

**INTEGRATED SAFEGUARDS DATA SHEET  
APPRAISAL STAGE**

**Report No.: ISDSA15621**

**Date ISDS Prepared/Updated:** 20-Apr-2016

**Date ISDS Approved/Disclosed:** 21-Apr-2016

**I. BASIC INFORMATION**

**1. Basic Project Data**

<b>Country:</b>	India	<b>Project ID:</b>	P150308
<b>Project Name:</b>	IN: Citizen-Centric Service Delivery Reform Assam (P150308)		
<b>Task Team Leader(s):</b>	Vikram K. Chand, Mohan Nagarajan		
<b>Estimated Appraisal Date:</b>	08-Feb-2016	<b>Estimated Board Date:</b>	06-Jun-2016
<b>Managing Unit:</b>	GGO18	<b>Lending Instrument:</b>	Investment Project Financing
<b>Sector(s):</b>	Public administration- Information and communications (50%), Sub-national government administration (50%)		
<b>Theme(s):</b>	Other public sector governance (50%), e-Government (50%)		
<b>Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?</b>			No
<b>Financing (In USD Million)</b>			
Total Project Cost:	49.00	Total Bank Financing:	39.20
Financing Gap:	0.00		
<b>Financing Source</b>			<b>Amount</b>
BORROWER/RECIPIENT			9.80
International Development Association (IDA)			39.20
Total			49.00
<b>Environmental Category:</b>	B - Partial Assessment		
<b>Is this a Repeater project?</b>	No		

**2. Project Development Objective(s)**

The Project Development Objective is to improve access in the delivery of select public services in Assam.

**3. Project Description**

Project Background

The Citizen Centered Service Delivery Reform Project aims to serve the citizens of Assam, especially the poor, through effective Right To Public Services (RTPS) Act implementation in the State. Its Project Development Objective is "to improve access in the delivery of select public services in Assam." With a financial outlay of US\$ 49 million (out of which US\$ 39.2 IDA funding and US\$ 9.8 Government funding), the Project takes an integrated approach to improve citizens' access to public services and strengthen accountability, addressing both the supply-side and demand-side aspects of service delivery.

The Government of Assam, recognizing the need to strengthen service delivery access, had enacted the Assam Right to Public Services (ARTPS) Act 2012 to ensure citizens' access to public services in a timely, efficient, and accountable manner. The Act enables the citizens of Assam to get notified public services within a stipulated time frame and also fixes responsibilities on public servants to provide these services in a time-bound manner. A formal appellate process under the Act has provisions penalizing designated government officials for his/her failure to give the services as sought by the citizens within a stipulated time. 55 services related to 14 departments have so far been notified by the State government under the RTPS Act.

Government to Citizens (G2C) services in Assam are being provided by approximately 31 departments. Most of the 31 G2C Departments maintain their own individual offices at the District level, and have direct contact with citizens with respect to the services they deliver. The District Office, headed by the Deputy Commissioner, plays the lead role in service provision – managing sub-divisional, circle and block operations. Service delivery capacity is nevertheless weak at many offices at district and sub-district levels.

On a request from the Government of Assam, the World Bank has committed contributing IDA credit funding of US\$ 39.2 million under the Citizen-Centered Service Delivery (CCSD) Project to support and enhance the state initiatives for improving citizens' access to public services and strengthen accountability under the ARTPS Act 2012. Earlier, through a Non-Lending Technical Assistance (NLTA), the World Bank had supported analysis of public administration constraints to service delivery for enabling a clear understanding of bottlenecks and challenges to service delivery access in the state. Simplification and streamlining of administrative procedures, reduction in levels for processing service delivery requests, and preparation of a comprehensive ICT plan and associated back end process re-engineering for efficient G2C service delivery emerged as certain key recommendations of this analytical work. The recommendations have been incorporated in the design of the Project activities.

### Project Components

The Project consists of two components. Component One: Technical Assistance (US\$ 31.7 million) will finance activities designed to strengthen RTPS implementation; support process reforms/e-enablement in targeted services; establish one-stop-centers; and create citizen feedback mechanisms. This component will disburse against eligible expenditures upon submission of IFRs. Component Two: Results-based Financing (US\$ 7.5 million) provides incentives for achieving results with respect to improving the access and accountability of RTPS services. This component will disburse against agreed eligible expenditure programs (EEPs) upon achievement of Disbursement Linked Indicators (DLIs).

Component One: Technical Assistance (US\$ 31.7 million IDA; US\$ 7.925 million GoA)

This component will provide specialized technical assistance to support implementation of the government program and the achievement of the PDO. Eligible expenditures under this component are consulting and non-consulting services, acquisition of goods and operating costs. This component will provide funding for the following 4 sub-components:

- Sub-component 1. Strengthening RTPS implementation. Activities under this sub-component will include the creation of (i) a comprehensive RTPS ICT platform for automated tracking of individual service requests and appeals, actions taken by the designated officer and staff, and rule-based escalation in case of time overruns beyond the stipulated period; (ii) a Management Information System (MIS), along with institutional mechanisms, to ensure that data from the MIS is used for calibrating the implementation of RTPS, and (iii) an online portal to promote proactive disclosure related to citizens' entitlements under the Act and procedures for accessing RTPS services, as well as allow citizens to apply for services online. In addition, this sub-component will finance two other activities, including (iv) capacity-building to support adaptation to electronic processing, and (v) the design and implementation of a change management strategy. Finally, the Project will support the creation of a high-level delivery unit with adequate authority and capacity to drive RTPS implementation across the state.
- Sub-component 2. Supporting Process Re-engineering in Targeted Services. Activities under this sub-component will include: (i) integration of electronic approaches to G2C service delivery with 15 targeted RTPS services initially within three Departments (Revenue and Welfare of Plain Tribes and Backward Classes, and Transport as well as, the Guwahati Municipal Corporation); (ii) process simplification, such as delegating responsibilities to lower levels of government, reducing the number of supporting documents required to access services; (iii) improving the field verification system for delivery of selected services, and streamlining the issuance of digitally signed certificates ; (iv) the development of a quality management system within departmental delivery processes; and (v) the creation of an integrated electronic repository of government-issued certificates available online.
- Sub-component 3. Setting up One-Stop Service Centers. Activities under this sub-component will include (i) creating 425 One-Stop-Service Centers in blocks/circles and other designated offices; (ii) equipping them with critical ICT infrastructure and reliable broadband connectivity to handle RTPS requests and deliver e-enabled targeted services ; (iii) hiring contracted staff to operate centers (two per center), and (iv) supporting other incidental costs (e.g., maintenance). Beyond these, the Project would explore alternative methods such as the use of Online to Offline (O2O) mechanisms, in view of the limited ICT connectivity in the state. Given that the connectivity solutions under this subcomponent focus primarily on the block and circle levels, such O2O mechanisms could play a vital role in bringing services even closer to local communities.
- Sub-component 4. Promoting Citizen Engagement. Activities supported will include (i) a state-wide Information and Education Campaign (IEC) to publicize the provision of RTPS Act and the procedures related to accessing RTPS services; (ii) the development of a mobile and web-based citizen feedback system based on individual transactions; (iii) the establishment of a toll-free call center to provide assistance to citizens and register grievances for redress. These apart, Citizen Engagement will be accentuated by custom made location specific social accountability measures such as Social Audit and Citizen Score Cards. These will be designed as a part of the overall monitoring and evaluation arrangements.

Component Two: Results-Based Financing (US\$ 7.5 million IDA; US\$ 1.875 million GoA)

This component aims to support the Government of Assam to implement critical public management reforms related to delivery of public services. Specifically, this component supports the

Government's Program which aims to broaden access to RTPS services particularly with regard to scheduled areas, increase the number of notified services and incentivize the establishment of one-stop service centers across the state.

A result-based financing approach will be used to provide incentives for achieving key results. It will disburse upon achievement of key results as measured by the Disbursement Linked Indicators (DLIs) and against the execution of agreed-to Eligible Expenditures Programs (EEPs).

Disbursement-Linked Indicators (DLIs): Four DLIs have been selected for providing incentives to expand the coverage of RTPS to tribal districts; increase the number of services notified under the law; promote the setting-up of one-stop centers; and encourage the use of RTPS services by an increasing number of citizens.

- DLI 1: Increase in the volume of applications submitted on-line for RTPS services (US\$2.5 million). The Project will also incentivize citizens' increased access to services under RTPS, given that citizens are mostly unaware of the Act and how to access services under its provisions; and number of citizens accessing RTPS services is meager.
- DLI 2: One-stop shop service access centers fully operational (US\$1 million). The fully equipped and adequately staffed centers would be required to function at least six hours on all working days to receive RTPS service requests and be able to electronically deliver the targeted set of RTPS services.
- DLI 3: Access to RTPS services expanded in underserved areas of Assam (US\$2.5 million). The RTPS Act has not been implemented in the six autonomous districts and 20 formal endorsements of the Autonomous Councils would be required before an Act of the State Legislature is enforced within their jurisdiction. The Government of Assam has initiated dialogue with the Autonomous Councils to extend the coverage of RTPS Act to all these six autonomous districts.
- DLI 4: Increased number of services notified under RTPS Act (US\$ 1.5 million). The result based financing approach would also incentivize expansion of the number of services from the present 55 services to at least 80 services over the next five years. Some key services such as the issuance of ST and income certificates and income certificates would be notified as RTPS services over time.

Additional details on the Project activities, DLIs, and Eligible Expenditure Programs are provided in the Project Appraisal Document.

#### **4. Project location and salient physical characteristics relevant to the safeguard analysis (if known)**

The Project activities will be executed across Assam, the largest state in the North East region of India. Assam is one of the seven north-eastern states (together called as 'seven sisters'), which is situated just below the eastern Himalayan foothills. The State of Assam spreads over an area of 78,438 sq km and is surrounded by six of the other Seven Sister States: Arunachal Pradesh, Nagaland, Manipur, Mizoram, Tripura, and Meghalaya. Geographically, Assam and these States are connected to the rest of India via a strip of land in West Bengal called the Siliguri Corridor or "Chicken's Neck". Assam shares international borders with Bhutan and Bangladesh. A significant geographical aspect of Assam is that it contains three of six physiographic divisions of India - The Northern Himalayas (Eastern Hills), The Northern Plains (Brahmaputra plain) and Deccan Plateau (Karbi Anglong). The River Brahmaputra, the life-line of Assam becomes a braided river (at times 10-16 km wide) and with tributaries, creates a flood plain. The hills of Karbi Anglong, North Cachar and those in and close to Guwahati (also Khasi-Garo Hills) are originally parts of the South Indian Plateau system. In the south, the River Barak originates in the Barail Range (Assam-Nagaland

border) flows through the Cachar district with a 40–50 km wide valley and enters Bangladesh with the name Surma River. The Brahmaputra and the Barak rivers are part of the two of the major National Waterways and together cover almost 1000 km across the State.

The Population of Assam according to the 2011 census stands at around 31 million, making it the 14th most populated State in India. 86% of the population lives in rural areas. Assam is an agrarian state with only limited industrialization. The only Project activities that are expected to beset with potential of pollution relate to the installation and operation of electric generators which are expected to be housed in the existing (government) buildings.

## 5. Environmental and Social Safeguards Specialists

Gaurav D. Joshi (GEN06)

Suryanarayana Satish (GSU06)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	The project activities are limited in their physical scope and could have, albeit very small, impacts on the environmental receptors. A simple EMP that will be implemented at the block/taluk level has been prepared to handle these impacts of material storage, installation and operation of generators, use of electronic equipment, etc.
Natural Habitats OP/BP 4.04	No	The project activities are confined to areas that are within office complexes or buildings and not close to any important natural habitats.
Forests OP/BP 4.36	No	The project does not involve any commercial logging. It also does not involve any forest land.
Pest Management OP 4.09	No	Project activities are not likely to use any pesticides.
Physical Cultural Resources OP/BP 4.11	No	No cultural resources are likely to be affected by the project as the sites of works are likely to be within existing premises of government offices.
Indigenous Peoples OP/BP 4.10	Yes	There are tribal people living in the state and are likely to be impacted by the Project. The Project activities will not result in any adverse or negative impact on tribals. However, to ensure that the Project does reach tribals viz., inclusion and equity, the policy is triggered. Accordingly, a Tribal Development Plan has been prepared.
Involuntary Resettlement OP/BP 4.12	No	The only activity requiring lands relate to the establishment of one stop centers. These will be housed in the existing government buildings. So, private land acquisition is not warranted. Hence, this policy is not triggered.
Safety of Dams OP/BP 4.37	No	
Projects on International Waterways OP/BP 7.50	No	

Projects in Disputed Areas OP/BP 7.60	No	
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## II. Key Safeguard Policy Issues and Their Management

### A. Summary of Key Safeguard Issues

#### 1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

##### Environmental Safeguard Issues and Impacts

The proposed activities would have limited environmental impacts as they concentrate mostly on the technical assistance. The key environmental issues that arise out of the limited physical activities under the project pertain to the installation of the small infrastructure/equipment – V-Sat arrangements, generators for power supply to the centers, and the handling and disposal of electronic equipment and batteries. The limited impacts that may arise include the safety of workers and people using the premises for currently rendered services, proper location and installation of generators, for minimizing noise and air emissions, proper handling of fuel during the operation. Fire safety could be a consideration where fuel quantities are large. For equipment which are at the end-of-use, such as handling and disposal of batteries, which may contain Lead, and electronic devices like computer which contain hazardous material, needs to be proper to avoid unnecessary contamination due to indiscriminate handling and disposal. There are no likely large-scale, significant or irreversible impacts due to the project activities.

##### Social Safeguards Issues and Impacts

Key interventions relate to the establishment of One Stop Centers and ensuring connectivity. The Centers are expected to be of the size of about 600-800 sq. ft. and will be housed in the existing government buildings/campuses belonging to the district or sub-district offices. At the best, the Project may have to invest in refurbishing of the existing structures so as to make it fulfill the Project's requirements. Hence, the Project need not acquire lands. So, OP 4.12, on Involuntary Resettlement, is not triggered.

Assam is an ethnically diverse state with different languages, traditions and cultural practices; it is the melting pot of a large number of ethnic tribes and races, which have infused richness in the cultural tapestry of Assam. The total tribal population in the state is 3,308,570, which is 12.4% of the total population of the state or 3.72% of the total tribal population of the country. The tribal population in Assam is predominantly rural with 94.4% residing in rural areas. The tribal people normally live in contiguous areas; and their lives are closely associated with nature – streams, trees, plants, animals, etc. It is therefore recognized that maintaining their identities would invariably mean keeping their traditional environment intact with them. In order to protect the interests of the tribal population in the North Eastern states, provision of Sixth Schedule is enshrined in the Constitution under Articles 244(2) and 275(1) to enable autonomous administration of the tribal areas of Assam. Six tribal districts of Assam - Karbi Anglong, Dima Hasao, Kokrajhar, Chirang, Baksa & Udalguri - have been declared as the Scheduled Areas. The administration of these autonomous areas is vested in the Autonomous Councils established as per the provisions laid down in the Sixth Schedule. These Councils are endowed with legislative, judicial executive and financial powers.

While the tribal populations of Assam are not socio-culturally cut-off, there is a discernible gap in development in the scheduled areas as compared to the state in general. Isolation from the mainstream society, economic and social backwardness, poverty and its manifestations, low levels of literacy and health care, primitive system of production, etc. has limited the development in certain pockets, especially in Scheduled Areas. The history of vulnerability and prolonged marginalization puts forth the need for inclusion of tribals as an important stakeholder group in all developmental activities undertaken and ensuring that they receive due attention not only to meet the basic needs but also to encourage them to participate actively in the development process. Thus, while Project activities will have no negative impacts on the tribals, dedicated efforts are required to ensure that the tribals derive full benefits from the Project. This in view, the project has prepared a Tribal Development Plan aimed at ensuring inclusion of, and equity among, the tribals.

The Tribal Development Plan (TDP) is unique as it has a provision for Results Based Financing, and accordingly Disbursements Linked Incentives (DLIs) have been developed. Key indicators for this includes: (i) extending the RTPS Act to the Scheduled Areas; and (ii) establishment of One Stop Centers in the Scheduled Areas.

**2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:**

Not anticipated.

**3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.**

Not anticipated.

**4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.**

OP 4.01 Environmental Assessment. A PMU has been established in the ARIAS for managing this project. The PMU has prepared an Environmental Management Plan that lays out the project and ways to handle anticipated environmental impacts. It has a structured set of formats to be filled up by block/taluk level officers at various stages of the sub-project to ensure that the environmental aspects are considered properly during selection of the location, installation and operation of equipment, and end-of-use phases. The PMU will also confirm the application of the same, including during site visits. A consolidated tracking form has been devised to monitor progress in implementation of these measures during the course of the project.

OP 4.10 on Indigenous Peoples. Towards its compliance, a Tribal Development Plan has been prepared. The principal objectives of the plan are to ensure dedicated focused attention to the tribals, thereby ensuring free, prior and informed consultation with the tribals, especially living in the Scheduled Areas, and that they are able to participate in, and derive fully the benefits of the Project. The Tribal Development Plan outlines a strategy and implementation action plan prepared blending the existing government framework and traditional systems of tribal governance, so as to enable to extend the benefits of the Assam Right to Public Services (RTPS) Act to tribal people of Sixth Schedule areas and those residing in other districts. The Project seeks to provide access to information relating to service delivery focusing on procedures and processes for accessing services under the RTPS law; and will establish One-Stop-Service Centers for RTPS service delivery closer to tribal people. Concepts of community collaboration and community driven development principles of equity, inclusion, participation, autonomy and accountability would form the core of the tribal development strategy. Activities under the Project do focus on

capacitating citizen stakeholders and creating an enabling environment to strengthen structured engagement between service providers and tribal community members. A separate budget provision has also been made for the preparation and implementation of the Plan.

The Borrower has been associated with the Bank for a number of years and successfully implemented several projects. Currently, there are four projects in the spheres of agriculture, rural water supply, water resources and public financial management, which are under various degrees of implementation. Performance of most of these projects has been rated as satisfactory. Thus, the Borrower is well versed with the Bank's procedures including managing safeguards. The current Project, in fact, is anchored with the on-going project management unit (Assam Rural Infrastructure and Agriculture Services Society) which has operational units in each of the 27 districts. The state level management unit is planned to have four key senior level specialists – social development, communication, information technology and monitoring and evaluation - to spearhead the implementation of the Project. At the grassroots, the Project plans to deploy 800 personnel to manage the one stop centers. In the tribal areas, plans are afoot to deploy rather exclusively the tribal people.

**5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.**

The stakeholders of the Project are:

- Common citizens, notably the poor who depend on basic services of the Government;
- Tribal people in Sixth Schedule and non-Schedule areas of Assam; and excluded social groups, such as Adivasi migrant workers in Tea Gardens, and residents of riverine and border areas;
- Government of Assam Departments involved in RTPS service delivery;
- The Autonomous Councils in Sixth Schedule areas; and the Councils established under State Legislations; and
- NGOs, civil society and community based groups with specialization working with underserved populations.

The Project has held extensive consultations with the stakeholders both in the Scheduled Areas and in the Non-Scheduled areas. The former includes three major meetings in three districts: Baksa (Salbari Sub-division), Karbi Anglong (Hamren Sub-division) and Dibrugarh. Of these three, Baksa and Karbi Anglong are Sixth Schedule districts; and the stakeholder consultation in Dibrugarh was attended by representatives of other Scheduled Tribes such as Mishing & Sonowal Kachari communities. More than 200 citizen representatives have participated in these consultations, and participation by women was far higher than that of men. This apart, a series of consultations were conducted with groups of citizens (tribals and non- tribals included) in six districts: Kamrup, Kamrup Metro, Nalbari, Baksa, Sonitpur and Morigaon. Feedback evinced in these meetings has been fed into designing of the Project.

Formal consultations have been held after the draft EMP was disclosed for comment and feedback on the same has been included in the finalized version.

**B. Disclosure Requirements**

<b>Environmental Assessment/Audit/Management Plan/Other</b>	
Date of receipt by the Bank	27-Jan-2016
Date of submission to InfoShop	15-Mar-2016



For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	
"In country" Disclosure	
India	28-Jan-2016
<i>Comments:</i>	
<b>Indigenous Peoples Development Plan/Framework</b>	
Date of receipt by the Bank	29-Jan-2016
Date of submission to InfoShop	29-Jan-2016
"In country" Disclosure	
India	29-Jan-2016
<i>Comments:</i>	
<b>If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.</b>	
<b>If in-country disclosure of any of the above documents is not expected, please explain why:</b>	

### ***C. Compliance Monitoring Indicators at the Corporate Level***

<b>OP/BP/GP 4.01 - Environment Assessment</b>	
Does the project require a stand-alone EA (including EMP) report?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
<b>OP/BP 4.10 - Indigenous Peoples</b>	
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit or Practice Manager?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
<b>The World Bank Policy on Disclosure of Information</b>	
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
<b>All Safeguard Policies</b>	

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Have costs related to safeguard policy measures been included in the project cost?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]

### III. APPROVALS

Task Team Leader(s):	Name: Vikram K. Chand, Mohan Nagarajan	
<b><i>Approved By</i></b>		
Practice Manager/ Manager:	Name: Alexandre Arrobbio (PMGR)	Date: 21-Apr-2016