

INTEGRATED SAFEGUARDS DATA SHEET

CONCEPT STAGE

Report No.: ISDSC8646

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I. BASIC INFORMATION

A. Basic Project Data

Country:	India	Project ID:	P150308
Project Name:	IN:Citizen-Centric Service Delivery Reform Assam (P150308)		
Task Team Leader(s):	Vikram K. Chand,Mohan Nagarajan		
Estimated Appraisal Date:	08-Feb-2016	Estimated Board Date:	18-Mar-2016
Managing Unit:	GGO18	Lending Instrument:	Investment Project Financing
Sector(s):	Public administration- Information and communications (50%), Sub-national government administration (50%)		
Theme(s):	Other public sector governance (50%), e-Government (50%)		
Financing (In USD Million)			
Total Project Cost:	49.00	Total Bank Financing:	39.20
Financing Gap:	0.00		
Financing Source			Amount
BORROWER/RECIPIENT			9.80
International Development Association (IDA)			39.20
Total			49.00
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

B. Project Objectives

Contribute to improving Efficiency, Accountability, and Access for Targeted Services in Underserved Areas.

C. 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) Reform 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 400 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:** Citizen Access to RTPS services expanded in underserved areas of Assam (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:** Steady increase in the volume of electronically submitted applications for selected RTPS services (US\$2.5 million). The RTPS Act has not been implemented in the six districts administered under the Sixth Schedule; formal endorsements of the Autonomous Councils are required before an Act of the State Legislature is enforced within their jurisdiction. Government of Assam has initiated dialogue with the Autonomous Councils to extend the coverage of RTPS Act to all these six districts.
- **DLI 3:** Increased number of services notified under ARTPS 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.
- **DLI 4:** One-stop-shop service access centers fully operational to receive RTPS service requests on-line; and electronic delivery of targeted services (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.

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

D. 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.

E. Borrowers Institutional Capacity for Safeguard Policies

The Government of Assam and the Implementing Agency have experience in implementing the Bank-supported projects in transport, agriculture, rural development, and ICT sectors, thus, they are exposed to the Bank safeguards requirements.

The Project will be implemented through the Assam Rural Infrastructure and Agriculture Services (ARIAS) Society, which manages Bank-financed projects in Assam. The State Project Director of ARIAS will serve as Project Director of this Project. This existing institutional arrangement will be beneficial for coordination among GoA departments and streamlining fiduciary arrangements. The existing procurement and financial management specialists of ARIAS will facilitate all fiduciary activities related to the Project. A Project Management Unit (PMU) within ARIAS will coordinate with all participating agencies and liaise with the Bank. The PMU will oversee technical inputs, consolidate required documentation, and conduct financial management and procurement activities. The Project Director and the PMU will be responsible for ensuring compliance with the Bank's financial management, procurement regulations and safeguard requirements, and will report to the Bank on a regular basis. For additional details on the implementation arrangements, please refer to the Project Appraisal Document.

F. Environmental and Social Safeguards Specialists on the Team

Gaurav D. Joshi (GEN06)

Suryanarayan Satish (GSU06)

II. SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	The project will not finance any civil works or TA for civil works, under any circumstances whatsoever. Therefore, the environmental risk of the proposed project is therefore very low. However, it is possible, though unlikely in most cases, that minor civil works involving small renovations to existing buildings where ICT infrastructure will be housed may be required. Also, the installation of ICT equipment may produce waste material that needs to be disposed of in an acceptable way. To allow for this possibility and further, to ensure that these minor civil works, if and when they required, are acceptably managed, the project will prepare a very

		simple Environmental Management Plan (EMP) to provide guidance on how issues such as disposal of removed material including cables, batteries, trenches for laying of cables, etc., are to be managed. In locations where generators are required to be installed for the availability of power supply, these would need to be operated in an environmentally sound and safe manner. Guidance about this would also be included in the EMP.
Natural Habitats OP/BP 4.04	No	
Forests OP/BP 4.36	No	
Pest Management OP 4.09	No	
Physical Cultural Resources OP/BP 4.11	No	
Indigenous Peoples OP/BP 4.10	Yes	<p>The tribal population is 3,884,371, which is 12.4% of the total population of the state. The tribal in Assam constitute 3.72% of total tribal population of the country. The State has registered 17.4% decadal growth of tribal population in 2001-2011 which is slightly higher than the overall decadal growth for the state. The overall sex ratio among tribal people is 984, which is marginally less than the national average of 990. The tribal population in Assam is predominantly rural with 94.4% residing in rural areas.</p> <p>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. Major tribes of Assam are: Bodo (35.1%), Mishing (17.52%), Karbi (11.1%), Rabha (7.6%), Sonowal Kachari (6.5%), Lalung (5.2%), Garo (4.2%), and Dimasa tribes (3.2%). They constitute ninety per cent ST population of the state. The other tribal people in Assam are Deori, Hajong, Thengal Kachari, Khasi, Jaintia, Mech, Chakma, Mizo, Hmar, Kuki tribes, Naga tribes, Barmans (in Cachar), Man (Tai speaking), Khampti and Singhpoh tribes. In order to protect the interests of the tribal population, provision of Sixth Schedule is enshrined in the Constitution under Articles 244(2) and 275(1) to enable autonomous administration of the tribal</p>

		<p>areas of Assam. Six tribal districts of Assam: Karbi Anglong, Dima Hasao, Kokrajhar, Chirang, Baksa & Udalguri have been declared as the Scheduled Areas.</p> <p>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 People/ Development Plan has been prepared.</p>
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	

III. SAFEGUARD PREPARATION PLAN

A. Tentative target date for preparing the PAD Stage ISDS: 22-Jan-2016

B. Time frame for launching and completing the safeguard-related studies that may be needed.

The specific studies and their timing¹ should be specified in the PAD-stage ISDS:

Project will conduct a Social Assessment enquiry which would include: (i) beneficiary assessment; (ii) stakeholder analysis; (iii) impact assessments; (iv) institutional assessments; and (v) enlisting issues of significance. Subsequently, in accordance with OP 4.10, a Tribal Development Plan (TDP) will be prepared to ensure that project effectively reaches the tribal people. Environmental management measures for common activities will be included in the Environmental Management Plan.

IV. APPROVALS

Task Team Leader(s):	Name: Vikram K. Chand,Mohan Nagarajan	
<i>Approved By:</i>		
Safeguards Advisor:	Name: Maged Mahmoud Hamed (SA)	Date: 27-Jan-2016
Practice Manager/ Manager:	Name: Alexandre Arrobbio (PMGR)	Date: 27-Jan-2016

¹ Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) at the InfoShop and (ii) in country, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.