasive species, including invasive species removal and control, replanting with native species, biological control, etc.</li> </ul>
<b>Sub-Component 2.3: Developing community-based models for sustainable utilization of NTFP</b>
<ul style="list-style-type: none"> <li>• Generate community level baseline assessments of livelihood dependency on NTFPs, for developing local plans for sustainable and equitable use of NTFP in 10 communities</li> <li>• Value addition investments to traditional NTFP resources</li> <li>• Support for creating at least two community reserves</li> <li>• Capacity building support for NTFP user groups, women SHG</li> </ul>

<b>Proposed Activities</b>
<ul style="list-style-type: none"> <li>• Support for GIS based management plans for community reserves incorporating participatory monitoring of biodiversity</li> </ul>
<b>Component 3: Integrated Sustainable Land and Ecosystem Management (SLEM) Approaches for Reducing Land Degradation and Desertification</b>
<b><i>Sub-Component 3.1: Scaling-up of SLEM best practices</i></b>
<ul style="list-style-type: none"> <li>• Training support to beneficiaries and extension workers for applying identified SLEM best practices</li> <li>• Input procurement for applying identified SLEM best practices (seeds/seedlings/organic inputs etc.)</li> <li>• Financing of small works for improving common property resources (construction of check dams/gully plugs/soil-moisture conservation works/drainage line improvement etc.)</li> <li>• Capacity building on GIS based identification of suitable areas for the replication of the SLEM best practices</li> <li>• Support for agro-forestry based activities through stakeholder awareness, capacity building and technological support (improved seeds/saplings/ techniques)</li> <li>• Capacity building of VVKs for promoting restoration of degraded common property resources, sensitizing workshops, creation of new extension material etc.</li> <li>• Provide training for improved farm practices (technology transfer through farmer schools on cropping patterns, crop diversification and organic agriculture)</li> <li>• Support for value addition and market linkages (establish linkages with technological institutes such as ICAR, KVKs, state agriculture departments and CBOs with respect to value chain analysis, value addition and marketing support for produce)</li> <li>• Strengthening community-level biodiversity management through capacity building on management of biodiversity registers, documentation, access and benefit sharing, support to scaling up traditional knowledge, and dissemination of information through publications in local languages)</li> <li>• Community capacity building and technical support for afforestation in degraded forests and establishing linkages with other afforestation programs</li> <li>• Support information dissemination and training programs to improve farmers' access to latest techniques, tools and climate forecasts, to be implemented through existing agricultural extension services</li> </ul>
<b><i>Sub-Component 3.2. Building national capacity for land degradation and desertification monitoring</i></b>
<ul style="list-style-type: none"> <li>• Developing an online national reporting database for capturing trends and status of key impacts and process indicators on land degradation and desertification</li> <li>• Training (national/sub-national/agency) on the use of national online portal</li> <li>• Involve and support CBOs in information collection and monitoring</li> </ul>
<ul style="list-style-type: none"> <li>• Develop national database on SLEM practitioners for the development of institutional and individual networks</li> </ul>
<b><i>Sub-Component 3.3: Development and Implementation of a National Knowledge Network</i></b>
<ul style="list-style-type: none"> <li>• Develop an interactive webpage platform with direct access and use at the farm level</li> <li>• Technical support for the preparation and dissemination of SLEM knowledge products</li> <li>• Software and hardware infrastructure development for dissemination of best practices to end users</li> </ul>
<b>Component 4: Project Management</b>
<ul style="list-style-type: none"> <li>• Contractual staff for project management and fiduciary obligations</li> <li>• Professional staff (forestry/land management/restoration ecologist etc.)</li> <li>• Provisions for undertaking special studies</li> <li>• Support for office equipment</li> </ul>

## Annexure 3

### Environmental Baseline Data

#### Climate and Agro-Climatic zones of Madhya Pradesh, Chhattisgarh and Goa

**Madhya Pradesh:** The climate of Madhya Pradesh can be classified as subtropical like most of north India, it has a hot dry summer (April–June), followed by monsoon rains (July–September) and a cool and relatively dry winter. The average rainfall is about 1,370 mm which decreases from west to east with monsoon wind. However the south-western districts have the heaviest rainfall, some places receiving as much as 2,150 mm, while the western and north-western districts receive 1,000 mm or less. Based on the climatic, topographic and species ecological niches bio-geographically it is divided into three provinces such as central highlands, central plateau and Gujarat Rajputana.

The state of Madhya Pradesh has a typically tropical climate with 3 distinct seasons (winter, summer and monsoons). The average rainfall for the state is 1200 mm. District in the western and northwestern parts of the state are considered to be susceptible to desertification. These regions also do not have a thick forest cover in comparison with the central and eastern parts of the state. Considering the climatic variability, soil types and other features the state has broadly been divided into 11 Agro-climatic Zones (ACZ) which belongs to four agro-climatic regions such as Central (Malwa) Highlands and Kathiawar Peninsula, Central Highlands (Malwa and Bundelkhand), Deccan Plateau and Central Highland (Bundelkhand), and Northern Plain and Central highlands. The soils of the state can broadly be classified into four types such as Vertisols, Cambisols, Luvisols and Lixisols. Agro Climatic Features of Madhya Pradesh are given below:

#### *Agro Climatic Characteristics-Madhya Pradesh*

Sub Region	Rainfall (in mm)	Climate	Soil	Crop
Arid	670	Semi-arid (half drier & wetter half)	Medium black, alluvial	Wheat, gram, Jowar, rapeseed, Bajra
Southern Plains	760	Semi-arid to arid	Medium red and black, grey brown	Maize, rice, wheat, gram
Southern Plains & Aravali Hills	500	Semi-arid (wetter half)	Red and yellow, grey brown	Maize, wheat, gram, Jowar
North Hills	1570	Moist sub-humid to dry sub-humid	Red & yellow	Rice, wheat, niger
Satpura Plateau	1220	Dry sub-humid	Shallow black, mixed red and black	Jowar, wheat, Arhar
Transitional Plain	490	Semi-arid (wetter half)	Desert soil, grey brown	Bajra, wheat, sesame, rapeseed, Jowar
Kymore Plateau Satpura Hills	1100	Dry sub-humid	Red and yellow Medium black	Maize, wheat, rice, gram, linseed
Vindhya Plateau	1130	Dry sub-humid	Medium black	Wheat, gram, Jowar, rice
Flood Prone Eastern Plain	500	Semi-arid (drier half)	Alluvial (Recent)	Bajra, wheat, rapeseed, gram, Jowar
Bundelkhand(MP)	700	Dry sub-humid to semi-arid	Mixed red & black	Wheat, gram, jowar, rice
Southern Eastern Plains	760	Semi-arid (wetter half)	Medium black	Wheat, Jowar, gram, maize

Sub Region	Rainfall (in mm)	Climate	Soil	Crop
Semi-Arid Eastern Plain	500	Semi-arid (drier half)	Alluvial	Wheat, Bajra, Jowar, gram
Central Narmada Valley	1300	Dry sub-humid	Deep black, skeletal	Wheat, gram, soybean, Jowar
Plateau Region South	1040	Semi-arid to dry sub-humid	Medium black, shallow black	Cotton, Jowar, Tur, Wheat
Plateau Region	874	Semi-arid (wetter region)	Medium black, deep black, mixed red	Gram, Jowar, cotton, wheat
Hill region	988	Semi-arid	Medium to deep black shallow red, red loamy	Jowar, Bajra, groundnut
Scarcity Region	602	Semi-arid	Medium black, deep black	Jowar, cotton, wheat

**Chhattisgarh:** The climate of Chhattisgarh state is dry sub-humid type where the annual potential evapotranspiration is slightly higher than the annual rainfall. The average annual rainfall of the region is around 1400 mm and about 90 to 95 percent of this amount is received during south-west monsoon season (June-October). The monsoon sets in around 10 June in the tip of the Bastar area and covers the entire area by 25th June. Months of July and August are the wettest months. Rainfall in October month occurs due to cyclonic activity in the Bay of Bengal and October rainfall is most crucial for the productivity of rice in the state. Winter conditions set in from mid-November when the average minimum temperature starts falling below 15°C. The northern districts especially Bilaspur division have more severe and longer winter period as compared to southern parts especially Bastar division. The atmospheric humidity is very high (>90%) during monsoon months and starts decreasing from October onwards and reaches as low as 15-20 percent during peak summer months. Considering the climate, topography and species ecological niches bio-geographically it is divided into three provinces such as central highlands, Chhota Nagpur and Eastern Ghats.

Agro-climatically, Chhattisgarh can be divided into 3 distinct agro climate zones, which falls under two regions such as Eastern (Chhota Nagpur) Plateau and Eastern Ghats and Eastern Plateau. The soils of the state can broadly be classified into two types such as Vertisols and Lixisols.

*Agro Climatic Features of the Sub Regions in Chhattisgarh*

Sub Region	Rainfall (in mm)	Climate	Soil	Crop
Tribal	1338	Moist sub-humid to dry sub-humid	Red sandy, red and yellow, red loamy laterite	Rice, Ragi, niger, maize
Eastern Plateau	1369	Moist sub-humid to dry sub-humid	Red & yellow, red loamy	Rice, maize, Ragi, wheat
Eastern Highland	1436	Moist sub-humid to dry sub-humid	Red sandy, red and yellow	Rice, maize, niger, wheat
North Central Plateau	1296	Moist sub-humid to dry sub-humid	Red sandy, red and yellow	Rice, maize, wheat, Ragi
Eastern Plain	1271	Dry sub-humid	Medium to deep black red and yellow	Rice, linseed, jowar, wheat, gram, groundnut

**Goa:** The state of Goa being in the tropical zone and near the Arabian Sea, has a hot and humid climate for most of the year. The month of May is the hottest, seeing day temperatures of over 35 °C coupled with high humidity. The monsoon rains arrive by early June and provide a much needed respite from the heat. Most of Goa's annual rainfall is received through the monsoons which last till late September. However it has a short winter between mid-December and February with a marked temperature around 28 °C with moderate amounts of humidity. Further inland, due to altitudinal gradation, the nights are a few degrees cooler. The majority of the land mass of Goa is classified as Western Ghats and Coastal Plains however eastern region have Deccan plateau, hot semi-arid ecoregion with shallow and medium mixed red and black soil.

*Agro Climatic Features of the Sub Regions in Goa*

Sub Region	Rainfall (mm)	Climate	Soil	Crop
Hilly	226	Per humid	Red loamy, mixed red and black	Rice, Ragi, Jowar, groundnut
Coastal Hilly	3640	Per humid & humid	Laterite, red loamy, coastal alluvium	Rice, Ragi, sesame, niger
Coastal Midland	3127	Dry sub-humid & per humid	Red loamy, coastal alluvium, laterite	Rice, tapioca, Ragi, banana
Midland	2727	Per humid	Laterite, red loamy, coastal alluvium	Rice, tapioca, groundnut, banana

**Land Use Pattern**

*Comparison of Land Use Pattern in Project States*

Land Use	Chhattisgarh		Goa		Madhya Pradesh	
	Area km <sup>2</sup>	%	Area km <sup>2</sup>	%	Area km <sup>2</sup>	%
Total Geographical Area	13,519		370		30,825	
Reporting area for land utilization	13,790	100.00	361	100.00	30,757	100.00
Forests	6,349	46.04	125	34.63	8,696	28.27
Not available cultivation	1004	7.28	37	10.25	3,401	11.06
Permanent pastures and other grazing lands	855	6.20	1	0.28	1,337	4.35
Land under misc. tree crops groves	1	0.01	1	0.28	19	0.06
Culturable Wasteland	347	2.52	53	14.68	1,160	3.77
Fallow lands other than current fallows	258	1.87	0	0.00	621	2.02
Current fallows	265	1.92	9	2.49	582	1.89
Net area sown	4,710	34.16	135	37.40	14,941	48.58

**Forest Cover and Types**

*Forests and Tree Cover in Project States*

Category	Chhattisgarh		Goa		Madhya Pradesh	
	Area km <sup>2</sup>	%	Area km <sup>2</sup>	%	Area km <sup>2</sup>	%
<b>Tree Cover</b>	3,866	2.86	286	7.73	7,090	2.30
<b>Forest Cover</b>	55,674	41.18	2,219	59.94	77,700	25.21
<b>Forest and Tree Cover</b>	59,540	44.04	2505	67.67	84, 790	27.51

*Area of Forest by Density Classes in Project States*

2011 Assessment	Chhattisgarh (area km <sup>2</sup> )	Goa (area km <sup>2</sup> )	Madhya Pradesh (area km <sup>2</sup> )
<b>Very Dense Forest</b>	4,163	543	6,640
<b>Moderately Dense Forest</b>	34,911	585	34,986
<b>Open forest</b>	16,600	1091	36,074
<b>Scrub</b>	119	0	6,396
<b>Non forest</b>	79,398	1483	224,149
<b>Total</b>	135,191	3702	308,245

**Protected Areas**

The project implementation areas are dotted in the landscape where fairly large number of protected areas also exists. In Madhya Pradesh there are 9 national parks, 25 wildlife sanctuaries covering an area of about 10854.48 sq. km which is 3.52 % of the total TGA of the state. In Chhattisgarh state there are 3 national parks, 10 wildlife sanctuaries covering an area of about 6348.96 sq km which comprises about 4.69% area of the state. In Goa the number of protected areas includes 1 national park and 6 wildlife sanctuaries covering an area of about 3702 sq km which forms about 20.38% of the total geographic area of the state. List of protected areas are given in **Error! Reference source not found.** The list of biosphere reserves within the project states is listed below

*Biosphere Reserves in Project States*

S. No.	Name	Area of Biosphere (sq km)	Year of establishment	Districts	State
1	Achanakmar- Amarkantak	3835.51	2005	Anupur, Dindori & Bilaspur	Madhya Pradesh & Chhattisgarh
2	Pachmarhi	4926.00	1999	Betul, Hoshangabad and Chindwara	Madhya Pradesh

*Protected Areas in Project States*

State/Union Territories	Area covered (sq km) NP+WS+CR	No. Of National Parks (NP)	No. Of Wildlife Sanctuaries (WS)	No. Of Conservation Reserves (CR)	Area of state (sq km)	% Of protected area in state
Chhattisgarh	6348.96	3	10	0	135194	4.69
Goa	754.43	1	6	0	3702	20.38
Madhya Pradesh	10854.48	9	25	0	308252	3.52

*National Parks in Project States*

S. No.	Name	Area (sq km. )	Year Established	District	State
1	Indravati	1,258.37	1981	Dantewada	Chhattisgarh
2	Kangerghati	200.00	1982	Kanker	Chhattisgarh

S. No.	Name	Area (sq km. )	Year Established	District	State
3	Sanjay	1,471.13	1981	Surguja, Korias	Chhattishgarh
4	Mollem	107.00	1978	North Goa	Goa
6	Bandhavgarh	448.85	1982	Umaria & Jabalpur	Madhya Pradesh
7	Fossil	0.27	1983	Mandla	Madhya Pradesh
8	Kanha	940.00	1955	Mandla & Balaghat	Madhya Pradesh
9	Madhav	375.22	1959	Shivpuri	Madhya Pradesh
10	Panna	542.67	1973	Panna & Chhatarpur	Madhya Pradesh
11	Pench (Priyadarshini)	292.85	1975	Seoni & Chhindwara	Madhya Pradesh
12	Sanjay	466.88	1981	Sidhi	Madhya Pradesh
13	Satpura	585.17	1981	Hoshangabad	Madhya Pradesh
14	Van Vihar	4.45	1979	Bhopal	Madhya Pradesh

Figure 2 Map showing Agro Climatic zones and protected areas in Madhya Pradesh and Chhattisgarh

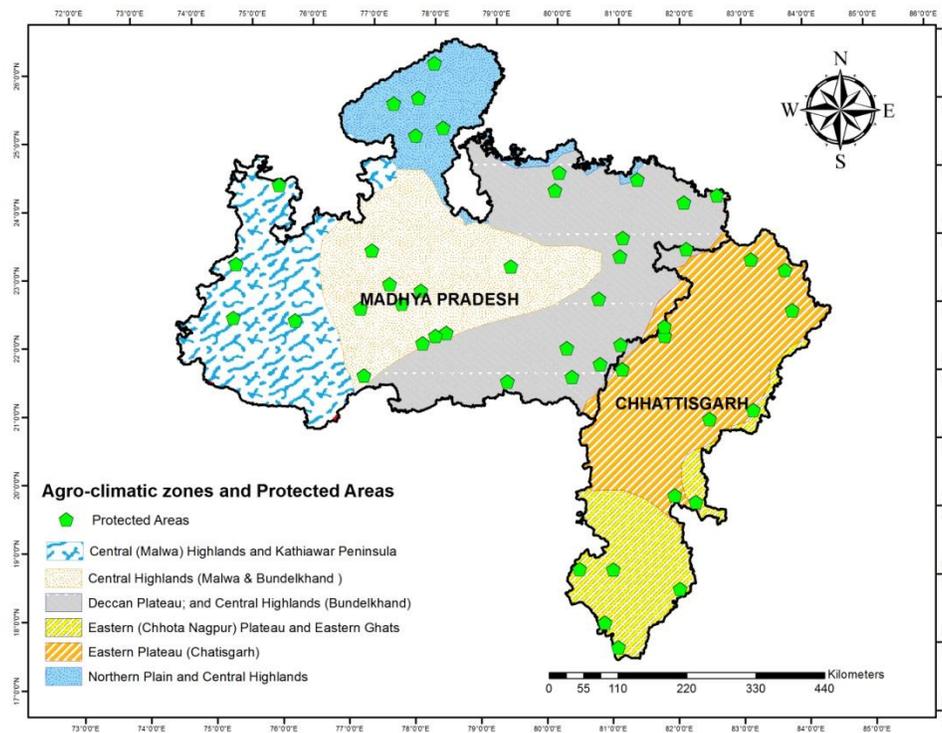


Figure 3 Map showing bio-geographic provinces and protected areas

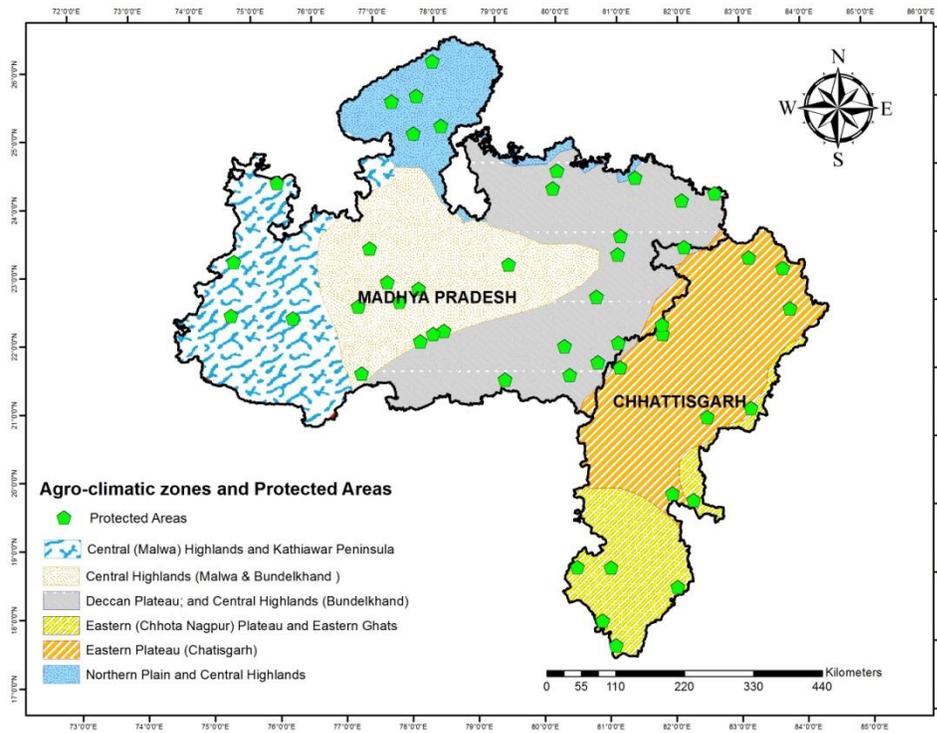


Figure 4 Agro Climatic zones and Protected Areas- Goa

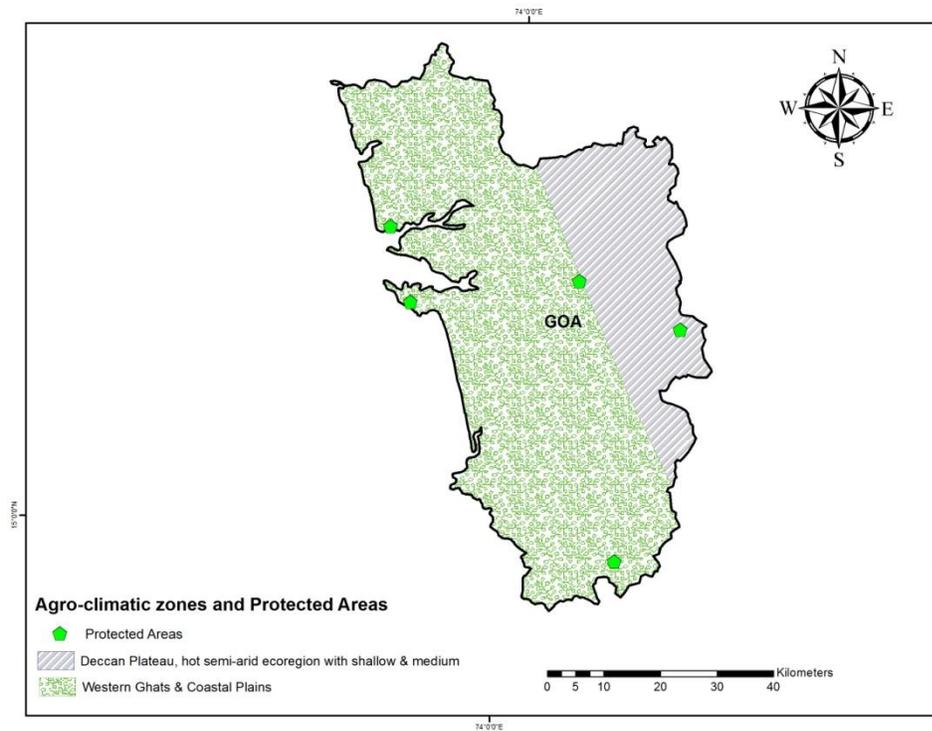


Figure 5 Biogeographic provinces- Goa

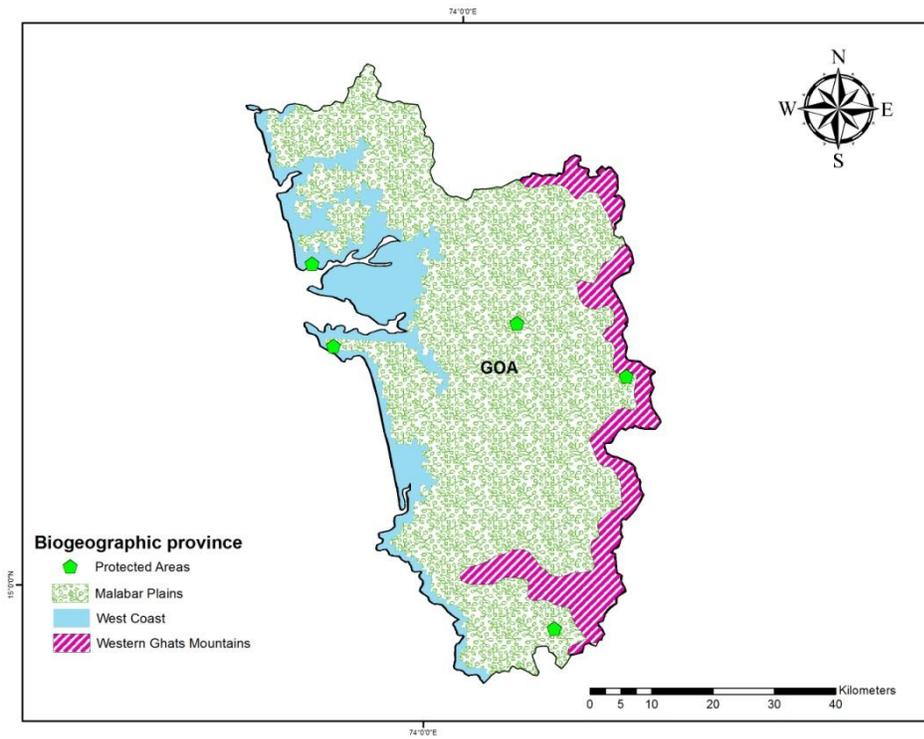


Figure 6 Map showing soil types- Madhya Pradesh and Chhattisgarh

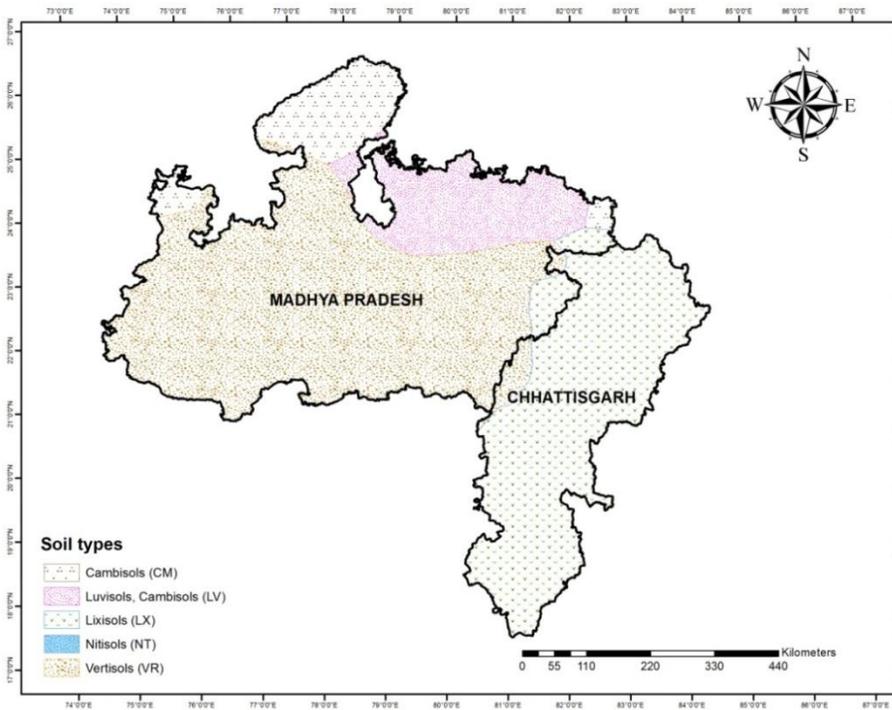
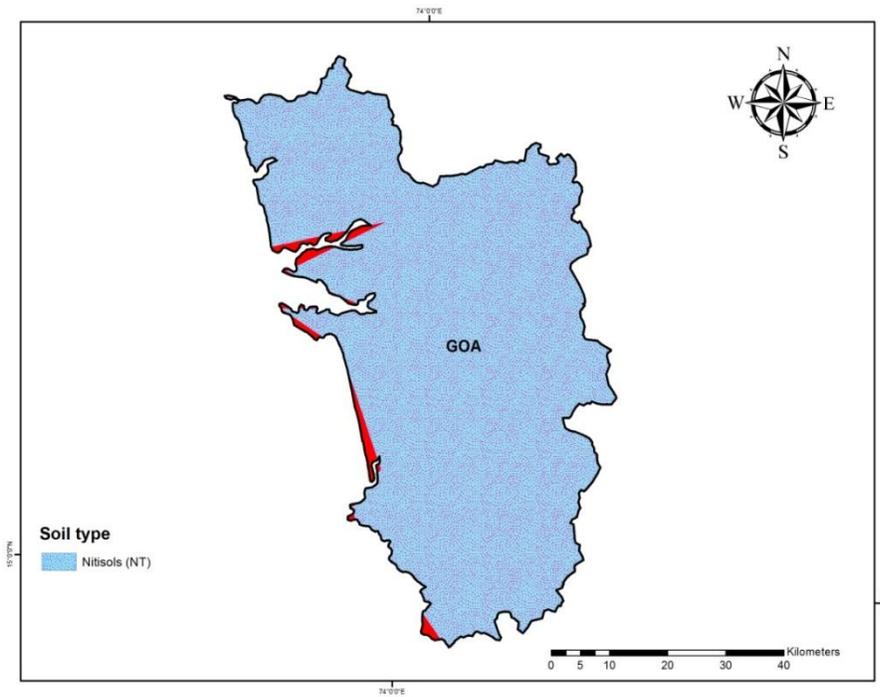


Figure 7 Map showing soil types- Goa



*Sanctuaries in Project States*

S. No.	Name	Area of sanctuary (sq km)	Year Established	District	State
11	Bondla	8.00	1969	North Goa	Goa
12	Chorao Island	1.78	1988	North Goa	Goa
13	Cotigao	85.65	1969	South Goa	Goa
14	Madei	208.00	1999	North Goa	Goa
15	Mollem	133.00	1967	North Goa	Goa
16	Netravali	211.00	1999	South Goa	Goa
1	Achanakmar	551.55	1975	Bilaspur	Chhattishgarh
2	Badakhhol	104.45	1975	Jashpur	Chhattishgarh
3	Barnawapara	244.66	1976	Raipur	Chhattishgarh
4	Bhairamgarh	138.95	1983	Dantewada	Chhattishgarh
5	Gomardha	277.91	1975	Raigarh	Chhattishgarh
6	Pamed	262.12	1985	Dantewada	Chhattishgarh
7	Semarsot	430.35	1978	Ambikapur	Chhattishgarh
8	Sitanadi	553.36	1974	Dhamtari	Chhattishgarh
9	Tamorpingla	608.51	1978	Ambikapur	Chhattishgarh
10	Udanti	247.60	1983	Raipur	Chhattishgarh
28	Bagdara	478.00	1978	Sidhi	Madhya Pradesh
29	Bori	485.72	1977	Hoshangabad	Madhya Pradesh
30	Gandhi Sagar	368.62	1981	Mandsaur	Madhya Pradesh
31	Ghatigaon	511.00	1981	Gwalior	Madhya Pradesh
32	Karera	202.21	1981	Shivpuri	Madhya Pradesh
33	Ken Gharial	45.20	1981	Panna & Chhatarpur	Madhya Pradesh
34	Kheoni	122.70	1982	Dewas & Sehore	Madhya Pradesh
35	Narsinghgarh	57.18	1978	Rajgarh	Madhya Pradesh
36	National Chambal	435.00	1978	Morena & Bhind	Madhya Pradesh
37	Nauradehi	1,194.67	1984	Damoh, Sagar & Narsimhapur	Madhya Pradesh
38	Orcha	44.91	1994	Tikamgarh	Madhya Pradesh
39	Pachmarhi	417.78	1977	Hoshangabad	Madhya Pradesh
40	Palpur-Kuno	344.68	1981	Morena	Madhya Pradesh
41	Panna	68.14	1979	Panna	Madhya Pradesh
42	Panpatha	245.84	1983	Shahdol	Madhya Pradesh
43	Pench	118.47	1975	Seoni & Chhindwara	Madhya Pradesh
44	Phen	110.74	1983	Mandla	Madhya Pradesh
45	Ralamandal	2.34	1989	Indore	Madhya Pradesh
46	Ratapani	823.84	1978	Raisen	Madhya Pradesh
47	Sailana	12.96	1983	Ratlam	Madhya Pradesh
48	Sanjay Dubri	364.59	1975	Sidhi	Madhya Pradesh
49	Sardarpur	348.12	1983	Dhar	Madhya Pradesh
50	Singhori	287.91	1976	Raisen	Madhya Pradesh
51	Son Gharial	83.60	1981	Sidhi, Shahdol & Satna	Madhya Pradesh
52	Veerangna Durgawati	23.9	1997	Damoh	Madhya Pradesh

Status of Community Forest Rights titles granted under the Forest Rights Act, 2006 in Chhattisgarh

S. No	District	Total Application Received	Titles distributed	% distributed	Rejected Applications	Pending Applications	Area of forest Land distributed (in Ha)	Average area of forest land distributed (ha)
1	Jagdalpur	2421	1890	78.1	531	0	491.159	0.26
2	Kondagoan	658	658	100	0	0	7721.45	11.73
3	Sukma	292	0	0	0	292	0	0.00
4	Dantewada	647	208	32.15	57	382	0	0.00
5	Bijapur	102	102	100	0	0	67.787	0.66
6	Kanker	761	262	34.43	499	0	418.94	1.60
7	Narayanpur	63	50	79.37	13	0	43.37	0.87
8	Dhamtari	471	224	47.6	247	0	359.06	1.60
9	Gariyaband	99	5	5.051	24	70	11.5	2.30
10	Balodabazar	0	0	0	0	0	0	0.00
11	Rajnandgaon	671	671	100	0	0	22908.215	34.14
12	Raigarh	90	79	87.78	0	11	183.8	2.33
13	Jashpur	206	69	33.50	137	0	30.765	0.45
14	Bilaspur	550	311	56.55	239	0	187.037	0.60
15	Korba	1526	0	0	765	761	0	0.00
16	Korea	644	605	93.94	39	0	5072.88	8.38
17	Mahasamund	0	0	0	0	0	0	0.00
18	Sarguja	1080	248	22.96	832	0	367.682	1.48
19	Balrampur	19	14	73.68	5	0	20.41	1.46
20	Surajpur	566	0	0	0	566	0	0.00
21	Balodabazar	129	55	42.64	74	0	38.02	0.69
22	Mungeli	51	50	98.04	1	0	40.793	0.82
23	Janjgir	0	0	0	0	0	.	0.00
24	Kwardha	89	89	100	0	0	6998.993	78.64
	<b>Total</b>	<b>11135</b>	<b>5590</b>	<b>50.2021</b>	<b>3463</b>	<b>2082</b>	<b>44961.861</b>	<b>8.04</b>

Source: Government of Chhattisgarh, February 2014

## Annexure 4

### Social Baseline Data

#### Demographic Profile

Both Madhya Pradesh and Chhattisgarh have a large population that belongs to the Scheduled Caste and Scheduled Tribes categories. The lists of the Scheduled Castes and the Scheduled Tribes are notified in respect of each State and Union Territory separately in pursuance of Articles 341 and 342 of the Constitution. These lists are State and Area specific and are valid only within the jurisdiction of that State and not outside. According to the Constitution (Scheduled Castes) Orders (Amendment) Act, 1990, Scheduled Castes can only belong to Hindu or Sikh or Buddhist religions. There is no religion bar in case of Scheduled Tribes.

#### Madhya Pradesh

As of 2011, the state had a total **population** of 72,597,565 (72.6 million), of which 72.37% resided in rural areas. Its population density was 236 per sq km, lower than the national average (382). Nevertheless, the population growth rate continues to be higher, at 20.36, as against 17.64 for India. Urbanisation is on the rise; the ratio of rural to urban population dropped from 37:13 in the year 2001 to 36:14 in 2011. As per the 2001 Census, the state had 24 Class I, 27 Class II and 155 other towns, and three cities with a population of over one million (Bhopal, Indore and Jabalpur).

Forty eight percent of the state's population is female. Although the **sex ratio** in M.P. shows a marginal improvement over the decade (from 919 in 2001 to 930 in 2011), the **child sex ratio** has declined alarmingly, from 965 in 2001 to 912 in 2011. The situation is particularly distressing in urban areas, where the child sex ratio is only 865. There are 24 districts (out of 50) with a sex ratio lower than the state average (930), and 9 districts below 900; among these, the lowest sex ratios are observed in the northernmost districts adjoining Uttar Pradesh, with Bhind (838), Morena (839) and Gwalior (862) comprising the bottom three. Since 2001, the situation has improved marginally in all the districts, except in Singrauli and Rewa (both in Rewa Division), which have seen a decline in sex ratio over the last decade. Sixteen of the state's districts are categorized as being 'gender critical'.

**Literacy rate** in the state is 70.6%; average **female literacy** is 60% and male literacy stands at 80.5%. The lowest female literacy rates are observed in Alirajpur (31%), Jhabua (34%), Barwani (43%) and Sheopur (44%) districts. These are also the districts with the lowest overall and male literacy percentages (except Sheopur, which reveals the highest incongruity between male (70%) and female (44%) literacy rates).

With over 21% population being ST, the state accounts for 14.7% of the country's ST population. More than 91 percent of the population is Hindu by religion, and 6.4% are Muslims; less than 1% is Jain, followed by small percentages of Christians (0.3), Buddhists (0.3) and Sikhs (0.2). The sex ratio, by religion, is lowest among Sikhs (882), followed by Hindus (918); Christians showed the most favourable sex ratio (996) (Census of India, 2001).

#### Chhattisgarh

Chhattisgarh is located in central highlands landscape in India and India, ranks 16<sup>th</sup> in terms of population with 25 million and 7<sup>th</sup> in terms of area in the country. The population density is about 191 which is below national average. The state has one of the highest mineral reserves in the country. The literacy rate in the state is about 71% with female literacy above 60% and male literacy 81%. The state comprises 27 districts (during the year 2012 Chhattisgarh state has created 9 new district) and 220 community development blocks, including 121 tribal development blocks. The local government is organized into

three tiers Panchayat Raj system with 27 Zila Panchayats and 146 Janpad Panchayats and 9193 Gram Panchayats.

Chhattisgarh has the highest percentage of Scheduled Tribe (ST) population within a state (30.6%) and accounts for about 7.5% of the total STs in India. Seven of the eighteen districts and 86 of the 146 health blocks have tribal concentration of more than 50 percent. The majority of the population of the state lives in rural areas which is about 76%. As per the census 2011 majority of the population belong the Hindu religion (98%) followed by 1% Muslims and 0.7% Christian making the state with highest population of Hindu in the world by state. The state has a reasonable female-male sex ratio which is 991 per 1000 males.

### Goa

Goa is the smallest state in India by area (3702 km<sup>2</sup>) and the fourth smallest in terms of population (1457723) located in the West region of India known as Konkan. Goa is India's richest state where the Gross State Domestic Product (GSDP) grew at around 10 percent between 2008-09 and 2010-11 but has slowed down to approximately 9 percent in 2011-12. Contribution of primary, secondary and tertiary sectors in the GSDP at constant (2004-05) prices is 10 percent, 38 percent and 52 percent respectively. Because of cultural and world heritage architecture in the state it is visited by number of international and nation tourist contributing much towards the GDP of the state. It shares Western Ghats features with respect to biodiversity and environment. The population growth rate of the state is about 14.9% per decade with the density of 363 people per sq.km. Goa is the state with highest proportion of urban population with 62.7% of the population living in urban areas. The literacy rate of Goa is over 87% and the sex ratio is 968 females to 1000 males. Goa also is the state with lowest proportion of Scheduled Tribes at 10.2% among the three project states. As per the census 2011 majority of the population belong the Hindu religion (65.7%) followed by 26.6% Christians and 6.8% Muslims. The socio-demographic details of the three participating states are in the below table.

Socio-Demographic Profile of Project States

S. No.	Characteristics	Unit	Chhattisgarh	Goa	Madhya Pradesh
1	Geographic Area	Sq. km	135,191	3,702	308252
2	State Capital	-	Raipur	Panaji	Bhopal
3	Districts	Number	18	2	51
4	Blocks	Number	188	15	394
5	Villages	Number	20180	397	55101
6	Total Population (2011)	Million	25.54	1.4	72.60
	Total Males	Million	12.83	0.74	37.61
	Total Females	Million	12.71	0.72	34.98
	Total Rural	Percent of total	76.8%	37.8%	72.4%
	Rural Male	Percent of Rural	50.0%	49.9%	51.7%
	Rural Female	Percent of Rural	50.0%	50.1%	48.3%
	Total Urban	Percent of total	23.2%	62.2%	27.6%
	Urban Male	Percent of Urban	51.1%	51.1%	52.2%

S. No.	Characteristics	Unit	Chhattisgarh	Goa	Madhya Pradesh
	Urban Female	Percent of Urban	48.9%	48.9%	47.8%
7	Population Sex Ratio	Females per 1000 males	991	968	930
8	Child Sex Ratio	Females per 1000 males (0 - 6 years)	964	920	918
9	Decadal growth rate	Percent	22.59	8.17	20.30
10	Population Density	Persons per sq km	189	394	236
11	Literacy Rate	Percent	71.04	87.40	69.32
12	Population of SC and ST	Percent of Total	43.4	11.9	36.7
	Scheduled Castes	Percent of Total	12.8	1.7	15.6
	Scheduled Tribes	Percent of Total	30.6	10.2	21.1
13	BPL Population	Percent of Total	44.61	6.81	35.74

### ***Income, Occupation and Dependence on Natural Resources***

Madhya Pradesh and Chhattisgarh are both predominantly rural states, and most of the population in the two states continues to depend on agriculture and natural resource use for its sustenance.

Median Household and Per Capita Incomes – Rural and Urban – by State (Annual)

States	Household Income (Rs)			Per Capita Income (Rs)		
	Rural	Urban	Total	Rural	Urban	Total
Madhya Pradesh	18,025	33,700	20,649	3,530	6,328	4,125
Chhattisgarh	21,900	59,000	23,848	4,800	12,000	5,306
Maharashtra, Goa (combined)	24,700	64,600	38,300	5,337	14,000	7,975
All India	22,400	51,200	27,857	4,712	11,444	5,999

Source: IHDS Survey, 2004-05

In terms of income by social categories, Dalit and Adivasi households have the lowest incomes, followed by OBC and Muslim households (IHDS, 2005).

### ***Occupation and dependence on natural resources***

#### ***Madhya Pradesh***

There are large areas of cultivable wastes and fallow lands, and agricultural holdings are fragmented. According to the Agriculture Census (2000-01), there were 73.60 lakh operational holdings in the state of which 38.6% and 26.5% are marginal and small holdings respectively, and account for 8.5% and 17.3% of area. The number of small and marginal (S&M) landholdings has been increasing with division of family-owned farmland among the male heirs; from 39.3 lakh S&M farmers in 1995-96, the number increased to 47.9 lakhs in 2000-01. The average landholding size of marginal and small farmers declined

from 0.91 to 0.88 hectare over this period, against an average holding size of 2.22 hectare in the state (GoMP, 2011; PACS website<sup>8</sup>).

While the contribution of agriculture and allied activities in the state domestic product has been declining, and stands at less than twenty five percent, more than two-thirds of its population still subsists on it. Agriculture in the state is still traditional and mostly rain fed (74%). There is high proportion of “low value” crops with low productivity. As per the IHDS (2005) survey, 60% households in M.P. have some form or the other of cultivation, and the median farm income (cultivation and livestock combined) of a household in MP was ` 11,200. Compare this with the average loan taken by a cultivator family ( ` 12,246), and the average amount of outstanding loan per marginal farmer household ( ` 5,253) (GoMP, 2007), and it is evident that cultivators are operating under extremely precarious financial conditions.

The greatest dependence on forests is for fire wood for cooking. As per the latest estimates (Census2011), 80% of all households in Madhya Pradesh and 91% in Chhattisgarh depend on firewood, crop residue, dung cakes, charcoal, etc. as their primary source of fuel for cooking. Data for Chhattisgarh reveals that 92% of all rural households use firewood as their primary source of fuel for cooking. The percentages are higher for Scheduled Tribes (97%) and other traditional forest dwellers.

### **Economic Poverty and Human Development Indices**

#### ***Madhya Pradesh***

As per Planning Commission estimates based on “Report of the Expert Group to Review the Methodology for Estimation of Poverty, November 2009” using 61st round of NSSO data (2004-05), the State had the fourth highest percentage of poor households among 15 non-special category states in the year 2004-05, next only to Orissa, Bihar and Chhattisgarh. The incidence of poverty in rural areas was more than that of urban areas. In 2004-05, the percentage of population living below poverty line in rural areas was 53.6 as against 35.1 for urban areas. The **overall poverty** in the state increased from 44.6 % in 1993-94 to 48.6 % in 2004-05. In all, 43.97 lakh rural and 10.40 lakh urban households were living below poverty line in the state (GoMP, 2011)

According to the IHDS survey<sup>9</sup> (based on 2004-05 primary data on incomes), 45.5 percent of all households in the state are categorised as ‘poor’; the mean household income per annum was ` 36,152 and mean consumption ` 39,206.

The **incidence of poverty** is highest among the STs in rural areas (80%), followed by SCs in rural areas (63%). The poverty Head Count Ratio for different social categories, in rural and urban areas of the state, is as shown in the following table.

#### Incidence of poverty in Madhya Pradesh

##### Head Count Ratio (Percentage)

Social Classes	Rural	Urban	All
Scheduled Tribe	80.02	42.60	77.02
Scheduled Caste	62.55	59.65	61.88
Other Backward Classes	44.68	46.95	45.26
General	22.89	14.56	18.79
All	53.59	35.06	48.59

Source: GoMP, 2011

<sup>8</sup> <http://www.pacsindia.org/news-articles/livelihoods-opportunities-threats-madhya-pradesh>

<sup>9</sup> [http://ihds.umd.edu/IHDS\\_files/02HDinIndia.pdf](http://ihds.umd.edu/IHDS_files/02HDinIndia.pdf)

According to estimates based on the NSSO survey (2004-05), between 55 and 63 per cent of the population in MP suffer from 'food-inadequacy'. As per the NFHS-3 data, the state has 26.8% severe malnourished persons.

On the Global Hunger Index (2008), India obtained a score of 23.7, gaining the dubious distinction of being the only emerging economy falling within the lowest ranking 20 countries (lower even than Nepal, Pakistan, Rwanda and Cambodia). The India State Hunger Index<sup>10</sup>, which was calculated using the same methodology as for GHI, found the situation in Madhya Pradesh "extremely alarming", with a score of 30.9 (ranking 82<sup>nd</sup> out of 88 on the GHI 2008 country rankings). M.P. is the only state in the country that falls within this category, faring worse than the neighbouring states of Chhattisgarh and Orissa.

### ***Chhattisgarh***

The average GDP growth between 2004-05 and 2011-12 was about 15.0 percent. In 2011-12, the tertiary sector contributed the highest to Chhattisgarh's GDP, at current prices, at 36.7 percent. It was followed by the secondary sector, contributing 32.8 per cent and the primary sector, contributing 30.5 percent. The total agri-commodities in 2010-11 stood at 75.8 lakh MT, with paddy alone constituting for 80% of this produce.

As of 2011 the state had an HDI value of 0.358 which is lowest of any other state in India. It has one of the lowest standards of living in India as per the income index (0.127) along with the other neighboring states. In Chhattisgarh, the estimated poverty ratio in 2004-5 based on uniform reference period consumption is around 50%.

### ***Scheduled Tribes and Other Vulnerable Communities***

The ST population of Madhya Pradesh and Chhattisgarh is 21.1% and 30.6% respectively (Census 2011). There are 6 and 7 districts with greater than 50% ST population in MP and CGH; and 13 and 6 districts with between 25-50% ST population respectively. The total population of PTGs (Particularly Vulnerable Tribal Groups) (see Table below) in the two states (as of 2001) was 785,720.

List of PVTGs in MP and Chhattisgarh

S. No	Name
1	Abujh Maria
2	Baiga
3	Bharia
4	Birhor
5	Hill Korwa
6	Kamar
7	Sahariya

Scheduled Tribes (ST) and Scheduled Castes (SC) are not only officially designated social categories, but they frequently define and determine the social status of individuals, families and entire communities; their social and economic relationships with other castes and communities; and their political representation in policy, governance and other decision-making bodies.

<sup>10</sup> The India State Hunger Index is computed by averaging the three underlying components of the hunger index. viz., the proportion of underweight children, the under-five mortality rate (expressed as a percentage of live births), and the prevalence of calorie under nutrition in the population (IFPRI, 2008)



Gender Empowerment Measure (GEM), which is intended to measure women's and men's ability to participate actively in economic and political life and their command over economic resources, focuses on opportunities and captures gender inequality in three key areas: 'Political Participation and Decision-making Power', 'Economic Participation and Decision-making Power' and 'Power over Economic Resources'. The aggregate score for GEM for India was 0.497 in 2006 and 0.416 in 1996. In comparison, MP's GEM in the year 2006 was 0.463; Chhattisgarh was 0.464, and Goa 0.551. The All-India and state scores on different dimensions of HDI, GDI and GEM are provided in the table below.

HDI, GDI and GEM of MP, Chhattisgarh and Goa vis-à-vis India (1996 and 2006)

<b>HDI</b>	<b>Year 2006</b>				<b>Year 1996</b>			
Dimension	HI 06	EdI 06	YI 06	<b>HDI 06</b>	HI 96	EdI 96	YI 96	<b>HDI 96</b>
All-India	0.577	0.506	0.730	0.605	0.490	0.429	0.671	0.530
MP	0.461	0.470	0.656	0.529	0.340	0.371	0.589	0.433
Chhattisgarh	0.523	0.429	0.696	0.549	0.393	0.371	0.589	0.451
Goa	0.792	0.654	0.845	0.764	0.735	0.629	0.764	0.709
<b>GDI</b>	<b>Year 2006</b>				<b>Year 1996</b>			
Dimension	HI 06	EdI 06	YI 06	<b>GDI 06</b>	HI 96	EdI 96	YI 96	<b>GDI 96</b>
All-India	0.573	0.494	0.702	0.590	0.490	0.409	0.643	0.514
MP	0.457	0.451	0.641	0.516	0.340	0.335	0.576	0.417
Chhattisgarh	0.524	0.413	0.688	0.542	0.392	0.335	0.576	0.434
Goa	0.792	0.652	0.797	0.747	0.733	0.627	0.711	0.691
<b>GEM</b>	<b>Year 2006</b>				<b>Year 1996</b>			
Dimension	PI	EI	PoERI	<b>GEM 06</b>	PI	EI	PoERI	<b>GEM 96</b>
All-India	0.625	0.546	0.319	0.497	0.573	0.443	0.231	0.416
MP	0.632	0.531	0.225	0.463	0.622	0.430	0.167	0.406
Chhattisgarh	0.590	0.495	0.309	0.464	0.622	0.430	0.168	0.407
Goa	0.494	0.697	0.463	0.551	0.458	0.638	0.387	0.494

Note:

**HI** is the Index of 'A long and healthy life' based on Infant Mortality Rate and Life Expectancy at age 1;  
**EdI** is the Index of 'Knowledge' based on 7+ Literacy Rate and Mean Years of Education for 15+ age group;  
**YI** is the Index of 'A decent standard of living' based on Earned Income and  
**HDI** is the 'Human Development Index'  
**GDI** is the 'Gender Development Index'  
**PI** = Index of 'Political Participation & Decision-making Power';  
**EI** = Index of 'Economic Participation and Decision-making Power';  
**PoERI** = Index of 'Power over Economic Resources'; and  
**GEM** = Gender Empowerment Measure

Whereas the deprivation suffered by women is partially captured by the glaring gaps in statistical indicators (sex ratio, literacy rates, health and nutrition indicators, and so on), the **gender dimension of poverty** is more evident in the wage differentials, and ownership of land and other productive assets. The implicit gender inequalities however, are located in the household and harder to capture in statistics. Intra-household inequalities that exacerbate the impact of poverty on women result from a patriarchal system where there is unequal distribution of resources/ lack of inheritance rights; control of decision-making; unfair and unequal distribution of work, drudgery, and food, including between male and female children. Women from all economic categories of households may suffer from severe deprivation on account of these factors. Women are therefore found in higher concentrations at the low-paying end of the market – their unequal situation in the labour market is linked to their increasing poverty.

### **Village Community Institutions for Forest Protection and Management**

Joint Forest Management Committees (JFMCs) and Forest Protection Committees (FPCs) have been constituted in both states following the GoI's JFM Resolution of 1990, and subsequent passage of supporting executive orders by the respective state governments. The constitution of JFMCs and FPCs is guided by the state government's JFM resolutions (for example, in M.P., by gazette notification F-16-4-91-Ten-2, dated October 22, 2001, and amended June 25, 2011). Most works carried out through JFMCs have received funding support under the National Afforestation Programme (NAP) of the National Afforestation and Eco-development Board (NAEB).

Eco-Development Committees (EDCs) are created in the fringe/ buffer zones of Protected Areas (sanctuaries and national parks), and their primary purpose is to link livelihood gains for local populace with improved protection and conservation measures.

The federation of all JFMCs within a Division is the Forest Development Agency, which has the concerned Divisional Forest Officer as the Member-Secretary cum Chief Executive Officer and the Conservator of Forests as the Chairperson. The rationale behind formation of FDAs (during the Tenth Five Year Plan) was to facilitate multi-sectoral convergence and development of forest- and forest-fringe villages through creation of a mechanism that enabled flow of funds directly to the JFMCs for forestry activities, and facilitated engagement with other developmental departments on a regular basis. However, the second objective (of enabling convergence) has been far from achieved.

Ex-officio members of the Executive Committee of the FDA include the District Development Officer, District level Officers of Agriculture, Rural Development, Animal Husbandry, Soil Conservation, Tribal Welfare, Industries, Public Health & Engineering, and Education Departments, ADM/AC as nominated by the DC/DM, one non-official representative nominated by the Zilla Parishad, and 15 nominees from JFMCs, including at least 7 women. The General Body of the FDA consists of Presidents of not more than 50 JFMCs in the Division, including at least 20 women, one non-official member nominated by the Zilla Parishad, Range Forest Officers and ACFs/SDFOs.

The two-tier structure of JFMCs and FDAs, established for implementation of the NAP, is however not clearly understood even by the state forest department officials (at the field level), and the FDA Executive Committee seldom functions as a decision-making or a liaisoning hub for development of villages situated inside or on the periphery of forests.

### **Forest Rights Act implementation and formation of FRCs**

The Scheduled Tribes and Other Traditional Forest Dwellers' (Recognition of Forest Rights) Act (FRA) came into being with approval of the Parliament of India in the year 2006. As stated in the preamble to the Act, the purpose of this legislation was to undo the 'historical injustice' done to tribal and other traditional forest dwelling communities in the process of settlement of land rights. Rules for implementation of the FRA were brought out by the GoI in January 2008.

Implementation of the FRA in Madhya Pradesh and Chhattisgarh began in February/March 2008. Barring a few areas, Forest Rights Committees were formed at the revenue village level or the Gram Panchayat level, even though state's Panchayati Raj Acts provides for Habitation level Gram Sabhas in Scheduled areas. In Chhattisgarh, a few Scheduled Areas hamlet-level Gram Sabhas were allowed to function after they applied for recognition. In many areas, existing JFM Committees – JFMCs and Forest Protection Committees - were converted to Forest Rights Committees. Out of 85 blocks in the state, at least 40 blocks are affected by left-wing extremism, and this has slowed down the pace of implementation of Forest Rights Act. In the course of field consultations, it was understood that there is little awareness about the Forest Rights Act, 2006, particularly about the possibility of obtaining community forest rights titles under the Act. Further, it was learnt from Forest Department officials that *suo moto* titles have been granted to JFMCs in some instances; however, the concerned JFMC representatives were unaware of these developments, or/and consequently the rights that accrued to them under the FRA, 2006. The status

of individual and community titles claimed and obtained in the two states of MP and Chhattisgarh is as shown in the following table. Goa has not distributed any titles so far.

*State wise details of claims received, titles distributed and the extent of forestland for which titles distributed (individual and community), as on 30.06.2013*

State	No. of claims received		No. of titles distributed		Number of claims rejected	Extent of forest land for which titles distributed (in acres)	
	Individual	Community	Individual	Community		Individual	Community
Chhattisgarh	487,332	4,736	214,668	775	272,664	536,303.69	1772.69 (for 250 titles only)
Madhya Pradesh	463,818	16,682	166,496 (further 9,008 ready for distribution)	9,408	277,731 (ST-42.87%) (OTFD-95.78%)	693,986.42	

More recent statistics from Chhattisgarh indicate that a total of 5,590 CFR titles have been distributed in the state (see Annexure 5 for district-wise statistics), covering a total area of 44,962 ha. The distributed titles represent 50% of the total claims made.

The Madhya Pradesh government has recently (in April 2014) taken a decision during a meeting of the State-Level Monitoring Committee to constitute Wildlife, Forest and Biodiversity Committees under the FRA. This is to be done under Section 3(1)(i) of the Act in accordance with 4(e) of the FRA Rules, by recasting the existing Joint Forest Management Committees accordingly. This is to be done by getting the Gram Sabha to pass a resolution in the presence of a senior official from the Revenue or other department nominated as Nodal Officer for the exercise.

*List of Scheduled Tribes in Madhya Pradesh and Chhattisgarh*

- As per The Scheduled Castes and Scheduled Tribes orders (Amendment) Act, 2002
- In the Constitution (Scheduled Tribes) order 1950
- In PART VIII- Madhya Pradesh, Omit " entries 21, 32 and 39

1.	Agariya	21.	(Omitted)
2.	Andh	22.	Khairwar, Kondar
3.	Baiga	23.	Kharia
4.	Bhaina	24.	Kondh, Khond Khand
5.	Bharia Bhumia, Bhuinhar Bhumia, Bhumiya, Bharia, Paliha, Pando	25.	Kol
6.	Bhattra	26.	Kolam
7.	Bhil, Bhilala, Barela, Patelia	27.	Korku Bopchi, Mouasi, Niha, Nahul Bodhi, Bondeya
8.	Bhil Mina	28.	Korwa, Kodaku
9.	Bhunjia	29.	Majhi
10.	Biar, Biyar	30.	Majhwar
11.	Binjhwar	31.	Mawasi
12.	Birhul, Birhor	32.	Omitted
13.	Damor, Damaria	33.	Munda
14.	Dhanwar	34.	Nagesia, Nagasia
15.	Gadaba, Gadba	35.	Oraon, Dhanka, Dhangad
16.	Gond; Arakh, Arrakh, Agaria, Asur, Badi Maria, Bada Maria, Bhatola, Koliabhuta, Koliabhuti, Bhar, Bisonhorn Maria, Chota Maria, Dandami Maria, Dhuru, Dhurwa, Dhoba, Dhulia, Dorla, Gaiki, Gatta, Gatti, Gaita, Gond Gowari, Hill Maria, Kandra, kalanga, Khatola, koitar, Koya, Khirwar, Khirwara, Kucha Maria, Kuchki Maria, Madia, Maria, Mana, Mannewar, Moghya, Mogia, Monghya, Mudia, Muria, Nagarchi, Nagwarshi, Ojha, Raj Gond, Sonjhari Jhareka, Thatia, Thotya, Wade Maria, Vade Maria, Daroi	36.	Panika (In(i) Chhatarpur, Pan: Satna, Shahdol, Umaria, Sidhi and Tikamgarh districts, and (ii) Sev Datia district)
		37.	Pao
		38.	Pardhan, Pathari, Saroti
		39.	Omitted
		40.	Pardhi, Bahelia, Bahellia, Chita Pardhi, Langoli Pardhi, Phans Par Takia (In (i) Chhindwara, Mandla, Dindori and Seoni districts, (ii) Ba District, (iii) Betul, Bhainsdehi and Shahpur tahsils of Betul distri Sihora and Majholi blocks of Jabalpur district, (v) Katni (Murwara) tahsils and Bahoriband and Dhemerkheda blocks of Katni distri Babai, Sohagpur, Pipariya and Bankhedhi tahsils and Kesla block of (vii) narsinghpur district, and (viii) Harsud Tahsil of Khandwa distric
		41.	Parja
		42.	Sahariya, Saharia, Sehar, Sehar, Sosia, sor
17.	Halba, Halbi	43.	Saonta, Saunta
18.	Kamar	44.	Saur
19.	Karku	45.	Sawar, Sawara
20.	Kawar, Kanwar, Kaur, Cherwa, Rathia, Tanwar, Chatri	46.	Sonr

Table 30 List of Scheduled Tribes in Madhya Pradesh

PART IX.— Madhya Pradesh	
1. Audhelia	28. Kanjar
2. Bagri, Bagdi	29. Katia, Patharia
3. Bahna, Bahana	30. Khatik
4. Balahi, Balai	31. Koli, Kori
5. Banchada	32. Kotwal (in Bhind, Dhar, Dewas, Guna, Gwalior, Indore, Jhabua, Khargone, Mandas Morena, Rajgarh, Ratlam, Shajapur, Shivpuri Ujjain and Vidisha Districts)
6. Barahar Basod	33. Khangar, Kanera, Mirdha
7. Bargunda	34. Kuchbandhia
8. Basor, Burud, Bansor, Bansodi, Bansphor, Basar	35. Kumar (in Chhatarpur, Datia, Panna, Rewa, Satna, Shahdol, Sidhi and Tikamgarh district
9. Bedia	<sup>1</sup> [36. Mahar, Mehra, Mehar, Mahara]
10. Beldar, Sunkar	37. Mang, Mang Garodi, Mang Garudi, Dankha Mang, Mang Mahasi, Madari, Garudi, Radh Mang
11. Bhangi, Mehtar, Balmiki, Lalbegi, Dharkar	38. Meghwal
12. Bhanumati	39. Moghia
13. Chadar	40. Muskhan
14. Chamar, Chamari, Bairwa, Bhambhi, Jatav, Mochi, Regar, Nona, Rohidas, Ramnami, Satnami, Surjyabanshi, surjyarnami, Ahirwar, Chamar, Mangan, Raidas	41. Nat, Kalbelia, Sapera, Navdigar, Kubutar
15. Chidar	42. Pardhi (in Bhind, Dhar, Dewas, Guna, Gwalior, Indore, Jhabua, Khargone, Mandas Morena, Rajgarh, Ratlam, Shajapur, Shivpuri Ujjain and Vidisha Districts)
16. Chikwa, Chikvi	43. Pasi
17. Chitar	44. Rujjhar
18. Dahait, Dahayat, Dahat	45. Sansi, Sansia
19. Dewar	46. Silawat
20. Dhanuh	47. Zamral
21. Dhed, Dher	<sup>3</sup> [48. Sargara]
22. Dhobi (in Bhopal, Raisen and Sehore district)	
23. Dohor	
24. Dom, Dumar, Dome, Domar, Doris	
25. Ganda, Gandhi	
26. Ghasi, Ghasia	
27. Holiya	

*Schedule V Areas in Madhya Pradesh*

Districts that are fully under Schedule V	Districts that are partially under Schedule V	
	District	Blocks, tehsil, village
1. Jhabua	5. Dhar	Sardarpur, Dhar, Kukshi, Dharamपुर, Gandhwani and Manawar tahsils
2. Mandla	6. West Nimar (Khargone)	Bhagwanपुर, Segaon, Bhikangaon, Jhirniya, Khargone and Meheshwar Tahsils
3. Dindori	7. East Nimar (Khandwa)	Khalwa Tribal Development Block of Harsud tahsil and Khaknar Tribal Development Block of Khaknar tahsil
4. Barwani	8. Ratlam	Sailana and Bajna tahsils
	9. Betul	Betul tahsil (excluding Betul Development Block) and Bhainsdehi and Shahpur tahsils
	10. Seoni	Lakhanadone, Ghansaur and Kurai tahsils
	11. Balaghat	Baihar tahsil
	12. Hoshangabad	Kesla Tribal Development Block of Itarsi tahsil
	13. Sidhi	Kusmi Tribal Development Block in Kusmi tahsil
	14. Shahdol	Pushparajgarh, Anuppur, Jaithari, Kotma, Jaitpur, Sohagpur and Jaisinghnagar tahsils
	15. Umariya	Pali Tribal Development Block in <i>Pali tahsil</i>
	16. Sheopur	Kusmi Tribal Development Block in <i>Kusmi tahsil</i> , Karahal Tribal Development Block in <i>Karahal tahsil</i>
	17. Chhindwara	<ul style="list-style-type: none"> <li>• <i>Tamia and Jamai tahsils</i></li> <li>• Patwari circle Nos. 10 to 12 and 16 to 19; villages Siregaon Khurd and Kirwari in Patwari circle No. 09; villages Mainawari and Gaulie Parasia of Patwari circle No. 13 in <i>Parasia tahsil</i></li> <li>• Village Bamhani of Patwari circle No. 25 in <i>Chhindwara tahsil</i></li> <li>• Harai Tribal Development Block and Patwari circle Nos. 28 to 36, 41,43,44 and 45 B in <i>Amarwara tahsil</i></li> <li>• <i>Bichhua tahsil</i></li> <li>• Patwari circle Nos. 05, 08, 09, 10, 11 and 14 in <i>Saunsar tahsil</i></li> <li>• Patwari circle Nos. 01 to 11 and 13 to 26, and Patwari circle No. 12 (excluding village Bhuli); village Nandpur of Patwari circle No. 27; village Nilkanth and Dhawdikhapa of Patwari circle No. 28 in <i>Pandurna tahsil</i></li> </ul>

*Schedule V Areas in Chhattisgarh*

Districts that are fully under Schedule V	Districts that are partially under Schedule V (Blocks, tehsil, etc.)	
	District	Blocks, tehsil, village
1. Surguja	8. Bilaspur	Marwahi, Gorella -1, Gorella - 2 Tribal Development Blocks and Kota Revenue Inspector Circle
2. Korba	9. Raigarh	Dharmjaigarh, Gharghoda, Tamnar, Lailunga and Kharsia Tribal Development Blocks
3. Bastar	10. Durg	Dondi Tribal Development Block
4. Dantewada	11. Rajnandgaon	Chauki, Manpur and Mohla Tribal Development blocks
5. Kanker	12. Raipur	Gariaband, Mainpur and Chhura Tribal Development Blocks (now in Gariaband district)
6. Korba	13. Dhamtari	Nagri (Sihawa) Tribal Development Block
7. Jashpur		

**Annexure 5**

**Applicable Laws, Regulations and Bank Policies**

*Operational Policy and Directives of World Bank*

<b>Policy</b>	<b>Key Features</b>	<b>Applicability to this project</b>
OP/BP 4.01 Environmental Assessment	<p>Potential environmental consequences of projects identified early in project cycle.</p> <p>Assessment and mitigation plans required for projects with significant environmental impacts</p>	<p>Applicable</p> <p>While the project is likely to result in overall positive impact through increased carbon sequestration, enhanced ecosystem services flows and conservation of endangered biodiversity, some specific activities may have adverse environmental impacts if not implemented with due caution. Activities that would require mitigation action may include piloting biological control methods of managing invasive species, developing sustainable NTFP harvesting models, etc.</p>
OP/BP 4.04 Natural Habitats	<p>Prohibits financing of projects involving "significant conversion of natural habitats unless there are no feasible alternatives".</p> <p>Establishes limits on Bank financed projects that may impact areas with high degrees of plant and animal species and that have not been essentially modified by human activity.</p>	<p>Applicable.</p> <p>The project would work in locations with significant natural habitats and some activities would be carried out within the natural habitats. However, these activities are likely to yield positive outcomes, as their objective is to improve ecosystem services and conserve biodiversity. Activities would not be carried out within the designated protected areas.<sup>12</sup></p>
OP/BP 4.36 Forestry	<p>Prohibits financing for commercial logging operations or acquisition of equipment for use in primary moist tropical forests.</p> <p>Project supporting community based forest management and development then following things should be accounted: the extent to which local livelihood of local communities depend; institutional, policy and conflict management issues involved in improving the participation of indigenous peoples and forest product and services issues relevant to indigenous peoples.</p> <p>In case of projects involves forest restoration or plantation development then the project</p>	<p>Applicable</p> <p>Bulk of the project investments are aiming to enhance forest quality and introduce sustainable forest management practices to improve ecosystem services. The forests would include common forestlands, village forests, reserved forests, and forest areas under Territorial Forest Divisions. However, no investments would be made in forests inside the protected areas.</p>

<sup>12</sup> See **Error! Reference source not found.**

Policy	Key Features	Applicability to this project
	<p>design should incorporate following things such as: potential of forest restoration to improve biodiversity, ecosystem functions, potential to plantation in non-forest lands, avoid conversion or degradation of natural habitats.</p>	
<p>OP 4.09 Pest Management</p>	<p>Supports environmentally sound pest management, including integrated pest management, but does not prohibit the use of highly hazardous pesticides.</p> <p>Pest management is the borrower's responsibility in the context of a project's EA.</p>	<p>Not Applicable</p> <p>Since all project investments are not yet finalized, an Environmental Assessment would determine whether this policy would be triggered. Some agro-chemicals may be used in fodder development, but pesticides are unlikely to be procured under the project.</p>
<p>OP/BP 4.12 Involuntary Resettlement</p>	<p>Establishes standards and procedures for projects that displace people from their homes or cause economic displacement due to loss of land, buildings, or sources of income</p> <p>Requires public participation in resettlement planning as part of SA for project.</p> <p>Intended to restore or improve income earning capacity of displaced populations.</p>	<p>Not Applicable</p> <p>The project does not involve appropriation/acquiring of land for any of the proposed interventions. The project would also not accept voluntary land donation at an individual level. The project, may, however, influence and introduce biodiversity compatible land use on private landholdings. It may result into developing Community Reserves on Panchayat or village common lands through establishing Conservation Agreements/ Easements or maintaining biodiversity friendly land use through Payment for Ecosystem Services (PES) route. The project would not involve any access restrictions in designated parks and reserves, and any regulation of resource use in non-park area would be through participatory, community-adopted decisions. Individual landholders may participate in such innovative schemes on a voluntary basis. However, none of these would include transfer or change of land ownership or tenurial rights. A social impact assessment would be undertaken to identify any potential issue that could result in triggering of this policy.</p>

Policy	Key Features	Applicability to this project
OP/BP 4.10 Indigenous Peoples	<p>Purpose is to ensure indigenous peoples benefit from Bank financed development and to avoid or mitigate adverse effects on indigenous peoples.</p> <p>Applies to projects that might adversely affect indigenous peoples or when they are targeted beneficiaries.</p> <p>Requires participation of indigenous peoples in creation of “indigenous peoples development plans”.</p>	<p>Applicable.</p> <p>The project would be implemented in many tribal areas and would require a specific social assessment to identify and analyze issues related to tribal communities in relation to the project activities. This would help prepare a tribal development strategy which would be applied during project implementation.</p>
OP/BP 4.11 Physical Cultural Resources	<p>Requires Bank projects to avoid damage to and assist in the preservation of cultural property, such as sites having archaeological, paleontological, historical, religious and unique cultural values</p> <p>Generally seeks to assist in their preservation and avoid their elimination.</p> <p>Discourages financing of projects that will damage cultural property.</p>	<p>Not Applicable</p> <p>The project would not impact any physical and cultural resources.</p>
OP/BP 4.37 Safety of Dams	<p>Applies to large dams (15 meters or more in height).</p> <p>Requires review by independent experts throughout project cycle.</p> <p>Requires preparation of EA and detailed plans for construction and operation, and periodic inspection by the Bank.</p>	<p>Not Applicable</p>
OP/BP 7.50 Projects on International Waterways	<p>Covers riparian waterways that form boundary between two or more states, as well as any bay, gulf, strait or channel bordered by two or more states.</p> <p>Applies to dams, irrigation, flood control, navigation, water, sewage and industrial projects.</p> <p>Requires notification, agreement between states, detailed maps, feasibility surveys.</p>	<p>Not Applicable</p>
OP/BP 7.60 Projects in Disputed Areas	<p>Applies to projects where there are territorial disputes present.</p> <p>Allows Bank to proceed if governments agree to go forward without prejudice to claims.</p> <p>Requires early identification of territorial disputes and descriptions in all Bank documentation.</p>	<p>Not Applicable</p>

*Environmental and Social Policies of Central and State Governments*

S. No.	Relevant Policy	Scope of the Policy	Implications for the ESMF
1	National Forest Policy, 1988	<ul style="list-style-type: none"> <li>▪ Emphasises meeting the requirements of rural and tribal populations of fuel wood, fodder, minor forest produce and small timber, efficient utilisation of forest produce and maximizing substitution of wood</li> <li>▪ Restraining non-forest based industry, except village or cottage level, from exploiting in order to assure the availability of forest in the future.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Relevant to planning and implementation of project activities</li> </ul>
2	Joint Forest Management Policy, 1993	<ul style="list-style-type: none"> <li>▪ Encourages people's participation in forest management, cost and benefit-sharing mechanism of interventions carried out on common property resources, degraded forest lands, wastelands, etc.</li> <li>▪ Benefits are categorized into two – ecological benefits and economic benefits</li> </ul>	<ul style="list-style-type: none"> <li>▪ Relevant to project activities.</li> <li>▪ Relevant if employment generation for resettlement and rehabilitation are taken up in villages near forests.</li> </ul>
3	National Environment Policy, 2006	<ul style="list-style-type: none"> <li>▪ To protect and conserve critical ecological system and resources and to ensure equitable access to these resources for communities which are dependent on these resources for their livelihood.</li> </ul>	<p>Applicable</p> <ul style="list-style-type: none"> <li>▪ The project promotes conservation and sustainable use of land, forests and biomass</li> <li>▪ The project addresses the issue of awareness generation and mitigation measures</li> </ul>
4	EIA Notification of MoEF 2006	<ul style="list-style-type: none"> <li>▪ All projects listed under Schedule-I of the Notification require environmental clearance from the MoEF. The list of project categories under Schedule I of the Environmental Impact assessment Notification is available on the MoEF Website</li> </ul>	<ul style="list-style-type: none"> <li>▪ Not relevant to project activities.</li> </ul>
5	Plant quarantine order (Regulation of import into India), 2003	<ul style="list-style-type: none"> <li>▪ The order regulates the import and prohibition of import of plants and plant products in India. There are 15 clauses describing various aspects and conditions of import of agricultural articles into India.</li> </ul>	<p>Relevant to the project component dealing with biological control of invasive species infestation. The project also aims to control invasion of alien species</p>
6	National Forest Commission, 2006	<ul style="list-style-type: none"> <li>▪ To meet the subsistence requirements of the forest-fringe communities for fuel wood, fodder, small timber and non-wood forest products through a system that ensures prevention of further degradation of the well-stocked areas and regeneration of the degraded areas</li> <li>▪ To meet the market requirements, including the needs of forest-based</li> </ul>	<p>Relevant to project processes pertaining to planning and management of interventions</p>

S. No.	Relevant Policy	Scope of the Policy	Implications for the ESMF
		industries, through increased productivity of the existing forests and expansion of forest and tree cover by encouraging investment by all stakeholders, especially in private land holdings	
State Policies: Madhya Pradesh			
7	Madhya Pradesh State Forest Policy, 2005		
8	Madhya Pradesh Nistar Policy, 1994	Rights of local communities to collection of firewood, bamboo, <i>nistari</i> construction timber, thorns, and grazing of cattle in forest areas under management of state forest department	
9	Madhya Pradesh State JFM Resolution, 2001 (amended 2002)		
10	The Madhya Pradesh Laghu Van Upaj (Gram Sabha ko Swamitwa ka Sandan) Vidheyak, 1999	An Act to endow the ownership rights of Minor Forest Produce found on public land in the Gram Sabha area to the Gram Sabhas	Applicable  Project interventions on NTFP management
11	Madhya Pradesh Van Upaj Rules		

*Laws and Regulations of Central and State Governments in Project Areas*

S. No.	Relevant Act	Scope of the Act	Implication for the ESMF
1	The Indian Forest Act, 1927	<ul style="list-style-type: none"> <li>▪ Provides three categories of managed forest-reserved, village and protected forests</li> <li>▪ Laws relating to forests (Reserved, Protected, Village forests and other), their management, forest produce, and transit of forest produce</li> </ul>	Planning and implementation of project interventions within the ambit of this Law
2	The Ancient Monuments, Archaeological sites and Remains Act, 1958	<ul style="list-style-type: none"> <li>▪ The Ancient Monuments and Archaeological sites should be protected from any developmental activity. The area within the radial of 100 m and 300m from the Protected Property are designated as Protected Area and Controlled Area respectively. No development activity (including building, mining, excavating, blasting etc.) is permitted in the Protected Area and developmental activities likely to damage the protected property are not permitted in the Controlled Area without prior permission of the Archaeological</li> </ul>	<ul style="list-style-type: none"> <li>▪ Deals with Cultural safeguards – generally not applicable</li> </ul>

S. No.	Relevant Act	Scope of the Act	Implication for the ESMF
		Survey of India.	
3	Water and Air (Prevention and Control of Pollution) Act, 1974 & 1981 (Central Act 6 of 1974) as amended in 1988	<ul style="list-style-type: none"> <li>▪ This Act prohibits the discharge of pollutants into water bodies beyond a given standard and lays down penalties for noncompliance.</li> <li>▪ Water act includes the maintenance or restoring the wholesomeness of the water</li> <li>▪ Air act restricts the operation of any industrial plant in an air pollution control area without a valid consent</li> </ul>	<ul style="list-style-type: none"> <li>▪ Generally not relevant to project activities.</li> </ul>
4	Forest (Conservation) Act No. 69 of 1980 and amended in 1988	<ul style="list-style-type: none"> <li>▪ This Act restricts the powers of the state in respect of de-reservation of forests and use of forestland for non-forest purposes.</li> <li>▪ All diversions of forestlands to any non-forest purpose, even if the area is privately owned, require approval of the central government</li> <li>▪ Leases of forest land to any organization or individual require approval of the central government</li> <li>▪ Proposals for diversion of forest land for construction of dwelling houses are not to be entertained</li> </ul>	<ul style="list-style-type: none"> <li>▪ Generally not relevant to project activities as diversion of forest lands for other purposes is not foreseen</li> </ul>
4	The Environment (Protection) Act No.29 of 1986 Amended 1991	<ul style="list-style-type: none"> <li>▪ Under this Act, the central government is empowered to take measures necessary to protect and improve the quality of the environment by setting standards for emissions and discharges; regulating the location of industries; management of hazardous wastes, and protection of public health and welfare.</li> <li>▪ This encompasses all legislations providing for the protection of environment in the country.</li> <li>▪ It includes the power to direct the closure, prohibition or regulation of any industry, operation or process by the government</li> </ul>	<ul style="list-style-type: none"> <li>▪ Relevant to sub-projects to be taken up</li> <li>▪ Preservation of air and water quality</li> </ul>
5	The Wildlife (Protection) Act 1972, Amendment 1991	<ul style="list-style-type: none"> <li>▪ This Act provides for protection to listed species of Flora and Fauna in the declared network of ecologically important protected areas such as wild life sanctuaries and national parks.</li> <li>▪ The wildlife protection act has allowed the government to establish a number of national Parks and Sanctuaries, over the past 25 years, to protect and conserve the flora and fauna of the state</li> </ul>	<ul style="list-style-type: none"> <li>▪ Relevant to project activities.</li> <li>▪ Preservation of bio diversity</li> <li>▪ Ecologically sensitive areas, wild life sanctuaries and national parks should be avoided while selecting sites for project components. If this is not possible, permission should be obtained from the Forest Department and appropriate safeguards must be adopted.</li> </ul>

S. No.	Relevant Act	Scope of the Act	Implication for the ESMF
6	EIA Notification of MoEF 2006	<ul style="list-style-type: none"> <li>▪ All projects listed under Schedule-I of the Notification require environmental clearance from the MoEF. The list of project categories under Schedule I of the Environmental Impact assessment Notification is available on the MoEF Website.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Not relevant to project activities</li> </ul>
8	Biological Diversity Act 2002  Biological Diversity Rules 2004	<ul style="list-style-type: none"> <li>▪ Having objectives of (i) conservation, (ii) sustainable use of biodiversity and (iii) equitable sharing of benefits derived out of its use</li> <li>▪ Regulates access to biodiversity and traditional knowledge and provision for benefit sharing.</li> <li>▪ It provides for establishment of a National Biodiversity Authority at national level, State Biodiversity Boards at state level and Biodiversity Management Committees at the level of Panchayats and Municipalities</li> </ul>	<ul style="list-style-type: none"> <li>▪ Relevant to project activities as activities are taken up in ecologically sensitive areas.</li> <li>▪ Provides Ecological integration</li> <li>▪ Increased ecological symbiosis (e.g. pollination) increases production</li> </ul>
9	The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006	<ul style="list-style-type: none"> <li>▪ Recognition of the rights of STs and other forest dwelling (non-ST) communities in respect of occupation of forestland for cultivation and/or habitation (secure individual or community tenure or both)</li> <li>▪ Right of ownership, access to collect, use, and dispose of minor forest produce</li> <li>▪ Right to protect, regenerate, conserve or manage any community forest resource which they have been traditionally protecting and conserving for sustainable use;</li> </ul>	<p>Applicable</p> <p>Claims and settlement process under the Act is ongoing, and the Project will have to ensure that its activities do not go against the spirit or implementation of the Act</p>
10	Panchayats (Extension to Scheduled Areas) Act, 1996 (PESA)	<ul style="list-style-type: none"> <li>▪ The provisions of Panchayats, as per the Constitution of India, are extended to Scheduled Areas; endorsing the rights of <i>Adivasis</i> (tribals) to self-governance</li> <li>▪ Contain special provisions for the benefit of Scheduled Tribes, including empowerment of Gram Sabhas &amp; adequate representation in Panchayat bodies; grants a range of powers to the Gram Sabha for decision-making at the habitation level</li> <li>▪ <i>Panchayat (Grama Sabha)</i> is entitled to ownership right and work on exploiting non-timber forest products</li> </ul>	<p>Applicable</p> <p>A number of project landscapes would be in Schedule V areas; recognition of the rights of PRIs and Gram Sabhas, vested under the Act, would need to be ensured.</p>
11	National Rural Employment Guarantee Act (NREGA) Act No. 42 of 2005	<ul style="list-style-type: none"> <li>▪ Besides the provision of employment opportunities, NREGA expounds that priority will be given to regenerate the local natural resource base.</li> <li>▪ Conservation and regeneration of water resources, drought proofing activities</li> </ul>	<p>Opportunities for convergence and leveraging resources for natural resources and common land development, including on forest lands, through planning</p>

S. No.	Relevant Act	Scope of the Act	Implication for the ESMF
		include afforestation and tree plantation on public lands	with PRIs
12	The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013	<ul style="list-style-type: none"> <li>▪ To ensure a humane, participative, informed and transparent process for land acquisition for industrialisation, development of essential infrastructural facilities and urbanisation</li> <li>▪ To provide just and fair compensation to the affected families</li> <li>▪ To make adequate provisions for the rehabilitation and resettlement of affected families, leading to an improvement in their post-acquisition social and economic status</li> </ul>	Not applicable The project will not acquire any land.
State Laws: Madhya Pradesh			
13	The M.P. Lok Vaniki Act, 2001 And Rules, 2002	<ul style="list-style-type: none"> <li>▪ For the scientific management of privately owned 'forests' and other 'tree clad areas' (under jurisdiction of GP or Gram Sabha) in the state</li> <li>▪ Provides for enrolment of Chartered Foresters to make available technical assistance to the people willing to take up forestry on their private holdings</li> <li>▪ Provides for rights for preparation of Management Plans for such areas</li> </ul>	Applicable to sub-projects on privately owned lands
14	Protection of Plant Varieties and Farmers' Rights Act, 2001	In order to provide an effective system for protection of plant varieties, the rights of farmers and plant breeders and to encourage the development of new varieties of plants it has been considered necessary to recognize and protect the rights of the farmers in respect of their contribution made at any time in conserving, improving and making available plant genetic resources for the development of the new plant varieties. Such protection is likely to facilitate the growth of the seed industry which will ensure the availability of high quality seeds and planting material to the farmers	The component with respect to SLEM also deals with up-scaling the cultivation and conservation of genetically important land races of major crops

### ***Policies and Legal Provisions to Safeguard Tribal Interests***

GOI has been sensitive to the needs of the tribal population of India. The Supreme Court has aptly summed up the tribal situation in India, “tribal areas have their own problems. Tribals are historically weaker section of the society. They need the protection of the laws as they are gullible and fall prey to the tactics of unscrupulous people and are susceptible to exploitation on account of their innocence, poverty and backwardness extending over centuries.” Many safeguards are provided under the constitution to safeguard the interests of tribals. This section reviews such safeguards and the associated laws and regulations governing tribal development and water and sanitation activities in the state.

### **Constitutional Safeguards**

The constitutional safeguards related to tribals are : (i) Article 14, related to Equal rights and opportunities; (ii) Article 15, prohibits discrimination on grounds of sex, religion, race, caste etc; (iii) Article 15 (4), enjoins upon state to make special provisions for the STs; (iv) Article 16 (3), empowers state to make special provisions for reservation in appointments or posts in favor of STs; (v) Article 46, enjoins upon State to promote with special care educational and economic interests of STs, protection from social injustice and exploitation; (vi) Article 275 (1), Grand-in-aid for promoting the welfare of STs; (vii) Article 330, 332, 335, related to the reservation of seats for STs in Lok Sabha and State Assemblies; and (viii) Article 339, 340, related to Control of the Union over the Welfare of STs and powers to investigations thereof. One of the important Acts which ensures Social Safeguards of the SCs and STs is the “Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Act”, 1989.

As per the Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Amendment Ordinance 2014 (No.1 of 2014, dated March 4, 2014), forest rights are now included under the SC and ST (Prevention of Atrocities) Act. Among other things, this includes the following amendments:

- Sec.2(1)(iv)(be) 'forest rights' shall have the meaning assigned to it in sub-section (1) of Section 3 of Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006
- Sec.3(1)(f) wrongfully occupies or cultivates any land, owned by, or in the possession of or allotted to, or notified by any competent authority to be allotted to, a member of a Scheduled Caste or a Scheduled Tribe, or gets such land transferred;
- Sec.3(1)(g) wrongfully dispossess a member of a Scheduled Caste or a Scheduled Tribe from his land or premises or interferes with the enjoyment of his rights, including forest rights, over any land or premises or water or irrigation facilities or destroys the crops or takes away the produce therefrom

Explanation - For the purpose of clause (f) and this clause, the expression 'wrongfully' includes -

(A) against the person's will;

(B) without the person's consent;

(C) with the person's consent, where such consent has been obtained by putting the person, or any other person in whom the person is interested in fear of death or of hurt; or

(D) fabricating records of such land

### **Other Applicable Acts**

The following acts are applicable for the sub-projects to be taken up under the present project:

- Minimum Wages Act, 1948
- Contract Labour Act, 1970
- The Bonded Labour System (Abolition) Act, 1976
- Child Labour (Prohibition and Regulation) Act 1996 along with Rules, 1988
- Children (Pledging of Labour) Act, 1933 (as amended in 2002)
- The Persons with Disabilities (Equal Opportunities, Protection of Rights and Full Participation) Act, 1995
- The Persons with Disabilities (Equal Opportunities, Protection of Rights and Full Participation) Rules, 1996
- Untouchability Offences Act, 1955
- The Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Act, 1989
- The Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Rules, 1995

### **Policies and Acts vis-à-vis Project (ESIP) Interventions**

#### **Environment Policies and Laws vis-à-vis ESIP**

This policy and regulatory analysis suggests that the proposed sub-projects to be taken does not fall under any of the project categories listed in Schedule-I of the Environmental Impact Assessment Notification and hence does not require any formal environmental clearance of the Ministry of Environment and Forests, GOI. Though the project area is dotted with a number of sites of religious, cultural and historical importance, wildlife sanctuaries and national parks, the proposed sub-projects are expected to have limited impact on these sites. The project will also ensure that the requirements of activities in the influence areas of any protected areas are also followed in the design and implementation of sub-projects.

It should also be highlighted that the the project supports the key elements of the National Biodiversity Action Plan (2008) as it result in augmented natural resource base and its sustainable utilization as well as building national capacities for biodiversity conservation and addressing invasive alien species.

The project is also aligned with the National Forest Policy (1988) as it would contribute to its objective of bringing 33% of India's landmass under forest and tree cover and will also aid the implementation of the Wildlife (Protection) Act (1972) by investing in establishing Community Reserves, which are included as new categories of protected area with greater role and responsibility of the local communities.

#### **Social/ Governance Policies and Laws vis-à-vis ESIP**

Considerable powers over natural resource management have been vested in the Panchayats and Gram Sabhas under the PESA Act (1996), and more recently under the Forest Rights Act (2006); however, there is little awareness about the policies and provisions of the law among elected representatives, Panchayat functionaries, and state officials. The net result of these issues manifests in poor compliance with the law, lack of assertion of rights on the part of the Gram Sabha and Gram Panchayat, and routine continuation of activities. While the conformity legislation at the state level gives powers to the Gram Sabha to control local plans and resources for development related activities, the planning process for watershed development, joint forest management, poverty alleviation and other externally sponsored plans still only partly take into consideration the major role of the Gram Sabha, choosing instead to work with project-established village institutions, viz., Watershed Committees and Joint Forest Management Committees.

Under the proposed ESIP, community institutions managing local resources (JFMC, BMC, etc.) are expected to play a critical role in planning and managing ground level interventions. Given that the state and central legislations grant a range of powers to the Gram Sabha for decision-making at the habitation level, it would be critical for the project to ensure compliance with the legal provisions, and facilitate decision-making and institution-building at the habitation level, particularly in Schedule V areas. The strengthening and democratization of community institutions will promote collective community decision-making forums that could play a significant role in improved governance at the Panchayat level in future, and leverage their collective strength to liaison and converge with other departmental programmes.

## **Annexure 6**

### **Field consultations under ESIP in Chhattisgarh and Madhya Pradesh – Detailed Report**

Field-level stakeholder consultations were held at four representative landscapes in the states of Chhattisgarh and Madhya Pradesh as per the following schedule

#### Chhattisgarh

- At Kukdoor, Pandariya West Forest Range, Kawardha Division and district (on May 8, 2014)
- At Fingeshwar, Fingeshwar Range, Gariaband Division and district (on May 9, 2014)

#### Madhya Pradesh

- At Timarni, Harda Division, Hoshangabad district (on May 19, 2014)
- At Tala, Tala Forest Range, Umaria Forest Division and district (on May 21, 2014)

The consultations were attended by representatives from JFMCs, forest users including head-loaders, NTFP collectors and graziers, members of the Forest Rights Committees constituted under the Forest Rights Act, 2006, representatives of Tendu Patta Primary Cooperatives (in Chhattisgarh), representatives of women's self-help groups, PRI representatives, NGO representatives, field staff, and officials of the forest department. About 350 individuals participated in the consultations at the four locations, including women and men from tribal communities.

The following format was used for information sharing and discussions at each consultation site:

- Presentation of the objective, components and proposed implementation arrangements of the proposed project (ESIP), including area selection criteria by forest department official and/or World Bank consultant
- Discussion on socio-economic characteristics of the proposed project area and key project stakeholders; identification of areas and issues of concern
- Formation of sub-groups, and discussion on pre-identified themes (outlined in the next paragraph) – facilitated by NGO representatives/ World Bank consultants
- Presentation by group members and open-house discussion
- Summing up and vote of thanks

In addition, the DFO/SDFO at Kawardha and Gariaband had also prepared separate presentations which were used for providing a context to the project rationale, including information about the Green India Mission (GIM).

The selection of landscapes for the consultations was done on the basis of their being pre-selected for GIM, as the proposed ESIP will also operate in the same landscapes and strengthen institutional capacities for achievement of the GIM goal. Prior intimation about the consultations had been given to concerned stakeholders who were invited for the meeting.

During the initial round of discussions, a list of issues of concern and topics for further discussion were identified; subsequently, each small group (between 5-10 members) was given about 30-40 minutes for internal discussion and presentation of group findings and recommendations. The themes/ topics of discussion around which small-group discussions were held at the four locations are listed below:

1. Causes of forest degradation and options for restoration, rehabilitation and development

2. NTFPs – availability and collection; production trends; sustainable harvest
3. What do women want from the Project?
4. Status and condition of common lands, especially pastures; their use, development and management; livestock management
5. Implementation of FRA, 2006 vis-à-vis the proposed project – design issues; avoiding potential conflicts between forest communities and forest department; awareness about and status of community forest rights; development of community forest resources (CFRe)
6. Strengthening of Forest Development Agencies
7. Project monitoring and evaluation – role of communities
8. Strengthening of JFMCs; training methods and criteria for selection of participants; strengthening linkages between JFMCs and Gram Sabha and Gram Panchayat
9. Human-animal conflicts in and around forest areas; causes and options for amelioration

A summary of the presentations made by the sub-groups around the afore-mentioned topics is provided in the following paragraphs.

### **1. Causes of forest degradation and options for restoration, rehabilitation and development**

Interestingly, the perspectives of the group of foresters and the community representatives were varied on the causes of forest degradation, but there were some commonalities and complementarities in the options for rehabilitation suggested by the two groups.

The foresters' group identified the main causes of forest degradation as illicit felling, soil erosion, lack of awareness, forest fires, lack of employment opportunities, landlessness, irregular rainfall regime, and use/diversion of forest areas for non-forest purposes. From the communities' perspective, the main causes of forest degradation were identified as poor returns from agriculture, lack of irrigation facilities, grazing in forest areas, spread of invasive species such as Lantana, absence of water harvesting structures inside forests, and open access to forests from all sides (lack of forest fence/ boundaries).

The following were suggested as options for checking and reversal of forest degradation:

- (i) Creation of increased awareness among forest using communities and others, towards the value of forests and ecosystem services
- (ii) Restriction on illicit felling of trees in forests
- (iii) Soil and moisture conservation works; small check dams, earthen water harvesting structures, contour trenches, etc. may be undertaken in forest areas and common lands
- (iv) Livelihood improvement activities, including promotion of cottage industries, and creation of wage labour opportunities
- (v) Development of pasturelands; rotational grazing in forest areas; and promoting cultivation of fodder crops on farm bunds and other available lands
- (vi) Clearing lantana from areas adjoining roads to minimize risk of fire and its spread into forest areas; clearing of lantana from forest areas to enable sal seed regeneration
- (vii) Demarcation of forest areas and creation of trench lines around it
- (viii) Promotion of use of bio-gas where feasible

### **2. NTFPs – availability and collection; production trends; sustainable harvest**

On the issue of NTFPs, participants at all the four sites concurred that a noticeable declining trend was observed, and the number of trees of some high-value species had decreased in their forests, viz., chaar/chironji (*Buchanania lanzan*), tendu patta (*Diospyros melanoxylon*) kullu gum (*Sterculia urens*), etc. Among the NTFPs that were collected and sold by the forest users, the following were mentioned as being most important: chaar, tendu leaves, aonla, harra, baheda, van tulsi, chirayata, mahua, kullu gum, bhelwa, bel, safed musali, lac/ shellac, ber, imli, etc<sup>13</sup>.

It was learnt that apart from a fall in production, there had also been an increase in demand for certain products, resulting in a spike in procurement prices; this, in turn, has caused adoption of destructive harvesting practices by collectors, e.g., for Aonla and chirayata. Some of the examples cited by the collectors: prices of chaar had increased from Rs 5 to Rs 60 per kg over a period of 10-15 years, Aonla from Rs 2 to Rs 50 per kg, and kullu gum from Rs 10 to Rs 150 per kg.

The following suggestions were received for incorporation in project design and planning:

- (i) prevent felling of valuable NTFP species, such as chaar/chironji, through community protection and support from forest department;
- (ii) training of collectors on appropriate harvest time and methods; development of protocols for NTFP collection and value-addition
- (iii) include NTFP species in afforestation/ gap-filling plans for plantation in forest areas

### 3. What do women want from the Project?

Apart from the suggestions included under other themes and topics, the following specific suggestions were made by the women's groups:

- (i) Improved sanitation facilities in villages
- (ii) Establishment of water conservation structures (ponds) for purposes of fish cultivation (pisciculture) in villages and common lands
- (iii) Measures for increasing bamboo plantation in forest areas, as availability of bamboo was going down, and affecting the livelihoods of bamboo-dependent households, viz., those making brooms and baskets from bamboo.
- (iv) Promotion of agro-forestry and farm forestry on private lands, and planting of trees on homesteads for regular and easy supply of firewood for cooking
- (v) Establishment of barriers/ check posts at strategic locations to check theft and smuggling of timber from areas under community protection
- (vi) Increase the availability of *tendu patta* in forest areas, and extend the duration of collection period
- (vii) Development and implementation of community-managed systems for monitoring and regulation of *tendu patta* harvest from forest areas
- (viii) Promotion of cottage industries and alternative livelihoods, especially for households dependent on head-loading as an occupation for meeting basic/ bonafide requirements

---

<sup>13</sup> Chaar – *Buchanania lanzan*; tendu – *Diospyros melanoxylon*; Aonla – *Embllica officianalis*; harra – *Terminalia chebula*, baheda – *Terminalia bellerica*; van tulsi – *Ocimum tenuiflorum*, chirayata – *Swertia chirayaita*, mahua – *Madhuca indica*, kullu – *Sterculia urens*, bhelwa – *Semecarpus anacardium*, bel – *Aegle marmelos*, safed musali, lac/ shellac – grown on Palash (*Butea monosperma*) and Kusum (*Schleichera oleosa*) trees, ber – *Zizybus jujuba*, imli – *Tamarindus indica*

- (ix) Provision of tent supplies to women's groups for cost-saving during community events, and as a source of income for the group (through rentals)

#### **4. Status and condition of common lands, especially pastures; their use, development and management; livestock management**

Availability of land was clearly a constraint, as biotic and abiotic pressures on land resources were increasing, and land being a finite resource, its availability could not be expanded. There was a declining trend in the availability of lands for grazing livestock.

Encroachment of common lands is a common occurrence in most villages, and its treatment/ development may be wrought with conflicts. Instances of violent conflicts that ensued in some villages following efforts by the JFMC to have the common lands vacated by vested interests were narrated, and assistance from the forest department and district administration was sought. Despite the Supreme Court orders directing the government administrative machinery to have the common lands vacated of all encroachments, not much progress has been made in this regard in the two states of MP and Chhattisgarh.

The following interventions were proposed for inclusion in the project:

- (i) Development of pastures on available common (grazing) and revenue wastelands
- (ii) Establishment of drinking water facility (ponds) for animals inside/ on the periphery of forest areas
- (iii) Establishment of grass plots in degraded/ deforested patches of forest lands for use of domestic animals; allow and establish systems for sale of cut grass from forest fringe areas on a no-cost basis (to be managed by JFMC/BMC)
- (iv) Practice of rotational grazing in areas brought under plantation, and bring under control the number of animals allowed for grazing
- (v) Support for fodder cultivation on private lands/ farm bunds, especially in areas where irrigation facility is available; cultivation of fodder around water bodies in the village
- (vi) Breed improvement and reducing numbers of cattle owned per family
- (vii) Training in fodder cultivation and management in dry lands and rainfed areas

#### **5. Implementation of FRA, 2006 vis-à-vis the proposed project – design issues; avoiding potential conflicts between forest communities and forest department; awareness about and status of community forest rights; development of community forest resources (CFRe)**

Among the community representatives present, the majority were unaware of the provisions under the FRA, 2006, except concerning the claims to individual forest rights under the Act. One of the most significant findings of the consultation was the complete lack of information about the community forest rights (different categories), and the community forest resource rights (CFRe), which came about through an amendment to the Act in September 2012.

On implementation of the Act, participants suggested constitution of Forest Rights Committees (FRCs) at the Gram Sabha (habitation) level wherever possible; organisation of public meetings for information-sharing on FRC decisions, and collective review of individual forest rights claims by the FRC and the concerned JFMC, to screen out ineligible claims, and validate rightful claims, especially as the JFMC members were more intimately involved with the forests and their management. At one site in Chhattisgarh, it was mentioned that a few instances of indiscriminate forest clearance and occupation had

happened consequent to the receipt of certificate/ titles under FRA by a couple of households in the village.

Few of those who were conversant with the provisions of the Act in respect of community forest and community forest resource rights suggested the following:

- (i) Inclusion of a sub-project in the proposed ESIP for information, awareness and facilitating CFRe claims of communities (Gram Sabha) under the FRA, 2006; support for development of forest resource management and development plans
- (ii) Support from forest department for patrolling and protection of community forest resources

## **6. Strengthening of Forest Development Agencies**

The FDA being a federation of JFMCs in the Division and receiving funds directly from the central government, it was uniquely placed for facilitating holistic development in villages in and around the forest periphery. Members of the FDA Executive Committee included representatives of various line departments at the Division/district level, with DFO (T) as the member-secretary and concerned CCF as the Chairperson. In the process of the consultations, it was realized that majority of the field staff were unaware of the FDA's institutional structure, its objectives and mechanism of operation. FDA was frequently perceived as being synonymous with JFMCs receiving support under the NAP (through the FDA channel). Officials present at the meetings used the opportunity to share information with colleagues on the objectives and constitution of the FDA.

Based on the discussions that ensued, the following activities emerged as suggestions for strengthening of the FDA:

- (i) Training and capacity building of FD officials and staff
- (ii) Liaisoning and regular interaction with other concerned line departments (viz., rural development, tribal welfare, animal husbandry, fisheries, etc.)
- (iii) Regular sharing of information (through workshops and camps) with FD field staff by other department officials, regarding the developmental schemes and programmes of other departments, including forms/ formats, and information about officials to contact for availing and facilitating flow of benefits to the eligible communities/ groups/ households

## **7. Project monitoring and evaluation – role of communities**

Two major recommendations were provided by the participants on M&E for the proposed project:

- (i) Project monitoring should include a participatory M&E component ('community monitoring') – this was justified on the ground that communities are in close proximity to the area/s of intervention and have the greatest stake in success (or otherwise) of the project
- (ii) Conduct of regular social audits of works undertaken at the village/ JFMC/BMC level

## **8. Strengthening of JFMCs; training methods and criteria for selection of participants**

At the village level, it was proposed that the project would be planned and implemented through JFMCs /BMCs. It was learnt that there are many instances where the jurisdiction of a single JFMC spans multiple villages (eight villages under a JFMC in one instance, which was represented at the meeting). For strengthening of JFMCs, the suggestions provided by the participants are as follows:

- (i) Constitution of the JFMC/BMC at the habitation level; wherever feasible, reconstitution of the existing JFMC to reflect the natural habitation and forest use patterns, as also the local level decision-making
- (ii) Awareness camps for JFMC members about various other departmental schemes and programmes which they could access and benefit from; facilitation by the concerned Forest Guard and Forester for the same
- (iii) Inclusion of most forest-dependent households in the existing JFMCs, and their immediate linkage with benefits from interventions undertaken
- (iv) Awareness camps and meetings for understanding the importance of forests and ecosystems, and ongoing project activities
- (v) Training of JFMC office-bearers (leadership and communication skills in particular), and follow-on meetings in villages for sharing of information with the entire JFMC/ village community
- (vi) Exposure visits and inter-JFMC learning and exchange events to be organized with project support (within the state and to adjoining states); the criteria for selection of beneficiaries for training and exposure visits were also specified:
  - a. Priority to be given to individuals and households who have previously not received any training/ exposure
  - b. Willingness of the selected members to participate in the training/ exposure visit
  - c. Approval by the community on the list of candidates at a general meeting called by the JFMC
  - d. Undertaking by the selected participants to share complete information and documents with others after completion of the event (training or exposure visit); support of the forest department staff in conduct of follow-on meetings in the village
- (vii) Consensus building among JFMC members prior to reaching any decision on interventions to be implemented with project support
- (viii) Ex-officio representation of concerned Ward members and Sarpanch in the JFMC, and their active participation; JFMC office-bearers should play a proactive role in keeping the Gram Sabha and the Gram Panchayat informed about activities being undertaken by them
- (ix) Provide JFMCs with a corpus grant for procurement of NTFPs from collectors, its value-addition and sale

## **9. Human-animal conflicts in and around forest areas; causes and options for amelioration**

Increase in incidences of human-animal conflict were cited as an issue of concern by the primary project stakeholders, and it was suggested that the project interventions should aim to (i) diminish the extent of the problem; and (ii) ameliorate the problems arising from such conflicts.

The reasons identified by the sub-group which addressed this issue were: loss of forests (extent of forest cover); lack of fodder resources for primary consumers/ungulates in forest areas; increase in number of wild animals because of the protection accorded to them; habitations in the immediate vicinity of forests; attack on humans by wildlife when the former ventured into forests for collection of firewood and/or NTFPs; forest fires; and grazing of domestic livestock inside forests. The following were suggested as options for reducing the conflicts, and minimizing resultant losses:

- (i) Forest protection and conservation, including improving the quality of forests
- (ii) Increasing the area under pastures/ grasslands inside the forests, along with afforestation activities
- (iii) Relocation of wildlife from one protected area to another (with lesser numbers of the species)
- (iv) Establishment/development of connecting forests ('corridors') for passage of wildlife from one protected area to another
- (v) Promoting plantation of tree species on wastelands and fallow farm lands (unfit for cultivation), as well as on homestead plots, for supply of firewood
- (vi) Undertaking adequate measures for protection of forests from forest fires
- (vii) Development of pasture lands outside forests for domestic livestock grazing
- (viii) Awareness building on issues of biodiversity and wildlife, and its importance in everyday life of humans.

## **Annexure 7**

### **Tribal Development Plan (TDP)**

#### **Rationale**

The overall objective of the TDP is to enable and facilitate inclusion of tribal and other vulnerable communities, including Dalits and other socially marginalised, in the project in order to achieve the best possible outcomes of the project for the tribals in terms of their mobilisation and empowerment, institutions, capacities, and quality of life.

#### **Objectives**

The specific objectives of the TDP are to:

- (vii) ensure that project activities and interventions uphold the social and cultural norms and practices, and constitutional rights of the tribal communities
- (viii) ensure that the project engages with the tribal communities in a free, prior and informed consultation through processes that are appropriate to the local institutional context, ensuring that their participation is meaningful in the entire process of preparation, implementation and monitoring of the sub-projects and related activities
- (ix) ascertain that the project does not inadvertently lead to or induce disempowerment, or increase disparities between the tribal/ other vulnerable and 'mainstream' communities
- (x) avoid, minimize and/or mitigate any kind of adverse impacts on tribal households, including on their livelihoods
- (xi) establish appropriate strategies for information sharing, communication, training and decision-making with the different tribal communities (women and men) at all stages of the project
- (xii) ensure that the project benefits and investments are equally accessible to the tribal and other vulnerable communities inhabiting the project area
- (xiii) develop appropriate training and/or development interventions in accordance with the articulated needs and concerns of tribal groups (women and men) inhabiting the project landscapes

#### **Applicability in tribal dominated areas**

The Tribal and Other Vulnerable Communities' Development Framework is based on the World Bank's Operational Policy 4.10, and is applicable to all sites/landscapes with presence of tribal population.

In the Schedule V areas, MADA areas, MADA clusters and PVTG Development Areas are present in all project states. The Tribal Development Plan will be applied to the overall project design. In all other areas where the project will be implemented, with scattered tribal and Dalit populations, which are likely to be differently impacted by the project, a Short Tribal and Other Vulnerable Communities' Development Plan will be prepared. Further, the need for a Tribal and Other Vulnerable Communities' Development Plan will be established at the sub-project preparation stage in each landscape, by the PMU in consultation with the partner NGO, on the basis of the following criteria:

- (i) presence of tribal and other vulnerable communities in the landscape
- (ii) adverse impacts on customary rights of use and access to land and natural resources, including village commons, Panchayat and grazing lands
- (iii) negative impacts on socio-economic or cultural identity of tribal or other sub-groups
- (iv) impacts on health and sanitation, education, livelihood and social security status
- (v) any other impacts that may undermine indigenous knowledge and customary institutions

### Tribal Development Plan - Key Actions and Features

The TDP would be applicable to all project landscapes and villages where tribal people are present, including Scheduled Areas, MADA Pockets, MADA Clusters, PVTG Development Areas as well as Scattered tribal development areas across all other project districts. The key actions and features of the TDP are summarised below

Major phase/ activity	Key Actions
Start-up activity	Structured dialogue and consultations with tribal community leaders/ CBOs and change agents (viz., NGOs in the area) Tribal situation analysis with the tribal group/ Gram Panchayat
IEC Campaign	<ul style="list-style-type: none"> <li>Targeted IEC materials in the local language, with focus on folk practices and culture</li> <li>ESIP awareness campaigns mounted through folk media</li> </ul>
Capacity building of FDA/ partner NGO	All project teams, FDA nodal person and NGO representative working in these areas are oriented and trained on tribal development and social safeguards
Representation	<ul style="list-style-type: none"> <li>In tribal exclusive villages (Schedule V area) – all the landless, marginal farmers and forest-dependent households are included in all project-promoted and/or supported institutions</li> <li>Federated institutions of tribal CBOs to have equal representation of women and men</li> <li>Proportionate representation of tribal and dalit (women and men) in all project-promoted and/or supported institutions</li> <li>At least one tribal member in federated/ higher level institutions</li> </ul>
Training and exposure visits	<ul style="list-style-type: none"> <li>Separate, customised training and exposure visits for tribal and other vulnerable communities (women and men)</li> <li>Proportionate inclusion of tribal households in all ESIP training and exposure visits</li> </ul>
Prioritisation of beneficiaries (for all project supported benefits and activities)	<ul style="list-style-type: none"> <li>Identification and prioritisation of beneficiaries by the CBO, depending on the degree and nature of their dependence on forest lands/ common property resources, and the available budget</li> <li>Prioritised list of beneficiaries to have proportionate representation of tribal households</li> </ul>
PMU staffing	
NGO staffing	
Community Resource Persons	Development of a cadre of tribal CRPs (women and men), similar to the non-TDP areas

## Screening and Landscape Baseline

Sub-project and resource development planning processes will include preparation of a baseline on the socio-economic profile and resource dependence of the tribal groups in the landscape, along with other relevant information on the tribal population present in the landscape, such as their dependence on forests and natural resources, and their participation in community decision-making. Based on the consultations, key issues of the tribals and other marginalised groups with respect to ESIP interventions would be summarised, and will form part of the Baseline. Every sub-project plan will contain a separate section on the baseline tribal situation in the landscape. This baseline will be used in preparation of the TDP, and will include the following:

- List of villages with presence of tribal and other vulnerable communities, and their identification (name of tribe, sub-tribes, other marginalised social groups, if any)
- Village-wise listing of all tribal and other marginalised households
- Village-wise socio-economic profile of tribals and marginalised groups/ households vis-à-vis other social groups (occupations, land-holdings, animal husbandry, debt status and so on); special mention of PVTGs, their population, socio-economic profile and dependence on forest resources
- Details of traditional forest usage rights of all tribal sub-groups in the area
- Status of claims, rights settled, and appeals filed under the Forest Rights Act, 2006 (village and Gram Panchayat wise, separately for ST and OTFD, as well as individual and community forest rights) at the time of the baseline

## Participatory Resource Mapping

Participatory assessment methods used during the planning stages will include use of the following tools, outputs of which will be annexed in the resource development and management plan for each location:

- Social and Resource mapping, including location and usage of common lands and forest resources, and collection of NTFPs, if any
- Enlisting customary rights of communities (e.g., *Nistar*) and forest dependent sub-groups within the community based on focussed group discussions
- Collection of information pertaining to the status of claims, rights and appeals under the FRA, 2006 – from Committees constituted under the Forest Rights Act and Rules (separately for STs and OTFDs)
- Village Transect Walk to be undertaken with members and leaders of the community, concerned officials of the Tribal Development Department, ESIP officials and NGO representatives.
- Nature and degree of dependence of tribal households on common lands and forest lands
- Mention of any existing tribal institutions functioning in the landscape, as well as exclusive tribal CBOs, including SHGs, if any
- Gender relations and gender issues among the specific tribal groups in the landscape
- Key tribal issues of relevance to ESIP
- Key impacts of ESIP (gender-disaggregated) on tribal groups and households, including an assessment of the exact nature and extent of impact

## Informed Consultations and Broad Community Support

Free, prior and informed consultations will be held with tribal and other vulnerable communities, CBOs, NGOs, and tribal institutions, if any (in all landscapes with tribal population) during resource development planning process, and their broad community support will be documented. The following mechanisms will be followed:

- Separate consultations with tribal households and groups will be organised in every tribal hamlet/village and Gram Panchayat during the sub-project preparation stage (by FDA and partner NGO)
- In landscapes with tribal population in minority, the partner NGO will hold exclusive consultations with tribal women and men, leaders, tribal-focused NGOs, and the Tribal Development Department to

identify the priorities and strategies for ensuring tribal inclusion in project institutions, interventions and project benefits

- Weekly/ fortnightly meetings in tribal hamlets/ villages for information sharing and consultation during the planning stages – this will be in addition to the participatory process consultations at various levels that are an integral part of the planning process (partner NGO)
- Monthly meetings will take place in tribal hamlets/ villages for information sharing and review during the implementation stages (NGO), minutes of which will be recorded in the CBO records, and reproduced when required (e.g., for monitoring and review purposes)
- Focused consultations with tribal and other vulnerable communities on interventions on common lands, and forest lands used by the village community
- Development of sustainable NTFP harvest protocols to be undertaken in close collaboration with resource users and other forest-dependants, with intensive capacity building and hand-holding support in implementation of the management regimes; Community Resource Persons (CRPs) to be trained in development of NTFP harvest protocols

### **Publication and information dissemination**

ESIP will enhance awareness of tribal development initiatives through timely and routine publication and dissemination of information on relevant government schemes and programmes (written in the local language and well-illustrated), by means of posters and folk media, as well as educate project communities of their rights, entitlements, and responsibilities, especially concerning the use, management and development of forests and other natural resources.

### **Culture-Sensitive Information Dissemination, Awareness and Outreach**

Given the linguistic and cultural diversity, and literacy constraints in TDP areas, there will be added emphasis on adapting the information dissemination and communication activities to local tribal context and sensibilities. Project management, implementation and facilitation units at the Division level (FDA, NGOs) will engage local tribal youth, folk artists and audio-visual media for information dissemination, consultations and community mobilisation during sub-project planning. PMU will engage the services of a development communication specialist for developing a strategy and tools for communication, community outreach and information dissemination in low-literacy tribal areas.

### **Adaptable Project Cycle in Tribal Areas**

The project cycle in TDP areas will be flexible, and could be extended, adapting to the situation and beginning with a longer planning phase, which will be devoted to preparatory activities, including identification of tribal groups and households, exclusive consultations with tribal farmers, women and men, and identification of their specific needs and concerns vis-à-vis forests and use of common lands, and preparation of Tribal Situation Assessment Report.

### **Prioritisation of vulnerable tribal groups for individual benefits from project**

Targeting is critical at every stage of the project cycle: from area selection and planning, through implementation, formation/ re-structuring or strengthening of resource management institutions, training and exposure visits, value addition initiatives, to review, monitoring and evaluation. At every stage and for all activities and institutions, there will be proportionate representation of all tribal communities resident in the landscape. Equal numbers of males and females will be either selected or co-opted, as necessary.

In addition to the strategies for targeting of tribals in general, the implementing agency and/or its partner organisation (NGOs) will prioritise between different tribal groups, with respect to their socio-economic and political status, geographic remoteness, and degree of advancement vis-à-vis adoption of improved agriculture techniques and technology; where necessary, preference will be given to the less advanced and more remote groups. Within a group, the agency will also address gender issues while planning and facilitating selection of beneficiaries, so as to ensure equal representation of, and benefits to, males and females.

Targeting of tribals will be all-encompassing, and will be applicable for/in:

- all interventions on private farmlands and common lands and other ESIP benefits
- resource use agreements in respect of public goods (ponds, pasturelands, forests, fodder) all resource management institutions and decision-making forums

### **Convergence with tribal development schemes**

The Social Development Specialist (SDS) and the Tribal and Other Vulnerable Communities' Coordinator (in the PMU) will be collectively responsible for promoting convergence with government schemes and programmes targeting scheduled tribes and other vulnerable communities, especially focussed on improving rural livelihoods, land and agriculture development, skill upgradation, livestock development, employment, etc.

### **Inclusion of Scheduled Tribes in Village Resource Management Institutions (JFMC, BMC, EDC, etc.)**

- Representation of tribal men and women in village resource management institutions and their federations, especially in non-tribal areas
- In tribal-dominated areas, FDAs will have representation from tribal leaders (women or men)
- In all landscapes and Gram Panchayats with a presence of tribal groups, there will be proportionate representation of tribals in every committee and at every level (general body, executive committee and office-bearers' group) – every committee/organisation will have equal membership of tribal women and men
- Where regulatory and programmatic provisions prescribe democratic elections in institutions, and should there be an absence of tribal representation in the body elected, then tribal members will be co-opted to these committees and will have the same rights as the other members of the committee. S/election of the co-opted member will be done by the tribal community in the village/ Gram Panchayat.

### **Training and capacity building**

- Core Orientation Module for ESIP Staff (FDA, NGOs, concerned officers of state forest departments, PMU officials) on Tribal Development Issues of relevance to ESIP – by a respectable agency of national repute, e.g., Kalpavriksh (Pune), Vasundhara or Regional Centre for Development Cooperation (Bhubaneswar)
- Capacity Building of FDAs and partner NGOs on Tribal and Other Vulnerable Communities' Development Framework.
- Equal participation of tribal women and men in training and exposure visits, especially on programmes concerning FRA and other legal entitlements
- Project training modules to be tailored in terms of language, content and methodology, as required, to make them useful and effective in tribal dominated pockets with lower literacy rates
- Training of tribal youth (women and men) in sustainable NTFP harvest protocols, control of invasive species, pastureland management, livestock development, etc.; CRPs in all thematic areas to include tribal youth as well as others
- Development of sustainable NTFP harvest protocols to be undertaken in close collaboration with resource users and other forest-dependants, with intensive capacity building and hand-holding support in implementation of the management regimes

### **Institutional Arrangements for TDP**

#### **Planning and Implementation**

Implementation of the TDP in tribal-dominated areas will require incorporation of the TDP in the main project design. For areas with scattered tribal populations, a brief plan (TOVDP) will be prepared by the partner NGO in collaboration with the DFO/FDA.

### **Staffing**

However, given the need for adaptation of project cycle, methods and activities in these areas, and to effectively reach out to the tribal communities in remote geographical locations, additional personnel will be hired at some levels/ within the partner institutions. The responsibilities of these personnel are outlined in the following paragraphs/ figure.

Social Development Specialist (in PMU)

The overall responsibility for implementation of ESIP ESMF will rest with the PMU, and more specifically the Social Development Specialist (SDS) within the PMU.

Tribal and Other Vulnerable Communities Development Coordinator (in PMU)

The SDS will be supported by one Tribal and Other Vulnerable Communities' Development Coordinator for focussed development of tribal and other vulnerable communities in Schedule V and other areas with tribal populations.

### **Social and Tribal Development Specialist (in partner NGO, landscape level)**

At the landscape level, operational responsibility for facilitating and overseeing implementation of the SMP/TDP will be that of the Social and Tribal Development Specialist of the partner NGO. The Social and Tribal Development Specialist (partner NGO) will also be responsible for identifying, and mobilising local tribal youth (women and men) for receiving training and other capacity building inputs for resource development planning, project implementation, and monitoring.

### **Community Support and Participation**

#### **Local Tribal Youth and Resource Persons**

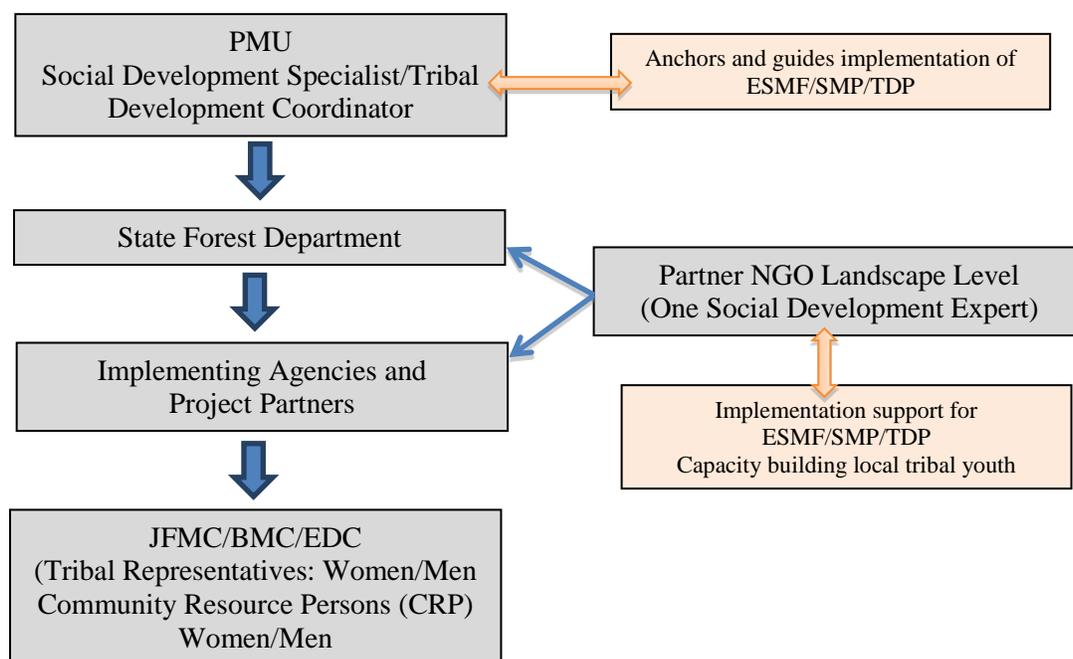
Local tribal youth will be engaged for facilitating consultations, data collection, and community mobilisation. Community Resource Persons (CRPs) will be developed on the themes of forest planning and management, livestock management, pasture land development, FRA, village institution management, conflict resolution and so forth; these youth will provide hand-holding support to the beneficiary households, and facilitate local level knowledge-sharing within the community and through the proposed Van Vigyan Kendras (VVKs).

#### **Participation in Decision-Making Forums**

In so far as community decision-making forums are concerned, tribal representatives will be present in every project-supported and promoted institution, including in democratically elected bodies, where additional members from the tribal community maybe co-opted to ensure adequate representation of tribal groups. These representatives will be responsible for ensuring that the needs and concerns of the groups that they represent are appropriately presented and addressed. Partner NGOs will facilitate the process.

A schematic representation of the institutional arrangements is shown in figure 9 below.

Figure 9 Institutional arrangements for implementation of TDP



### Monitoring and Evaluation

The PMU will have the overall operational responsibility for planning and coordinating M&E activities for the entire project. In addition, the PMU will also be responsible for monitoring and evaluation with regard to implementation of the ESMF, including the TDP. The following aspects will be particular to ESMF-linked M&E:

#### Baseline Survey

- social and gender disaggregated data of tribal and non-tribal households; women and men; and other vulnerable communities in the landscape
- Identification of socio-economic issues relevant to tribals and other vulnerable communities
- Recommendations regarding the need for preparation of a Tribal and Other Vulnerable Communities Development Plan, and its execution.

#### Participatory Monitoring and Social Audit

A participatory monitoring and evaluation system would need to be developed for all interventions undertaken and benefits accruing at the village level, and in the vicinity of the village (including village common lands, community forests/ reserves, and such areas). The system would be developed by an external M&E agency commissioned by the PMU, and its implementation would be facilitated by the partner NGOs in each landscape. All financial transactions at the village institution level would be subjected to an annual social audit.

#### Process Monitoring

This will assess the transparency in beneficiary selection, participatory processes, and effectiveness of capacity building measures undertaken for tribals and other vulnerable communities, expected to result in their empowerment.

### **Impact Assessment and Studies**

In addition to the regular six monthly monitoring reports, impact assessment studies will be undertaken by an external M&E agency. These studies will evaluate ESIP's performance and progress towards achieving the project's development objectives. The first evaluation would be completed just prior to the mid-term review (MTR) of the Project, and, the second (impact) evaluation around the time of the Project completion. The impact evaluations will cover project implementation in tribal areas, and include specific indicators pertaining to impact of the project on tribal and other vulnerable communities.

### **Reporting**

The six-monthly reports would include, inter alia: (a) up-to-date physical and financial expenditure data compared to annual and end-project targets; (b) updated indicators of project performance compared to annual and end-project targets; (c) successes and problems encountered during the reporting period with suggested remedial actions; and (d) socioeconomic and environmental impacts of the project. The report would include project implementation performance, processes and outputs in tribal areas, along with reporting on implementation of specific strategies mentioned in TDP.

## **Annexure 8**

### **Participatory Planning for Interventions on Panchayat Lands and Village Commons**

#### **Step 1: Selection and Screening of Panchayat Land**

- Select non-encroached, unencumbered and conflict-free site;
- Hold focus groups and consultations with women, graziers and other common land users
- Hold Consultations with the Gram Panchayat;
- Obtain formal “No Objection Certificate” from concerned Gram Panchayat for the intended use
- Jointly verify title of the land from Revenue records, tenancy (if any),
- Identify and map all users of the land/resource (site/s identified)
- Jointly hold physical verification of the sites for existing use, encroachment site visit with a group of villagers (facilitating NGO)
- Hold a joint transect walk and apply social screening checklist to ensure adverse social impacts are identified and mitigated (facilitating NGO)
- Follow implementation steps provided in ESMF, for preparing and implementing social mitigation plans

#### **Step 2: Pasture Development**

- For pastureland, follow all relevant steps listed above.
- Advance notice to all groups and hamlets about the Ward Sabha
- Ensure representative range of social groups (castes and tribes), age, and gender (women and men) from among the common land users in decision-making regarding development of pasturelands
- Representatives should be interested in pasture development and be prepared to take on the responsibilities
- All residents of the concerned village, and current users are members of the general body
- JFMC informs Gram Panchayat of decisions taken, in writing.

#### **Step 3: Preparation of Pasture Development Plan (PDP)**

- Resource mapping, including identification/confirmation of all user groups, and the nature of their dependence on the resource
- Discussion and consultations with users (especially graziers and women) on:
  - Objective/s of pasture development
  - Possible options and nature of interventions suitable for the identified area and objective
  - Physical works to be undertaken – e.g., tree planting, soil and moisture conservation works, species selection, and so on
- Prepare a budget, clearly identifying the sources of funds, including beneficiary contribution norms and amount (to be) contributed
- Develop an action plan with time-lines and responsibilities
- Facilitate development of use norms, cost- and benefit-sharing arrangements (facilitating NGO) – this will include:
  - Protection system and responsibilities
  - Grazing system (rotational or other)
  - Silvicultural management (tree lopping and other techniques to be adopted)
  - If “cut and carry” system is applied for fodder, then benefit-sharing norms for it
  - Penalties for flouting norms, if any
- The Pasture Development Plan will be a short and illustrated document, written in simple words using the local language
- Attach site-map, participatory resource map, list of users, and management protocol agreed upon

#### **Step 4: Validation and Agreement on PDP by the Ward Sabha**

- Advance notice to all groups and hamlets regarding Ward Sabha – organization of the meeting in collaboration with the Gram Panchayat, and with their participation
- JFMC members share PDP contents in the Ward Sabha meeting, inviting feedback and objections, if any – if possible, the issues will be immediately addressed and the PDP modified as required
- Concurrence and agreement of users on the PDP and its implementation obtained
- Submit copies of PDP to Gram Panchayat and FDA; original PDP with all maps and minutes of meetings retained by the JFMC

#### Step 5: Pre-implementation Arrangements

- Site visit by JFMC, accompanied with RFO and facilitating NGO personnel, members of the Gram Panchayat, and Revenue department field officials
- Physical demarcation and delimitation of the identified site
- Proclamation of management rights and responsibilities of JFMC through banners and notice-boards
- Meeting of all members at the pasture development site; review and revision of plan, if required

#### Step 5: Implementation of PDP

- As per the revised plan, under supervision of the JFMC and Gram Panchayat
- Technical assistance provided by office of the Range Forest Officer/DFO
- Regular meetings and consultations continue throughout the process, facilitated by facilitating NGO.

## **Annexure 9**

### **Gender and Women Empowerments Strategy**

The key gender issue for ESIP is explicit recognition of women as primary users of forests (for collection of firewood, fodder, etc.) and NTFP collectors, and mainstreaming gender inclusive approaches across the project structures, institutions and interventions of ESIP. Gender issues in the project states are similar to those in other parts of the country; however the gender context is more challenging and adverse, given the patriarchal and restrictive socio-cultural environment for women, especially in Madhya Pradesh.

One of the core gender issues in forest resource management is women's minimal and unequal access to institutions and decision-making forums, disproportionate division of domestic, farm and household responsibilities, poor literacy, lack of access to information resources, restricted mobility, and unequal access to training and capacity building opportunities. Gender based violence, female foeticide and infanticide, as well as child marriages are social issues more prevalent and critical in project states than in other parts of the country.

Starting with the premise that women are key project stakeholders, they risk being excluded; could be the major recipients of potential adverse impacts of the project; and acknowledging the potential role they could play in collective governance and management of resources, it follows that gender issues and concerns must be mainstreamed at every stage of the project, across all institutional structures and processes, and in every project intervention. ESIP will promote the following strategies for empowerment of women in project areas:

#### **Gender disaggregated socioeconomic baseline**

The baseline planning and participatory assessment will include gender-disaggregated information on women forest users, tribal households, SCs, wage labourers, women-headed households, and common land users.

#### **Exclusive consultations with women at planning and pre-implementation stages**

Consultations and Focus Group Discussions will be held with women forest users and existing women's groups in the village. Facilitating NGOs will hold exclusive and periodic women's meetings at key stages in the pre-planning and planning process, as well as for information dissemination, and monitoring of ESIP interventions.

#### **Gender inclusive mobilization**

Facilitating NGOs and JFMC Executive Committee will follow gender-sensitive mobilization and consultation strategies for inclusion and meaningful participation of women, including the scheduling and venue of meetings as per the convenience of women.

#### **Gender-inclusive institutions**

ESIP will adopt explicit and inclusive criteria for facilitating women's membership, participation and inclusion in the JFMCs and FDAs at all levels – in the general body, executive committee and office-bearer positions. Facilitating partner NGOs will promote and proactively support women's participation in meetings, and decision making and planning processes. Wherever not specified, ESIP will follow the gender and social inclusion norms prescribed in government policies and programmes.

#### **Training and capacity building**

Women will be accorded priority in training programmes on leadership skills, JFMC record-keeping, conflict management and resolution, and alternative livelihoods (where these may emerge as project strategies or risk mitigation measures), NTFP collection and value-addition, and livestock development.

The training programmes/modules will be customized to meet women farmers' expectations and requirements, viz. on-site, village-level demonstration and training within close proximity of habitation.

ESIP would support a cadre of women community resource persons in each landscape, who will be provided support for conducting training with larger groups of women at the village level. The exposure and learning visits on forest protection and management to other areas in the state or to neighbouring states will specifically include women forest users.

**Gender-inclusive cost and benefit sharing**

ESIP will invest in development of forests and common land resources such as MPTS, grazing lands, silvipasture plots, etc. The benefit sharing norms/rules for such public goods will ensure inclusion of the primary stakeholders, especially including women, in the framing, implementation and monitoring of the cost and benefit sharing arrangements.

**Other measures**

- PMU will develop a Gender Sensitization and Orientation Training Module for ESIP staff and partners
- Special Thematic Studies on the gendered-consequences and distributional impact of the project on women and men
- Facilitating NGOs will identify, train and engage women community resource persons that would be engaged and trained in every landscape for taking forward the project's agenda of empowerment of women forest users.

## Annexure 10

### **Conflict Resolution Mechanism**

#### Community level conflicts

In the majority of conflict situations, community level conflict resolution mechanisms would be most appropriate and effective; there is therefore the need to strengthen community institutions to take on this role, and define the responsibilities of different structures/groups within the institutions in resolving potential and actual conflicts.

The formal structures, such as the executive committee (office bearers like president, secretary and treasurer) and general body of the JFMC/BMC/FRC are empowered to take a call on a conflict situation, particularly in case of conflicts arising from planning and/or implementation of RACP sub-projects. S/elected representatives will participate in customised training modules on conflict resolution within the context of ESIP. In addition, the following broad principles and modalities will serve as guidelines for conflict resolution at the community/ higher levels:

#### *Approach and principles (Partner NGO facilitates)*

- Ensure that all the interest groups are represented and heard; stakeholders are willing to listen, negotiate, compromise, and communicate – hold separate and joint pre-negotiation meetings with the groups, depending on requirements of the situation
- Develop expectations for win-win solutions
- Define and clearly articulate the interests, takes, concerns, claims and limitations, if any, of all groups that are a part of the negotiation/ consultation process
- Brainstorm creative options, adaptive strategies, and reasons for adaptations
- Prepare stakeholders for sustainable long-term solutions; may require lengthy deliberations with all conflicting groups and preparing them to go beyond the initial/ stated bargaining positions
- Combine options and suggest win-win solutions

Depending on the nature, intensity and origin of the conflict, different modalities will apply for its resolution:

**Dialogue** – this approach is recommended when positions of conflicting groups are not frozen and the parties are willing and able to engage in constructive dialogue in a threat-free environment; it involves facilitated and structured conversations amongst polarized and/or conflicting groups to increase understanding and trust. For example, this method may be adopted for arriving at negotiated agreements between different groups on the use and management of grazing lands.

**Consensus Building** – This is the most preferred method in community conflict situations involving multiple stakeholder groups with different interests. It will involve systematic and collaborative data collection and fact-finding, discussions for identification of problems, their analysis, and options for action, identification of the most appropriate solution, negotiations, and joint decision making. NGO personnel, who will be imparted training in facilitation skills, communication and collaborative decision-making, including the principles and methods of conflict resolution, will facilitate the process of consensus building.

**Facilitation** by a “Third Party”– Neutral management of the dialogue process by a mutually acceptable and agreed upon third party; the initial mediation would be done by partner NGO personnel, which will include identification of the neutral third party, which has no conflict of interest with the situation under discussion. Examples of situations where facilitation by third party will be appropriate include conflicts over the arrangements for cost and benefit sharing of forest and other resources such as NTFPs.

#### Conflicts between village-level resource management institutions

The FDAs, or federation of JFMCs at the Division level, will form the Division-level mechanism for conflict resolution.

**Annexure 11**

**Reporting Formats for Application of ESMF in Sub Projects**

Sample Reporting formats- ESIP

<b>Sample Reporting Format- Trainings conducted</b>					
S No.	Training Title and Location	Project Staff/ Community/NGO	Type of ESMF Training		
			Orientation	Refresher	Specific / Need based

<b>Sample Reporting Format- Application of ESMF in Sub Projects</b>									
Date of Reporting (DD/MM/YY)									
Implementing agency, State									
S No.	Name of sub project	Activities (with beneficiary name/ sites)	Status of Planning *				Status of Implementation		
			Possible negative impacts		E&S Impacts after screening	Applicable Mitigation measures	Planning	implementation / execution	O&M
			Environmental	Social					