

RP1796

**Uttar Pradesh  
Pro-Poor Tourism Development Project**

# Social Management Framework

**Draft  
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**State Department of Tourism  
Government of Uttar Pradesh**

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## Abbreviations

ASI	Archaeological Survey of India
CPCB	Central Pollution Control Board
CPR	Common Property Resources
EA	Environmental Assessment
EIA	Environmental Impact Assessment
ESIA	Environmental and Social Impact Assessment
EMP	Environmental Management Plan
ESMF	Environmental and Social Management Framework
EMP	Environmental Management Plan
GAP	Gender Action Plan
GoI	Government of India
GoUP	Government of Uttar Pradesh
GRC	Grievance Redressal Cell
INTACH	Indian National Trust for Art and Culture
MoEF	Ministry of Environment and Forests
NGO	Non-Governmental Organization
NMA	National Monuments Authority
PAP	Project Affected Person
PAF	Project Affected Family
PCRMP	Physical Cultural Resources Management Plan
PWD	Public Works Department
R&R	Resettlement and Rehabilitation
RAP	Resettlement Action Plan
RTI	Right to Information Act (2005)
SEIAA	State Environment Impact Assessment Authority
SIA	Social Impact Assessment
UPPCB	Uttar Pradesh Pollution Control Board

## **1. INTRODUCTION**

### **1.1 Striving for Excellence**

The Uttar Pradesh Pro-Poor Tourism Development Project has been prepared by the Government of Uttar Pradesh, through its Department of Tourism, to strive for positive development outcomes in the activities and investments it will support.

Its preparation has been informed by the lessons learned from similar projects implemented worldwide as well as by thorough analyses and studies of the areas, assets and people the project aims at supporting. The latter include (i) complete profiles of the target areas, (ii) a GIS-based inventory of their natural and cultural assets, (iii) a value chain analysis of local enterprises and tourism economy, (iv) a sample survey of street vending in Agra, and (v) mapping and assessments of crafts in key project target areas.

The project preparation has also been driven by a participatory process through which ideas and findings have been shared with, and suggestions and proposals have been shaped by, more than 450 stakeholders – from government officials to experts and communities – consulted from its inception. This participatory process has not only informed the crafting of the project's development objectives and components, but also all proposed subprojects and the institutional arrangements for their implementation and later sustainability.

In order to ensure the project achieves its intended development objectives, similar standards of technical excellence, participation and transparency will be applied during its implementation.

To this end, the World Bank safeguards policies discussed in this document provide important guidelines for the State Department of Tourism, implementing agencies and partners to prevent and mitigate, early on, potential undue harm to people and their environment and cultural assets while nurturing the expected positive impacts from the project preparation to closing.

### **1.2 World Bank Safeguards Policies**

To achieve these ends, clients are required to develop two overarching documents during a given project preparation. These include:

- A Social Management Framework (SMF), which establishes the overarching standards that the client is to meet throughout the life of the project.
- A Social Impact Assessment (SIA), which establishes the specific procedures, management and mitigation measures that the client is to meet for the implementation of each identified subproject and activity to be financed under a project supported by a World Bank loan or credit.

These documents also form the basis for the World Bank and Government of India's evaluation of the social soundness of a proposed project prior to its approval.

### **1.3 Social Management Framework**

#### **Objectives**

As part of the preparation of the Uttar Pradesh Pro-Poor Tourism Development Project, the State Department of Tourism, Government of Uttar Pradesh, is conducting SIAs of a group of identified activities and investments (subprojects) which will be supported under the project starting in the first year of its implementation.

In order to ensure that the project achieves its intended development objectives and investments are sustainable, and since the exact location and/or specific scope of work of all project activities are not yet known, the State Department of Tourism has also developed this project-level Social Management Framework (SMF) that sets out a comprehensive set of principles, rules, incentives and procedures to assess the potential positive and adverse cultural, environmental and social impacts of the identified subprojects to be supported under the project in general.

This ESMF has been prepared based on legal regulations and frameworks of Government of India's, State Government of Uttar Pradesh and World Bank's applicable Operational Policies. It is a technical day-to-day guide for the State Department of Tourism and partners at government, private, civil society and expert levels to identify and address the potential environmental and social and cultural concerns or adverse impacts of the project from the preparation stage to its implementation and post-implementation operation and maintenance. It provides guidance on cultural properties, environmental and social management aspects for the adequate planning, design, execution and operation of the works and investments to be financed under the project, ultimately enhancing the expected positive impacts of the project.

The main objectives of the SMF are to:

- Establish clear principles and outline all relevant legislation/regulations for the cultural, environmental and social planning, review, approval, implementation and monitoring of subprojects to be financed under the project.
- Outline the procedures to be followed in order to comply with the principles, laws and regulations relevant to the project.
- Specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring cultural, environmental and social concerns related to subprojects to be financed under the project.
- Determine the training, capacity building and technical assistance needed to successfully implement the provisions of the SMF.
- Provide practical information resources for implementing the SMF.

Specifically, it will assist the State Department of Tourism and concerned partners to:

- Identify in a pro-active manner the project activities that can have potential adverse social, cultural and/or environmental impacts and to develop mitigation measures.
- Research and select the design and construction practices that are aligned with the project objectives and address upfront identified adverse impacts.
- Define the role of communities at different stages of the project.
- Achieve the project development objectives.

This document will be updated as required during the implementation of the project to reflect any changes to proposed project investments or World Bank policies.

### **Key Steps**

The SMF is a framework that guides the preparation of social and cultural heritage impact assessments and management plans that guide the development, management and oversight of

subprojects to be financed under the project, while ensuring sensitivity to environmental, social and cultural heritage concerns.

The key steps involved in preparing such assessments and plans are outlined below and detailed procedures required for each of these steps are described in section 5:

- i. Screening and category classification.
- ii. Impacts identification and analysis of alternatives.
- iii. Stakeholder identification and gathering of baseline data.
- iv. Development of mitigation measures and actions.
- v. Public consultation and disclosure.
- vi. Review and approval.
- vii. Conditionality and contractual obligations.
- viii. Monitoring.
- ix. Reporting.

In addition, the ESMF presents the typical potential impacts on the environment, social groups and cultural heritage. It also lists all key legislation and regulations that may apply to the project.

Specific templates and further guidance on the safeguards and regulatory framework are provided in the annexes.

### **SMF Consultation and Public Disclosure**

Following the participatory methodology employed in the project preparation, this draft ESMF also benefitted from the insights and suggestions of key government agencies and concerned stakeholders. To this end, public consultations were also carried out in sample subproject areas to get feedback and suggestions, especially from local stakeholders. The minutes of the meetings will be prepared highlighting the key discussions and issues raised by the stakeholders.

This draft SMF is translated into Hindi and has been disclosed on the websites and placed with the offices of the nodal agencies.

The summary of consultations will be given in the format below:

**Table 1 - Summary of SMF Consultations**

<b>Date of consultation</b>	<b>Place of consultation</b>	<b>Number and type of participants</b>	<b>Issues raised</b>	<b>How issues have been addressed in the final SMF</b>

## 2. PROJECT SCOPE AND INSTITUTIONAL ARRANGEMENTS

### 2.1 Project Background

#### *Country context*

India has some of the greatest wealth in tangible and intangible heritage. As a powerful economic driver, its heritage has had undeniable positive implications. From subsistence practices and handlooms to precision engineering and a reputable steel industry, India's economy has long relied essentially on its cultural assets, expressed through the creativity and adaptation of its indigenous industries, traditional skills and built heritage. As a socially invaluable endowment, heritage also has vast noneconomic development impacts. Women's empowerment—as sources and transmitters of much local knowledge and cultural practices – and youth employment are at the core of associated creative industries. They are instrumental in leading to appreciation of differences and a renewed sense of identity and stronger social compacts, thereby increasing communities' inclusion and generating economic vitality for heritage towns and historic areas. As endogenous assets, India's heritage has provided essential services to areas, towns and communities – including reliable rainwater harvesting systems (*kunds*), shelter and places of worship, to mention a few. Most ancient Indian towns were planned and built applying what are considered today as advanced notions of "sustainable urban growth" by designing walkable and compact use of land through mixed-use development, and promoting the preservation of natural and cultural resources and open spaces at the core of their strategies for cities' livability and socioeconomic vibrancy.

Despite its wealth and strong related socioeconomic impacts, the reality is that India has been unable to harness the power of its heritage in a way that drives inclusive growth and reduces poverty. In practice, the economic benefits that have been generated from its heritage, especially linked to tourism – one of the main economic sectors associated to heritage – has had little trickle-down effect on host communities and the assets themselves. Much of the value from tourism expenditure is retained by transport and accommodation service providers, who tend to both, be located outside the heritage-rich tourism attractions they explore, and insulate their clients from the surrounding communities. At the broader level, the World Economic Forum's Travel and Tourism Competitiveness Report for 2011 ranked India 68th out of 139 countries on overall tourism competitiveness despite being ranked 19th in terms of touristic resources. India's tourism, in spite of its assets, only ranked 36th globally in terms of international arrivals, 39th in international tourism receipts, and 54th in terms of expenditure per visitor. The state of Uttar Pradesh best exemplifies this paradox.

#### *State context*

Uttar Pradesh – India's biggest tourist draw, containing some of the country's most iconic heritage and annually attracting millions of devotees and visitors – remains one of India's most lagging states. UP is the fourth largest and most populous state with over 199 million inhabitants, and is home to the emblematic Taj Mahal, to the second ancient living city in the world – Varanasi – located on the banks of the sacred Ganges, and to two of the world's four most sacred Buddhist sites – Sarnath and Kushinagar, to mention a few of its heritage assets visited and worshipped by millions annually. In 2011, the state attracted 155 million domestic and 1.8 million international visitors out of 748 million domestic and 6.2 million international tourists visiting India, who contributed a total of USD 6 billion to Uttar Pradesh's economy in the same year. Despite this unique endowment, Uttar Pradesh remains India's third most lagging state, with a 37.7 poverty rate. Currently, over 50 million people live below the poverty line. The state has one of the lowest per-capita incomes at US\$445 per annum compared to the national



average of US\$922 per annum. It also lags behind most Indian states across a number of human development indicators, such as literacy and infant mortality. Specifically in terms of tourism, despite its staggering numbers, the majority of earnings have been captured by airlines, travel agencies and tour operators.

Closer site-level data indicates that the Braj- Agra Corridor and the Buddhist Circuit, which contain some of India's and Uttar Pradesh's prime tourist destinations and greatest wealth of heritage assets, have some of the state's highest poverty rates. For instance, its most iconic heritage asset and India's most significant tourism draw, the Taj Mahal in Agra, is surrounded by more than 200 slums with crumbling infrastructure and services, and associated low living standards – a lost opportunity for inclusive poverty reduction.

### *The challenge*

A combination of ineffective approaches and practices are inhibiting Uttar Pradesh's tourist destinations from leveraging their unique cultural and natural assets as endogenous sources of inclusive growth and poverty reduction through pro-poor tourism development. This is due to:

- A tourism vision mostly centered on serving the needs of international tourists.
- Ad-hoc planning, investments and institutional fragmentation.
- Poor site management, threatening heritage and reducing visitor satisfaction and retention.
- Policy approaches hindering communities from reaping the benefits of tourism development.
- Infrastructure gaps as well as subpar connectivity, affecting visitors and poorer segments of the population to a greater extent.
- An ineffectively developed and restrictive regulatory, business and investment climate, stunting private sector investment.

### *Pro-poor tourism and an area-based approach*

The Project will support the state's plans for restructuring its tourism sector in a pro-poor manner with a view to increasing benefits to local communities and improving the management of its tourism destinations. Many developing countries have recognized pro-poor tourism as an effective means of reducing poverty and as a driver for more inclusive economic growth, as well as a means of contributing to better stewardship of heritage assets. Tourism's pro-poor potential relies on the fact that, when well-planned and managed, tourism is consumed at the point of production, is labor intensive, and can finance basic services in backward areas often overlooked by traditional tourism development schemes.

At its core, the project emphasizes the government's key role in structuring and regulating tourism development for its adequate growth in a pro-poor manner. Experience shows that the greatest impediment to pro-poor benefits from tourism is not the type or size of tourism, but the way the tourism sector is structured, its approach to development, supply chains, linkages and expenditure reach. Governments also have a central role to play in removing bottlenecks to critical private sector investments in tourism through adequate policies, regulations and focused public investment.

The pro-poor approach adopted by the project also aims at catalyzing the impact of key sectors in a given area, such as accessibility/connectivity, environmental preservation, asset management and business development on local communities. The project will do so by promoting an integrated area-based approach in which tourist destinations and their iconic

heritage assets are planned, promoted, served, stewarded and linked geographically. This area-based approach also allows for improved understanding of a given area's potential and linkages with other industries, the strengthening of the skills of the local population, and the promotion of small-scale entrepreneurship, especially amongst poor women and youth.

## **2.2 Environmental and social baseline information**

For baseline data on the overall environmental and social contexts in the state of Uttar Pradesh, see **Annex 2**.

### **2.2 Project Objective**

The Uttar Pradesh Pro-Poor Tourism Development Project aims to contribute to improving living conditions and increasing income opportunities for the poor through enhanced tourism development in the Buddhist Circuit, Braj region and Agra.

The project's tentative key results indicators, based on which its final performance and impacts would be analyzed are:

- of fiscal revenues generated by tourism activities retained in the project areas (disaggregated between local, state and national revenues)
- Average proxy real household income in project areas increased by x
- of population disaggregated by gender in project areas satisfied with the quality of social services financed by the project

Specific ages will be defined during the project appraisal.

### **2.3 Project Components**

The project has four proposed components:

**Component 1: Destination Planning and Governance** aims to establish the institutional structures, policies and coordination mechanisms necessary for effective destination-level tourism planning and governance by providing a combination of advisory and technical assistance and financing in (i) the development of integrated destination-level tourism development plans for the project target areas; (ii) the elaboration of branding and promotion strategies for the target areas; (iii) the strengthening of institutions involved in the tourism sector at state and local levels; (iv) the development of effective tourism information systems; (v) the improvement of visitor management systems; and (vi) the revision of regulations for the effective development of the tourism sector in Uttar Pradesh.

**Component 2: Tourist Products Development and Management** aims to enhance the tourist experience while simultaneously contributing to improving local living conditions and livelihood opportunities by developing existing tourist "attractions" into successful tourist "products". Activities under this component will include advisory and technical assistance and financing in (i) the enhancement of existing iconic attractions (e.g. illumination, landscaping, security); (ii) the provision of interpretation and information at monuments and sites of interest, including visitors centers, signage and information kiosks; (iii) the development and diversification of destination-level activities, such as museums and heritage walks; (iv) the provision of basic facilities and services for tourists and local communities alike; and (vi) the training of individuals and groups employed in the tourism sector.

**Component 3: Support to Local Creative Economy** aims to improve the living, working and economic conditions of those working in the creative economy in the project target areas by providing advisory and technical assistance and financing in (i) the enhancement of skills; (ii) the provision of infrastructure and tools for producing and marketing; and (iii) the development of branding and promotion strategies, including mapping of local creative industries and business development training.

**Component 4: Project Management** aims to provide the necessary technical and advisory support to the adequate management and coordination of the project through (i) the establishment and operation of a State Project Coordination Unit (SPCU) in Lucknow and Technical Support Units (TSU) in selected project target areas; (ii) project monitoring and evaluation; and (iv) project communication.

## **2.4 Project Potential Activities and Investments (Subprojects)**

The following potential subprojects may be financed under the project:

### **Agra**

- Integrated Tourism Development Plan for Agra (including information system)
- Branding and promotion of "Agra Beyond Taj" strategy and implementation
- Visitor center and 2 well-equipped mobile vans for publicity and assistance to tourists
- Signage and illumination of monuments and tourist areas
- Revitalization of Mughal gardens (to be selected) and basic service provision to adjacent communities
- Development of Tourist Walkway between Taj Mahal and Agra Fort
- Improvement of access, services and surroundings of selected ASI protected monuments (to be confirmed with ASI)
- Mughal Museum
- Skill Development Program and support to artisans (including heritage walks and incubators at state-owned monuments)
- Training for Police Department, Municipal Corporation and concerned departments
- Centers of Living Traditions (marble inlay and glass works)

### **Braj Region**

- Integrated Tourism Development Plan for Braj (including information system)
- Branding and promotion of Braj region strategy and implementation
- Visitor Centers in Vrindavan, Govardhan and Barsana and 4 well-equipped mobile vans in the other destinations
- Basic service provision, access, parking, signage, illumination of key temples and tourist areas in the 7 destinations along the Parikrama
- Revitalization of selected kunds along the Parikrama and basic service provision to adjacent communities
- Access improvement and services at Mathura Museum
- Cultural walk in Old Vrindavan
- Improvement of access and public facilities for pilgrims at Vrindavan Bihari ji Temple
- Forest development between Mathura and Vrindavan
- Improvement of access and surroundings of Kusum Sarovar
- Support and skills development for artisans at Braj Haat
- Training for Police Department, Municipal Corporations and concerned departments
- Facilities for Tourist Police (CCTV, bicycles, golf carts)
- Centers of Living Traditions (embroidery, Mathura school of art).

## **Buddhist Circuit**

- Integrated Tourism Development Plan for the Buddhist Circuit (including information system)
- Branding and promotion strategy and implementation
- Visitor centers in Sarnath, Kushinagar and Sravasti and 4 well-equipped mobile vans for publicity and assistance for tourists
- Signage and illumination of tourist areas in Sarnath, Kushinagar and Sravasti
- Buddha Walks in the 3 locations and service provision in adjacent communities
- Centers of Living Traditions in Varanasi and Kushinagar (saree, music and pottery)
- Buddha Cultural Center in Sarnath
- Rehabilitation of Deer Park and Zoo and mud houses in Sarnath
- Development of riverfront in Kushinagar
- Skill Development Program and support to artisans
- Training for Police Department, Municipal Corporations and concerned departments.

Most proposed subprojects require further studies for either the definition of the exact location or the specific scope of investments. These are being sequenced and will be carried out throughout the project implementation.

## **2.5 Roles and Responsibilities of Key Stakeholders**

The State Department of Tourism is the ultimate responsible body for guaranteeing the adequate application and monitoring of the safeguards policies of the World Bank under the project.

The following are the key agencies and their roles and responsibilities for the project implementation:

- **Project management and coordination agency at state level:** The State Department of Tourism is the agency responsible for the overall management and coordination of the project. It will be supported by a State Project Coordination Unit (SPCU) in Lucknow and Technical Support Units (TSU) to be located in selected project target areas. The SPCU in Lucknow will be responsible for ensuring all resource use, monitoring, and reporting functions are in compliance with defined state and central governments as well as World Bank fiduciary, safeguard and accountability processes and standards. The TSUs will be housed in the respective Implementing Agencies in selected project target areas and will support and work directly with them in areas as diverse as contract planning and management, execution supervision, support to coordination, communication and monitoring of the project investments and activities.
- **Project Implementing Agencies at destination level:** The existing Development Authorities in Varanasi (VDA), Agra (ADA) and Mathura-Vrindavan (MVDA) as well as Kushinagar Special Area Development Authority (KSDA) will be the project Implementing Agencies. In addition, key agencies, such as the Archeological Survey of India (ASI) and the State Department of Forests (DoF), may also function as an Implementing Agency in special cases in which project activities fall into regulated areas surrounding monuments or forests.
- **Operation and Maintenance User Committees at tourism product level:** Committees comprising the services and infrastructure users will be established as required to be the first line of operation oversight and proper functioning and

maintenance of the project-financed facilities. The Head of the Committees will report directly to the Implementing Agencies and the SPCU.

### 3. POTENTIAL ADVERSE IMPACTS OF SUBPROJECTS

The overarching goal of the project is to contribute to improving living conditions and increasing income opportunities for the poor through enhanced tourism product development. The project aims to do so by generating improvements in basic service delivery, tourism-related infrastructure, income-generation opportunities and the general environment for poor people in and near the project target areas, ultimately benefiting them, as well as tourists, in a positive and long-term way.

Such processes and improvements may cause some disruption in the local area. Below is a list of activities and issues which may give rise to negative impacts on the environment, social groups and cultural properties supported under similar projects. To ensure these are identified and mitigated or avoided as early as possible, potential adverse impacts at the subproject construction/rehabilitation/restoration phase and during operations and maintenance phase must be considered in the process of the subproject preparation and later implementation.

Based on the lessons learned from similar projects implemented in India and worldwide, the State Department of Tourism prepared an exhaustive list of potential adverse environmental, social and cultural heritage impacts that subprojects under the project may trigger. These are presented below for ease of reference and further action by the project's coordination unit, Implementing Agencies and partners.

Though it is envisaged that subprojects will involve very generic social issues that are manageable, there might be some subproject activities proposed in due course, that may carry a higher social risk and/or disruptions and/or impacts. The possibility of such issues arising in the subprojects sites will be identified during the subproject screening process.

For the **construction/rehabilitation/restoration phase**, the main potential social issues are:

- Though no private land acquisition is foreseen under this project, there could be involuntary taking of public land.<sup>1</sup>
- Structures, such as street vendor stalls, may need to be moved or removed in order to rehabilitate historical structures or touristic areas or in order to bring the areas to international and/or national standards.
- Fences may need to be erected to protect current public grounds, and they could block access to people's lands or assets (including crops). Vendor stalls may need to be moved to be outside or inside the fence (which could reduce the customer base of the vendor).
- If a distinct vulnerable social and cultural group is found to be in the subproject areas then the subproject must ensure people are well informed, are supportive, and can benefit from the subproject. This is the case whether or not the subproject will have positive or negative impacts on them. Negative impacts would be mitigated throughout the subproject design and execution to ensure the situation of the affected people would be at least as good as, or better than before the subproject interventions. The subproject will need to ensure that prior and informed consultations leading to broad community support also take place, and that appropriate mechanisms are in place to

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<sup>1</sup> In case private land may need to be acquired during the project implementation, the project will first screen and assess any potential adverse impact, and thus mitigate losses and assist subproject affected persons as per the agreed entitlement framework given in this ESMF.

ensure that the project design is sensitive to community needs and can incorporate people's feedback into subproject design.

- There could be temporary impacts during construction activities including dust, noise and increased vehicle traffic, and lighting during nighttime hours.
- There may be negative economic impacts on small businesses and individuals informally working in the structure/site/area to be rehabilitated. This requires action to avoid adverse impacts, or to restore livelihoods under the applicable resettlement instrument.
- Removal/displacement of vendor stalls or small businesses may have adverse impacts with regards to security of said vendors. This can especially impact women vendors or small business owners. This will require action at the subproject level.

For the **operation and maintenance phase**, the main potential social issues are:

- Unequal benefits from the subprojects to the detriment of women, youth and other vulnerable and cultural groups, potentially resulting in intra-community conflict.
- Increase in violence and harassment in public areas which can negatively impact economic activity of women, youth and other vulnerable and cultural groups.
- Vendors or small businesses removed or displaced from their original locations may be unable to return to these once they have been rehabilitated, thus facing significant loss of income.
- Health issues if solid waste from construction is not properly disposed of; emissions from construction equipment; noise and dust during construction.
- Conflict between construction workers and the community.
- Inconvenience to the community if traffic flow is not managed during implementation.
- Additional impact on community infrastructure due to influx of labor force.

### *Cultural Heritage*

Negative impacts on cultural properties generally fall into the following broad categories: damage, destruction, wear, removal, burial, modification, change of use, neglect, denial of access, and desecration. Each of these impacts may, in turn, arise from a variety of causes.

The types of cultural properties typically impacted are shown below in *italics*. The cultural properties impacted are not necessarily located on the subproject construction or engineering sites, and in some cases may be far away.

For the **construction/rehabilitation/restoration phase**, the general issues are:

- Work camps:
  - Vandalism, theft and illegal export of *movable cultural property*, and of pieces of *monumental cultural property* accessible directly or indirectly to migrant laborers.
  - Desecration of *sacred sites*.
- Excavation, construction and soil compaction:
  - Direct physical damage to, or destruction of, *human-made, natural, and buried cultural property* on site.
- Construction traffic:
  - Vibration, air, soil and water pollution, leading to damage to *natural and human-made cultural property* in the vicinity.
- Use of heavy construction equipment:
  - Vibration, damaging *built cultural property* in the vicinity.

- Soil compaction, damaging *buried cultural property* (*archaeological* and *paleontological*) on site, and damaging pipelines and drains serving *built cultural property* in the vicinity.
- Use of explosives:
  - Air pollution and vibration, leading to landslides and damage to *buildings and natural cultural property* in the vicinity.
- Creation of large or linear construction sites:
  - Barrier effects causing difficulty or denial of access by community to *living-culture cultural property*.
- Inundation:
  - Submergence or destruction of *human-made, natural or buried cultural property*. Barrier to access of all types of cultural property.
  - Raised water table can lead to damage to *all types of cultural property*.
  - Damage to aesthetics of *scenic landscapes*.
- Resettlement:
  - Denial of access to *all types of cultural property* formerly used by community.
  - Abandonment of *all types of cultural property*, leading to neglect.
  - Damage/destruction of *man-made, natural or buried cultural property* in resettlement sites.
- Waste disposal or landfill:
  - Burial or damage to *natural, buried or underwater cultural property*.

For the **operation and maintenance phase**, the primary issues are:

- New and upgraded roads:
  - Increased human traffic enjoying improved access to *cultural property of public interest* leading to increased wear and damage, sacrilege of *sacred sites*, theft and vandalism of *movable and breakable cultural property*.
  - New highways cutting off access to *living-culture cultural property* by residents of settlements on other side of the highway.
  - Increased air pollution and vibration from traffic causing damage to *man-made cultural property*, particularly monuments and buildings.
  - Increased noise pollution interfering with enjoyment of cultural property such as *tourist destinations, historic buildings, religious establishments* and *cemeteries*.
  - In scenic areas, obtrusive highways having a negative visual impact on the landscape.
  - *Roads and bridges which themselves constitute cultural property* being damaged by increased traffic.
- Reservoir operations or irrigation:
  - Shoreline erosion exposing *archaeological cultural property*, leading illegal digging and looting.
  - Reduced sediment load speeding up river flows, eroding banks of estuary, undermining *man-made cultural property* such as monuments.
- Induced development:
  - Induced development leading to increased wear and damage, sacrilege of *sacred sites*, theft and vandalism of *movable and breakable cultural property*, and damage to the aesthetics of *scenic landscapes* and *townscapes*.
- Poor drainage:
  - Resultant erosion leading to exposure, *damage* and looting of *archaeological cultural property*.
- Factories and other facilities using heavy equipment:



- Increased noise pollution interfering with enjoyment of cultural property such as *tourist destinations, historic buildings, religious establishments* and *cemeteries*.
- Damage to the aesthetics of *scenic landscapes* and *townscapes*.
- Urban development:
  - Changes in demography or settlement patterns leading to decay of inner cities and abandonment and neglect of older residential areas containing *built cultural property* such as *vernacular architecture*.
  - Developments which are out-of-character with their surroundings diminishing the aesthetic value of the *townscape*, decline in property values and ultimately, neglect of *built cultural property* in the area.
  - Damage to aesthetics of *scenic townscapes*.
- Cultural heritage restoration:
  - Change of status, ownership or use resulting in altered settlement patterns and 'gentrification', leading to *abandonment of the cultural property* by the original users.
  - Use of unsympathetic materials or over-restoration resulting in negative impacts on the *townscape*.
  - Increased use leading to excessive wear and damage *to built cultural property*.
- Cultural heritage inventorying:
  - Inventorying, mapping and publishing of cultural property encouraging theft and illegal trafficking of *movable cultural property*.
  - Introduction of excessively strict historic buildings code leading to difficulty in adaptive reuse, resulting in abandonment and neglect of *historic buildings*.
- Land or protected areas management:
  - Change of status, ownership or use of land resulting indirectly in neglect, damage, destruction or change of use of *all types of cultural property*;
- Increased pressure on land:
  - Increased pressure resulting in land-clearing and deforestation activities, causing damage to *all types of cultural property*.

## 4. PRINCIPLES GUIDING ACTION: SAFEGUARDS AND LEGISLATION

### 4.1 Principles Guiding Action

To ensure lasting development goals of poverty reduction are achieved, the project will:

- Ensure an environmentally sound and sustainable development in the target areas and communities it supports through the application of a precautionary approach to natural resources management.
- Support the management, conservation, and sustainable development of forest ecosystems and resources in its target areas.
- Support the protection, maintenance and rehabilitation of natural habitats in its target areas.
- Support the preservation of cultural property, historical, religious and unique natural value, including remains left by previous human inhabitants and unique environment features, as well as the protection and enhancement of cultural properties within its target areas.
- Avoid or minimize involuntary resettlement where feasible, exploring all viable alternatives for subproject design; assist displaced persons in improving their living standards; foster community participation in planning and implementing resettlement; and provide assistance to affected people, regardless of the legality of land title, in its target areas.
- Protect the dignity, right and cultural uniqueness of indigenous people and minorities in its target areas; ensure that they do not suffer due to development and that they receive social and economic benefits.
- Apply a gender lens throughout the design and implementation of project activities and mitigate adverse impacts to women, particularly women entrepreneurs.

### 4.2 World Bank Safeguards Triggered by the Project

Given that the World Bank provides core financing for the project preparation and implementation, its safeguard policies apply. The World Bank's Social Safeguard Policies (Annex 1) are a cornerstone of its support to sustainable poverty reduction and shared prosperity. The core objective of these policies is to prevent and mitigate undue harm to people, their environment and cultural assets in the development process.

Safeguard policies have often not only increased the effectiveness and development impact of projects and programs supported by the World Bank, but also provided a platform for the participation of stakeholders in project design, and thus have been an important instrument for building ownership among local populations, government agencies and partner organizations. Due to the nature of the project, all subprojects to be financed under it cannot be determined upfront. Proposed subprojects will be further developed after the approval of the project.

For further guidance, **Table 2** presents the probable impacts of proposed subprojects and the safeguards policies triggered by the project.

**Table 2 - Safeguards that may apply to the project**

<b>Safeguard Policy</b>	<b>Triggered?</b>	<b>Explanation</b>
<b>OP/BP 4.11 Physical Cultural Resources</b>	<b>Yes</b>	OP 4.11 is triggered because the project will upgrade or provide basic services and infrastructure as well as promote tourism in communities living and/or working in touristic areas and near cultural and natural heritage sites. Impacts envisaged may relate to (i) the rehabilitation/restoration of cultural properties or cultural landscapes and/or (ii) the execution of civil works in surrounding communities, where lesser known monuments may be present. In addition, the possible discovery of archeological sites or random findings during the rehabilitation/restoration of cultural landscapes and/or the execution of civil works will require measures to manage chance finds.
<b>OP/BP 4.12 Involuntary Resettlement</b>	<b>Yes</b>	OP 4.12 is triggered as the project will upgrade or provide basic services and infrastructure in touristic areas and near cultural and natural heritage sites in some densely populated or visited areas. Impacts are expected to happen during the construction/rehabilitation/restoration phase, especially during the improvement of access roads, construction of tourist amenities, provision of basic services (i.e., toilets) to surrounding communities, and upgrading of public spaces/cultural landscapes.
<b>OP/BP 4.10 Indigenous Peoples</b>	<b>No</b>	OP 4.10 is not triggered as sub projects will be largely in urban areas. However, once sub projects are finalized, screening will determine whether project target areas include any tribal community.

Section 5 onwards will provide a step-wise description of how to address and comply with the World Bank safeguards policies during project preparation and implementation, through impact assessments and the preparation of environmental, social, and cultural heritage management plans.

### **3.2 Government of India and State-level Legislation and Regulations**

In addition, as per the Government of India procedures on externally aided projects, the project also must be prepared and implemented in full compliance with the national legislation, regulations and standards governing protection and management of the cultural and natural heritage of the country, social development, and environmental management. Specific state and local level standards and regulations also apply based on the project location and nature of its proposed investments and activities. The key legislation and standards applied to this project are further discussed below in **Table 3**. The laws and regulations listed must be observed by civil works contractors during both construction/rehabilitation/restoration and operation and maintenance phases of project activities.

**Table 3 - Key legislation and regulations that may apply to the project**

Act/ Policy	Year	Objective	Main stipulations	Applicability to the project	Responsible Agency
<b>Cultural Heritage – Government of India</b>					
Ancient Monuments and Archaeological Sites and Remains Act  Amended	1958  2010	Declares certain monuments/sites as being of “national importance”. Stipulates conservation of cultural and historical remains found in India.	Monuments are “protected” area.  100m radius is “prohibited” area – no construction or reconstruction. Repairs allowed.  200m radius is “regulated” area (structures can be constructed by archaeological officers with due sanctions from competent authority).  Protection, maintenance and conservation managed by Archaeological Survey of India (ASI)	Yes. Approximately 780 monuments/sites in UP are listed under the Act.	NMA with ASI; Indian Heritage Society; Indian National Trust for Art and Culture Heritage (INTACH)
Ancient Monuments Protection Act	1904	Gives central government the authority to protect and conserve monuments, particularly those privately owned, through acquisition of rights.	Specifies agreements to be made between GoI and monument/site owner for transfer of rights for protection.  Gives GoI right to intervene in potentially harmful activities near site (e.g. mining, quarrying).	Possibly, if any subproject supports privately owned monument.	Ministry of Culture
The Antiquities and Art Treasures Act	1972	To ensure registration of antiquarian remains in personal possession of individuals and institutions.	Registration of antiquities/remains/art is mandatory.	Possibly, if any subproject involves chance find.	Directorate of Culture, Govt. of UP.
<b>Cultural Heritage – Government of Uttar Pradesh</b>					
Uttar Pradesh Ancient and Historical Monuments and Archaeological	1956	To declare sites and remains as protected.	Approx. 100 sites/monuments protected under this Act. Maintenance, protection and conservation are the responsibility of the Directorate of Archaeology, UP.	Yes. In case any subproject located at or near protected monuments/sites.	Directorate of Archaeology, Govt. of UP

Act/ Policy	Year	Objective	Main stipulations	Applicability to the project	Responsible Agency
Sites & Remains Preservation Act					
Uttar Pradesh Model Regulations and Byelaws for Conservation of Heritage Sites (Uttar Pradesh Urban Planning and Development Act, 1973)	1973	To serve as a standard template for UP Development Authorities to ensure any interventions are sensitive to heritage value.	Lists interventions that are i) prohibited; ii) permissible with the Development Authority's authorization; iii) no permission required.	Yes. Development Authorities will be main Implementing Agencies.	Mathura-Vrindavan Development Authority; Varanasi Development Authority; Agra Development Authority; etc.
<b>Cultural Heritage – UNESCO</b>					
Operational Guidelines for the Implementation of the World Heritage Convention	2013	To facilitate the implementation of the World Heritage Convention,	Requires the establishment of boundaries, buffer zones (where necessary), management systems and sustainable use for effective protection of listed sites and to maintain their "Outstanding Universal Value".  In India, 16 cultural and 5 natural sites are listed under the Convention.	Yes. Some subprojects are located near listed sites (e.g. Taj Mahal) and may impact management systems, for instance.	Ministry of Culture with ASI and State Department of Tourism, Govt. of Uttar Pradesh
<b>Tourism</b>					
National Tourism Policy	2002	To increase the number of domestic and international tourists. To diversify the Indian tourism product and substantially improve the quality of (tourism) infrastructure, marketing, visa arrangements and air-travel.	To focus on welcoming, information provision, facilitation, safety, cooperation, infrastructure development, and cleanliness.	Yes. The policy objectives are in sync with project objectives.	Ministry of Tourism, Govt. of India
Tourism Policy of Uttar Pradesh	1998	To leverage a diversified tourism sector for economic	Projects must improve and diversify the tourism product base with a focus on	Yes. The objectives of the policy are in sync	State Department of Tourism, Govt.

Act/ Policy	Year	Objective	Main stipulations	Applicability to the project	Responsible Agency
		benefit of local populations.	adventure, religion and monument-based travelers, while economically benefiting local populations and increasing employment opportunities	with project objectives.	of Uttar Pradesh
<b>Social</b>					
Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act	2013	To ensure rights of displaced populations in the case of land acquisition.	Fair compensation for acquisition of immovable assets; Resettlement of displaced population due to land acquisition and economic rehabilitation of all those who are affected due to private land acquisition.	Yes. In case of acquisition of land and /or resettlement	Revenue Department. Govt. of Uttar Pradesh
Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act	2014	To regulate street vending while ensuring rights and stating obligations of street vendors	Local agencies must regulate vending through a Plan, including relocation/eviction rules, vendor rights (e.g. certificate of vending) and vendor obligations (e.g. maintain cleanliness of area).	Yes. In case vending areas are close to or at the location of subprojects.	Town Vending Committees
Code of Conduct for Safe and Honorable Tourism	2010	To protect basic rights, particularly of women and children, in tourism activities.	Code encourages tourism activities to be undertaken with respect to basic rights like dignity and safety, supports prevention of prostitution and exploitation and cultural and social intolerance which could increase vulnerability to crime.	Yes. Code's objectives are in sync with the project's principal guiding actions.	MoT, Govt. of India



## 5. SAFEGUARDS MANAGEMENT

### 5.1 Introduction

In order to comply with the laws and regulations outlined in Section 3, the State Department of Tourism will conduct assessments of the environmental, social, and cultural heritage risks posed by the individual proposed subprojects.

The findings of these assessments form the basis of an Environmental Management Plan (EMP), Resettlement Action Plan (RAP), Gender Action Plan (GAP) and/or a Physical Cultural Resources Management Plan (PCRMP). These management plans determine the appropriate measures and actions needed to identify, avoid, minimize, and mitigate potential adverse environmental and social impacts of subprojects supported under the project.

### 5.2 Developing Management Plans

The development of the EMP, RAP, GAP and PCRMP broadly consists of the following key steps:

- i. **Screening and category classification.** Upon the definition of the subproject scope, screening is the first step in the process. The purpose of screening is to get an overview of the nature, scale and magnitude of the potential impacts of the proposed subproject on the environment, social groups and cultural heritage. The screening process also helps prioritize the various proposed subprojects and where required, start the clearance process in a timely manner. Each subproject will be classified as Category A, B or C depending on the findings of the screening category classification (Annex 3).
- ii. **Impacts identification and analysis of alternatives.** Based on the screening classification, the provisions of this framework will apply. From a social perspective, apart from displacement and loss of livelihood, special attention should be paid to vulnerable or disadvantaged groups, including women, who could experience adverse impacts from the proposed subprojects more severely than other groups. The screening will also determine any potential adverse impacts on cultural heritage.
- iii. **Stakeholder identification and gathering of baseline data.** If a subproject is classified as Category A or B, baseline data describing the relevant existing conditions, such as the socio-economic and physical cultural assets in a subproject area must be collected. Key stakeholders which may be either affected by or influence the proposed subproject must be identified and their specific roles in the subproject assessed.
- iv. **Development of mitigation measures and actions.** If a proposed subproject presents risks to environmental, social or cultural heritage aspects of the project area, the RAP, GAP and PCRMP must include measures to prevent, mitigate or compensate negative impacts and enhance positive ones. The RAP should also include a Social Monitoring Plan to specify how the mitigation measures will be applied and how their application will be tracked.
- v. **Public consultation and disclosure.** While country-specific regulations may require public consultation in the preparation of subproject Feasibility Studies, World Bank policies require that consultations are conducted during preparation of all safeguard instruments irrespective of categorization of subprojects. The State Department of Tourism is responsible for continuing to conduct consultations to disclose, discuss and seek feedback/suggestions on the proposed subprojects including all



relevant safeguard documents. Local people potentially impacted by the proposed subproject – as well as others with an interest in it, including NGOs and relevant government agencies – are to be consulted before and during subproject preparation and implementation to inform the public of the subproject. This ensures that potential impacts are identified together with potentially affected stakeholders. During subproject implementation consultations will need to take place with affected people to ensure they are properly compensated for any impacts experienced.<sup>2</sup>

- vi. Review and approval.** The State Department of Tourism is responsible for final review and approval of any environment and/or social safeguard documents prepared, to ensure compliance with this framework. In case of subprojects classified as category A, required safeguard instruments will be prepared by independent consultants and disclosed in country as well as in the World Bank's InfoShop. Safeguard instruments of all Category A subprojects will be reviewed and cleared by the safeguard secretariat of the World Bank.
- vii. Conditionality and Contractual Obligations.** Each country's grant agreement contains a commitment to ensure that the recipient shall comply with all requirements set forth in the ESMF and social safeguard documents. The State Department of Tourism shall ensure that this ESMF and relevant environmental and social safeguard clauses are included in any bidding or contract documents prepared under the proposed subproject. World Bank procedures indicate how the State Department of Tourism should manage any minor or major infringements of the terms of any contracts of the RAP, GAP and PCRMP.
- viii. Monitoring.** Monitoring will be an integral part of each subproject supervisory work in the course of the project implementation. The State Department of Tourism will be responsible for ensuring that on-site managers of works contractors are familiar with the management plans and instruct workers/personnel on the compliance with them. The State Department of Tourism's in-house capacity to carry out the supervisory functions will be supplemented by a hired project management firm. Oversight on the environmental, cultural, and social aspects of construction works will be an integral part of the terms of reference for such a firm.
- ix. Reporting.** Documenting of social supervision of subprojects is mandatory. The World Bank must be informed of, for instance, the progress of all works, quality and extent of the application of mitigation measures, the status of social performance, and unforeseen issues that may impact social or cultural heritage elements.

The checklist in **Table 4** below outlines the actions to be undertaken when conducting the assessments and preparing management plans. See the relevant annexes for templates and guidance notes to complement each action.

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<sup>2</sup> The project is being prepared with meaningful participation and through consultation of many stakeholders, from central, state and local government officials to representatives of the private sector, experts, religious bodies, visitors, pilgrims and local communities which will benefit from the project activities, but may also experience direct impacts from the construction and operation of the infrastructure and activities to be supported under the project. Stakeholder consultations started at its concept stage.

**Table 4 - Steps for compliance with Safeguard Requirements**

	Action or Condition	Status	Next Step(s)/ Requirements
<b>1. Screening &amp; Category Classification</b>	Has the subproject been screened according to its cultural heritage and social impacts by the DoT?		<p>If no, complete the <u>Subproject Screening Forms</u> (<b>Annex 4</b>).</p> <p>If yes, include completed Subproject Screening Forms in the Project File.</p>
<b>2. Adverse Impacts</b>	<b>Social</b>		
	Did the screening findings indicate potential adverse social impacts/risks? Does the subproject require involuntary land taking or impact properties or impact trees/landscape/crops or result in relocation which may affect livelihoods or sources of livelihoods?		<p>If yes, according to the requirements of this framework,</p> <p>a) Prepare <u>Resettlement Action Plan</u> (<b>Annex 8</b>) in line with the Resettlement Policy Framework (<b>Annex 10</b>).</p> <p>b) If less than 200 persons affected, prepare <u>Abbreviated Resettlement Action Plan</u> (<b>Annex 9</b>).</p> <p>c) In any case, a <u>Gender Assessment</u> and <u>Gender Action Plan</u> should be carried out (<b>Annex 11</b>)</p>
	Did screening findings indicate presence of any vulnerable community in the project targeted area?		<p>If yes,</p> <p>a) Ensure additional mitigation measures for vulnerable community in Resettlement Action Plan.</p>
	<b>Cultural Heritage</b>		
	Do the screening findings indicate that: a) Significant excavations, demolition, movement or earth, flooding or other environmental changes will be required under the subproject?		<p>If yes to any of a), b) or c), prepare a complementary <u>Physical Cultural Resources Management Plan</u> (<b>Annex 12</b>) according to the specific provisions established in OP/BP 4.11 – Physical Cultural Resources.</p>

	<p>b) The subproject will be located in, or in the vicinity of, a physical cultural resource site recognized by competent authorities?</p> <p>c) The subproject is designed to support management of physical cultural resources?</p>		
<b>3.</b>	<b>Stakeholder Identification &amp; Baseline Gathering</b>		
	<b>Social</b>		
			<p>From a socio-economic perspective, the baseline information should be accurate and up-to-date, as rapidly changing situations, such as in-migration of people in anticipation of a project or lack of data on disadvantaged and vulnerable groups within a community, can affect the efficacy of social mitigation measures. Socio-economic studies which are conducted by the DoT and or the Implementing Agencies and/or partners may be used to: (a) understand the socio-economic-cultural characteristics and dynamics of the subproject area, (b) establish the conditions of the people that will be impacted by the subproject, (c) identify events, including potential for conflict, that could affect the adequate implementation of the subproject; and (d) identify opportunities for enhancing subproject development benefits. The Gender Assessment (<b>Annex 11</b>) will support gender-disaggregated baseline data.</p>
	<b>Cultural Heritage</b>		
			<p>From a cultural properties perspective, the baseline should cover all physical cultural resources that may be affected by the project, including movable or immovable objects, sites, structures and groups of structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Physical cultural resources may be located in urban or rural settings, and may be above or below ground, or underwater. Their cultural interest may be at the local, provincial or national level, or within the international community. Inventories, interviews, surveys, photographs, and other methods of data collection may be used to assess the</p>

			potential impact of the subproject on the cultural property. Cross-sectoral and other indirect impacts induced by the project activities should also be considered.
<b>4. Development of Mitigation Measures &amp; Actions</b>	Do the screening findings indicate potential risks for the environment, social groups and cultural heritage?		If yes, a) Develop mitigation measures to prevent, mitigate or compensate negative the identified impacts and enhance positive ones. To make the measures operational and practical, and to monitor and assess the results, each measure must establish objectives, target population, activities to be carried out, responsible unit or institution to implement it, timetable, and budget. b) Integrate those measures in the Environmental and Social Management Plan which will specify how the mitigation measures will be applied and how their application will be tracked through measurable and monitorable indicators.
<b>5. Public Consultation &amp; Disclosure</b>	Does the subproject adversely impact local people and other key stakeholders (i.e. NGOs, relevant government agencies)?		Conduct consultations (see <a href="#">World Bank Public Consultation Documentation Requirements (Annex 13)</a> ) to seek feedback on project design and mitigation measures. Consultation is necessary for analyzing alternative designs to avoid or minimize impacts and also in the interests of good corporate citizenship to inform the public whom the project aims to serve.
	Has project prepared Resettlement Action Plan?		If yes, conduct consultations to disclose the Resettlement Action Plan, and ongoing consultations with affected people to gather their inputs regarding their compensation entitlements. Consultations should be well documented (who attended, information presented, concerns raised, answers to concerns, etc.) and attached to project documentation.
<b>6. Review &amp; Approval</b>	Have all required environment and/or social safeguard documents been prepared?		If yes, a) Ensure all documentation is consistent and complies with the provision of ESMF. b) Ensure any significant issues raised at any public consultation are reflected in the respective safeguard documents.
<b>7. Conditionality &amp; Contractual Obligations</b>	Are elements of the subproject ready to be submitted for tender?		If yes, a) All management plans(environment, social, cultural heritage, involuntary resettlement), as applicable, must be finalized prior to tendering works packages and included in the tender documentation, so that potential bidders are aware of environmental, social, cultural, etc., performance standards expected from them and are able to reflect that in their bids. Larger scale and discrete mitigation measures shall be included in the Bills of Quantities and priced respectively.

			b) This ESMF and Environmental Management Guidelines for Contractors ( <b>Annex 14</b> ) must be part of works contracts and must be implemented by contractors. The DoT is responsible for enforcing compliance with the contract and the applicable management plans.
<b>8. Monitoring</b>	During subproject execution		<ul style="list-style-type: none"> <li>a) Familiarization program for on-site managers of works contractors with the provisions of this ESMF as well as all applicable management plans (environment, social, cultural heritage, involuntary resettlement) will be carried out to ensure its compliance.</li> <li>b) Works contractors to submit relevant environmental/social/cultural permits, licenses, and written agreements with local authorities to DoT on any relevant issue identified during screening and the ESIA.</li> <li>c) Conduct regular on-site monitoring of civil works area through subject specialists hired by State Project Coordination Unit and sample audits of subprojects to verify contractors' adherence to this ESMF as well as the requirements of any applicable management plan (environment, social, cultural heritage, involuntary resettlement), to identify any outstanding environmental issues/risks, and to ensure proper application of the prescribed remedial actions. In case of any non-compliance with management plans, DoT to instruct contractors on the corrective measures and closely monitor progress.</li> </ul>
<b>9. Reporting</b>	During subproject execution		<ul style="list-style-type: none"> <li>a) Monthly monitoring reports will be submitted by filling out <u>Field Monitoring Checklists</u> (<b>Annex 15</b>) reflecting quality and extent of the application of mitigation measures. Information provided in checklists should be supported with photo material taken on-site and dated.</li> <li>b) Quarterly progress reports on project implementation (to be shared with the World Bank), will include more comprehensive, analytical information on the status of implementation of social safeguard measures; environmental performance, including overview of deviations/violations of management plans encountered over the report period, instructions given to the works contractors for addressing any weaknesses or identified issues, and follow-up actions on the revealed outstanding matters.</li> <li>c) Any accidents, emergencies, and unforeseen issues which may occur in the course of works and directly or indirectly affect environment, physical cultural resources, personnel of works providers, and or communities residing in the vicinity of a subproject site must be reported promptly to the World Bank, regardless of reporting timelines.</li> </ul>

## 6. IMPLEMENTATION AND MONITORING

### 6.1 Institutional Arrangements for Safeguards Management under the Project

The project will finance dedicated teams to be based in Lucknow and in core project target areas responsible for managing, coordinating and monitoring the execution of its subprojects.

The State Project Coordination Unit (SPCU) in Lucknow will be integrated in the State Department of Tourism and will be supported by competitively selected decentralized teams (Technical Support Units – TSUs) based in each of the project core areas, in principle in Agra, Mathura, Sarnath and Kushinagar. The TSUs will be a part of the respective Development Authorities, the project Implementing Agencies, and support them in the day-to-day execution of its subprojects.

Social, heritage management and environment specialists will be hired by the SPCU to coordinate, review, support and monitor all respective safeguards aspects of the project. The specialists will also train and strengthen the capacities of specialists in the TSUs and in the Implementing Agencies. The project may hire qualified civil society organizations for the implementation of a Resettlement Action Plan or a Physical cultural resources Plan, if required. The SPCU and the decentralized TSUs may also be supported by competitively recruited experts in highly specialized areas, such as restoration of heritage properties, as needed. The responsibilities of the project's social specialists and NGOs are listed in **Annex 16**. The environment and heritage management specialists would be responsible for similar tasks in their respective areas.

Given that the State Department of Tourism is implementing a World Bank-financed project for the first time, the capacity to address social, cultural and environmental issues as per the World Bank safeguards policies is limited. The State Department of Tourism project staff will require training in the management of safeguards issues. The training program is to be coordinated and anchored by the State Department of Tourism with support from agencies/individuals experienced in safeguard aspects for developing courses on conducting training programs.

The course contents will focus on this ESMF, concept, regulatory requirements, environment and social priority issues, project cycle of investments, outline of the ESIA, management plans and report formats. It will also focus on the resettlement and rehabilitation and heritage policies and procedures, land acquisition process, identification of project affected people, social entitlement frameworks, social assessment, risk assessment and management skills.

As part of the capacity building program, the State Department of Tourism also aims to develop decentralized local capacity on managing environmental, social and cultural properties issues associated with various investments. In order to achieve this objective, the specialists will develop a network of technical man power resources such as staff from universities/research institutions, civil society organizations, etc. These persons will be trained during the course of the project, so that they can provide support to the project agencies in conducting the required impact assessments and later in implementing all applicable management plans (including Resettlement Action Plan, Gender Action Plan, as relevant) and also offer support on an on-going basis.

### 6.2 Monitoring and Reporting

The SPCU will also hire a monitoring specialist to assist the Technical Support Units in the continued supervision of subprojects. A dedicated team of experts will manage the project-specific communication activities at local, state, country and regional levels, as needed.

The SPCU through the respective Implementing Agencies and Technical Support Units will monitor all the subprojects to ensure conformity to the requirements of this ESMF. The monitoring will cover all stages of planning and implementation. The monitoring will be carried out through the environmental, social and cultural heritage safeguard compliance reports that will form a part of Quarterly Progress Reports (QPR) for all subprojects and regular visits by the environmental, social and cultural specialists of the SPCU and IA/TSUs. In addition to the above, the SPCU will undertake an annual audit of the applicable management plans on sample basis and will review their status compliance, as per the Sample Monitoring and Reporting Terms of Reference provided in **Annex 17**.

The SPCU will review these audit reports and identify technical, managerial, policy or regulatory issues with regards to the compliance of the management plans. The identified policy and regulatory and technical issues will be duly incorporated in the subproject and the need for appropriate interventions will be determined. These interventions could include appropriate revision of this ESMF document or suitable analytical studies to influence policy or programs of the state, if found necessary/warranted.

Specifically on involuntary resettlement, an external evaluation of the Resettlement Action Plan implementation prepared for subprojects will also be undertaken twice during the implementation of the project – midterm and at the end of the implementation. During implementation, meetings will be organized by the SPCU, inviting all Implementing Agencies in the state to provide information on the progress of the project work.

**Table 5 - Mitigation, monitoring, responsibility & timelines for social impacts**

	<b>Impact</b>	<b>Monitoring Measures</b>	<b>Responsible Agency</b>
1	Land acquisition (not expected to be applicable)	Regular internal monitoring by the SPCU and periodic evaluation	SPCU
2	Acquisition of property/structure	Regular internal monitoring by the IA/TSUs and periodic evaluation	IAs and TSUs
3	Loss of livelihood or source of livelihood	Regular internal monitoring by IA/TSUs; midterm and end term evaluation	SPCU to hire evaluation consultants and management plan or RAP auditors
4	Loss of access to private and/or common property	Regular internal monitoring by the IA/TSUs; midterm and end term evaluation	SPCU to hire evaluation consultants and management plan or RAP auditors
5	Displacement of Non-Titleholders	Regular internal monitoring by the IA/TSUs; a midterm and end term evaluation	SPCU to hire evaluation consultants and management plan or RAP auditors
6	Gender Action Plan	Regular internal monitoring by the social development professional of SPCU along with NGO; midterm and end term evaluation	SPCU to hire evaluation consultants and management plan or RAP auditors

**Table 6 - Mitigation, monitoring, responsibility & timeline for environmental & cultural heritage impacts**

	<b>Project Stage</b>	<b>Monitoring Measures</b>	<b>Responsibility</b>
1	Subproject Screening to approve categorization of proposed subprojects	a. Discussions with Implementing Agencies to: <ul style="list-style-type: none"> <li>• assess eligibility of subproject based on project's priorities</li> <li>• identify scope of subproject report.</li> </ul> b. IA/TSUs to submit report along with proposed impact categorization	SPCU
2	Subproject Appraisal to ensure satisfactory compliance with ESMF	Detailed appraisal of the management plans (EMP, RAP, PCRMP) including site visits/ investigations if necessary, assess suitability of site, adequacy of management plans, risk analysis and regulatory clearances. Subproject to submit management plans for approval.	SPCU
3	SPCU approval of management plans	a. SPCU to recommend to project Steering Committee for review and approve	SPCU
4	Management Plan Implementation Monitoring and Review	a. Prepare quarterly progress reports b. Schedule field visits as required c. Third party audit	SPCU, IAs, TSUs, Contractors

### 6.3 Grievance Mechanism

An integrated system will be established with Grievance Redressal Cells (GRCs), with necessary officials and systems, at the state as well as subproject levels. Grievances if any, may be submitted through various mediums, including in person, in written form to a noted address, through a toll free phone line or through direct calls to concerned officials, and online. All local contact information and options for complaint submission will be available on site on local information boards. Moreover, they will be in addition to the Public Information Officers to be appointed under the Right to Information (RTI) Act. A half yearly report on Grievance Redressal by the project will be prepared. The project will abide by the RTI Act of 2005; it will commit itself for proactive disclosure and sharing of information with the key stakeholders, including the communities/beneficiaries. The project will have a communication strategy focusing on efficient and effective usage of print and electronic media, bill boards, posters, wall writing, and adoption of any other method suiting local context, logistics, human and financial resources.

A Grievance Redressal Cell (GRC) will be set up at the state level and wherever investments have been or will be planned. The staffing of GRC will include representatives from Implementing Agencies; subproject level E&S Officer; and two representatives from the community/affected persons. The head of the cell will be a person of repute but not continuing in the government service. The GRC will have its own bylaws. The functions of the GRC will include: (i) to redress grievances of community/beneficiaries/project affected persons (PAPs) in all respects; (ii) rehabilitation and resettlement assistance and related activities; (iii) GRC will only deal with the issues related to resettlement and rehabilitation and individual grievances; (iv) GRC will give its decision/verdict within 15 days after hearing the aggrieved person; (v) final



verdict of the GRC will be given by the Chairman/Head of GRC in consultation with other members of the GRC and will be binding to all other members.

## ANNEXES

### Annex 1: World Bank Safeguard Policies

World Bank Safe Guard Policies	Objective	Applicability	Safeguard Requirements
<b>OP/BP 4.12</b> Involuntary Resettlement	To avoid or minimize involuntary resettlement where feasible, exploring all viable alternative project design; to assist displaced person in improving their former living standards; community participation in planning and implementing resettlement; and to provide assistance to affected people, regardless of the legality of land title.	It applies to project activities which lead to physical relocation of people or of their source of livelihoods.	Resettlement Action Plan
<b>OP 4.10</b> Indigenous People	To protect the dignity, right and cultural uniqueness of indigenous people; to ensure that they do not suffer due to development; that they receive social and economic benefits	It applies when a significant percentage of tribes to the total population is present in the project target areas.	Indigenous People Development Plan
<b>OP/BP 4.11</b> Physical Cultural Resources	To support the preservation of cultural property, historical, religious and unique natural value, including remains left by previous human inhabitants and unique environment features, as well as the protection and enhancement of cultural properties within project target areas.	It applies when project activities are located near or in cultural properties which local, country, regional or global significance and value.	Application has to be prepared and submitted to respective Cultural and/or Archaeological Department.

## **Annex 2: Social baseline information**

The State of Uttar Pradesh comprises an area of about 243,290 km<sup>2</sup>, equal to 6.88 of the total area of India, and is the fourth largest Indian state by area. With over 200 million inhabitants in 2011, it is the most populous state in the country.

### **Physiography**

The state can be divided into two physiographic regions: the central plains of the Ganges (Ganga) River and its tributaries (part of the Indo-Gangetic Plain) and the southern uplands. The vast majority of Uttar Pradesh lies within the Gangetic Plain, which is composed of alluvial deposits brought down from the Himalayas by the Ganges network. Most of this area is a featureless, though fertile, plain varying in elevation from about 300 meters in the northwest to about 60 meters in the extreme east. The southern uplands form part of the highly dissected and rugged Vindhya Range, which rises generally toward the southeast. The elevation of this region rarely exceeds 350 m.

### **Seismic Zone**

According to GSHAP data, the state of Uttar Pradesh falls in a region of moderate to high seismic hazard.

### **Soils**

The dominant soil landscapes, representing the northern plains, constitute gently to very gently sloping lands. In some areas the soil is highly calcareous. The soils in general are neutral in reaction and have moderate clay and low organic carbon content. Traditionally, rain fed and irrigated agriculture is common. The main crops grown are rice, maize, pigeon pea, sorghum, pearl millet, moong beans during kharif and wheat, Bengal gram, green peas, rapeseed and mustard and lentil during rabi season. Sugarcane is the main cash crop. The rice–wheat cropping system is more predominant.

In the eastern part of the state, the districts of Gorakhpur, Basti, Mahrajganj, Siddharthnagar and Gonda contain two varieties of soil, which are locally known as 'Bhat' and 'banjar'. The alluvial soil is called 'dhuh'. The one described as 'mant' is loamy sandy- calcareous, comparatively. The soil in the north western district of the state contains less phosphate. The district of Jaunpur, Azamgarh and Mau are found to be lacking in potash and the drier areas are known as 'usar' and 'reh'. Mixed red and black soil is found in the Jhansi division of the state and the districts of Mirzapur and Sonbhadra as well as the karchhana and Meja tehsils of Allahabad besides Chakia and Varanasi district. Black soil is sticky, calcareous and fertile. It expands as it soaks up moisture and contracts on drying up. In the upper plateau of these districts the soil is red and is of two kinds – 'parwa' and 'rackar'. 'Parwa' is light sandy or sandy-loam while 'rackar' is alkaline.

### **Climate**

The climate of Uttar Pradesh is primarily defined as humid subtropical with parts of Eastern UP as semi-arid. UP has a climate of extremes. With temperatures fluctuating anywhere from 0 °C to 50 °C in several parts of the state and cyclical droughts and floods due to unpredictable rains, the summers are extremely hot, winters cold and rainy season can be either very wet or very dry. The state has three main climatic seasons: The winter in January and February is followed by summer between March and May and the monsoon season between June and September. Summer temperatures shoot up to 43 degree celcius in the summer months of April, May and June. Torrid, scorching winds blow throughout the plains of UP generally. In the winter the temperature oscillates between 12.5 and 17.5 degree celcius. Agra and Jhansi are the hottest districts. The Gangetic plain varies from semi-arid to sub-humid. The mean annual rainfall ranges from 650 mm in the southwest corner of the state to 1000 mm in the eastern

and southeastern parts of the state. About 90 of the rainfall occurs during the southwest Monsoon, lasting from about June to September. With most of the rainfall concentrated during this four-month period, floods are a recurring problem and cause heavy damage to crops, life, and property, particularly in the eastern part of the state, where the Himalayan-origin rivers flow with a very low north-south gradient. Some sporadic rains due to the western disturbances and North-East Monsoon also occur in different parts of the state.

### **Drainage**

The state is well drained by a number of rivers originating in either the Himalayas to the north or the Vindhya Range to the south. The Ganges and its main tributaries—the Yamuna, the Ramganga, the Gomati, the Ghaghara, and the Gandak—are fed by the perpetual snows of the Himalayas. The Chambal, the Betwa, and the Ken, originating from the Vindhya Range, drain the southwestern part of the state before joining the Yamuna. The Sone, also originating in the Vindhya Range, drains the southeastern part of the state and joins the Ganges beyond the state. The entire alluvial plain can be divided into three sub-regions. The first in the eastern tract consists of 14 districts which are subject to periodical floods and droughts and have been classified as scarcity areas. The other two regions, the central and the western, are comparatively better off with a well-developed irrigation system. They suffer from water logging and large-scale user tracts. The Gangetic plain is watered by the Yamuna, the Ganges and its major tributaries, the Ramganga, the Gomati, the Ghaghra and Gandak. The whole plain is alluvial and very fertile. The Southern fringe of the Gangetic plain is demarcated by the Vindhya Hills and plateau. It comprises the four districts of Jhansi, Jalaun, Banda, and Hamirpur in the Bundelkhand division, Meja and Karchhana tehsils of Allahabad district, the whole of Mirzapur District south of Ganges and Chakia tehsil of Varanasi District. The ground is strong with low hills. The Betwa and Ken rivers join the Yamuna from the south-west in this region.

### *Forests*

The state has an abundance of natural resources. In 2011 the recorded forest area in the state was 16,583 km<sup>2</sup>, which is about 6.88 of the state's geographical area. Out of the total forest cover, 70.31 is Reserved Forest, 8.75 is Protected Forest and the remaining 21.12 is Unclassed Forests. Only 4.46 of the total forest area is under dense forest. The existing forests in Uttar Pradesh can be classified into three categories: (i) wet tropical deciduous forests (ii) dry tropical deciduous forests and (iii) tropical thorny forests.

Wet tropical forests are situated in areas which receive an annual rainfall of 100 to 150 centimeters. In the wet tropical forests, deciduous trees of uneven shapes and sizes are to be found in elevated areas while the low-lying areas have a significant presence of bamboo, creepers and climbers as well as cane and green bushes. The trees that grow in these forests are mainly: sal, plum, gular, palash, mahua, amla, dhak, jamun, etc.

Dry deciduous forests are generally found in the plains of almost all central and western regions of the state. Bushes and grasses grow here in abundance because of sunlight reaching the ground level. Large tracts of land have, however, been cleared for agricultural purposes. In these forests, sal, fig, palash and teak, as well as trees such as neem, peepal, mango, jamun, mahua and acacia grow near rivers or in places containing moisture.

Thorny forests abound, mostly in the south western parts of the state where rainfall is minimal (40 to 60 cm annually). Long stretches of land are covered with thorny bushes and stunted trees, mainly acacia and other fruit-bearing prickly plants. The land appears to be carpeted, temporarily, by short grass during the monsoon. Altogether, this part of the state is a permanent open dry woodland in which a variety of trees grow, yielding resin and gum.

## *Fauna*

Uttar Pradesh has varied fauna including tigers, cats, antelopes, deer, wild boar, elephants and rhinos, amongst other animals common in the state's basin. Chinkara, sambar and chital, neel gai, swamp deer, hispid hare, Bengal floricans and black buck are the other common wild animals found in the forests of Uttar Pradesh.

The avian population of Uttar Pradesh comprises a mix of residents as well as migratory birds. The birds migrate across the Himalayas from Tibet, China, Europe and Siberia during winters. Some of the major migratory birds during the season are greylag goose, pintail, cotton teal, red-crested pochard, gadwall, shoveler, coot and mallard. Some major local migratory and residential birds are spotwill, sarus crane, painted stork, peacock, white ibis, dabchick, whistling teal, open-bill stork, white-necked stork, pheasant-tailed jacana, bronze winged jacana, purple moorhen, lapwing, tern vulture, pigeon, king crow, Indian roller and bee eater.

## *Population*

As per the Census Survey of 2011, Uttar Pradesh has a total population of 200 million, which is almost one-sixth of India's population. The population density is 828 persons per square kilometer. Approximately 77 of the total population lives in rural areas. About 15 of the total population is below the age of 6 years.

## *Gender classification*

Over half the total population is male and the sex ratio stands at 1000:912, which is much less than the national figure of 943. At the all-India level, only 30 percent of women are defined as workers, main or marginal. In Uttar Pradesh, the female work participation rate is lower than the national figure and the gender gap in work is higher. In terms of the female work participation rate, Uttar Pradesh is ranked 2 in the entire country with a participation rate of 20.

Uttar Pradesh has a very low sex ratio, reflecting the deteriorating situation of women in the state. In addition to the worsening mortality conditions, some of the reasons for this decline lie in increasing economic pressure for survival and sex-selective migration. Uttar Pradesh has always recorded sex ratios below the all-India levels and one primary reason is male migration from these states. The Child Sex Ratio in Uttar Pradesh is 899 as compared to 914 at the national level.

The National Family Health Survey III (NFHS) findings highlight that in Uttar Pradesh, 53 percent of the female respondents (between the age of 20-24) were married by the age of 18. While this figure was 30 percent in urban areas, it was a high 60.1 percent in rural areas. 14.3 percent of women between the ages of 14-19 were already mothers or pregnant. Marriage of girls before the legal minimum age of 18 is a widespread phenomenon in Uttar Pradesh, where nearly 49 percent of girls are married below the age of 18 years. Early age of marriage is both the symptom as well as a cause of women's subordination in society. Girls are married off early for a complex array of reasons. Socially and culturally perceived as "parayadhan", premium is put on virginity and therefore restrictive controls are imposed on girls' mobility and sexuality. Girls are thus seen to be protected from violence in society by an early marriage.

## *Social Stratification*

Over one fifth of the population belongs to scheduled caste and less than 1 percent is classified

as tribal community. Hinduism is the dominant religion, followed by 80 percent of the population. Muslims form the second largest community, accounting for 18 percent of the total population. The other religions followed are Sikhism, Jainism and Buddhism.

### *Indigenous People*

In Uttar Pradesh, tribes make up less than 1 percent of the total population. The peripheral regions of Uttar Pradesh are home to a number of tribal communities such as Agaria, Baiga, Bhar, Bhoksa, Bind, Chero, Gond, Kol and Korwa. Five of these tribal communities have been recognized by the Government of India as disadvantaged scheduled tribes: Tharus, Boksas, Bhotias, Jaunswaris and Rajis. Districts with substantial tribal populations include Sonbhadra; Kheri; Agra; Lucknow; Allahabad; Kanpur; Deoria; and Jaunpur. None of the project districts have substantial tribal populations.

### *Literacy rate*

The literacy rate of the state is 68 percent, which is much lower than the national figure. The male literacy rate is 77 percent whereas female literacy stands at just 57 percent. As a result, Uttar Pradesh is ranked among the top 5 worst states in terms of women's literacy. This could be because of low enrolment of female children in primary schools, coupled with high dropout rates.

A brief socio-economic snapshot of the state is summarized in the Table below:

**Table 7 - Socioeconomic snapshot of Uttar Pradesh**

<b>Area</b>	2,40,928 km <sup>2</sup>
<b>Population (2011 census)</b>	19.95 crore (16% All India Share of Population)
<b>Density of population (2011)</b>	828 persons per km <sup>2</sup>
<b>Decadal growth (2001-11)</b>	20.80
<b>Percentage of male population</b>	52
<b>Percentage of female population</b>	48
<b>Sex ratio</b>	912
<b>Percentage of population between 0 to 6 years</b>	15
<b>Literacy rate (2011)</b>	67.7
<b>Male literacy rate</b>	77
<b>Female literacy rate</b>	57
<b>Percentage of scheduled caste population</b>	21
<b>Percentage of tribal population</b>	0.6

*Source: Statistical abstract of Uttar Pradesh, 2012*

## **Economic Profile**

### *Land use Pattern in Uttar Pradesh*

The land use pattern in Uttar Pradesh is predominantly agriculture-based. The breakup of the land use (2010-11) is given in Table 10 below:

**Table 8 - Land classification in Uttar Pradesh**

S. No.	Land Classification	Area (Thousand Hectares)	(%)
1.	Forest	1658	7
2.	Barren and Uncultivated land	486	2
3.	Land under non agriculture uses	2835	12
4.	Waste land unfit for Agriculture	426	2
5.	Permanent pastures and grazing land	66	0
6.	Area under trees and grooves	354	1
7.	Current fallow land	1215	5
8.	Other fallow land	538	2
9.	Net area sown	16592	69
<b>Total</b>		<b>24171</b>	<b>100</b>

*Source: Statistical abstract on Uttar Pradesh, 2012*

### *Employment Pattern*

The work participation for various industries are summarizes for the districts and presented in table below:

**Table 9 - Work participation for various industries**

Industries	2001-02	2004-05	2007-08	2008-09	2009-10	2010-11
1. Agriculture & livestock	769	754	802	808	749	749
2. Mining & Quarrying	13	11	12	13	12	12
3. Manufacturing	2224	1994	2016	1974	1963	1951
4. Electricity, Gas	396	398	410	414	415	418
5. Construction	1054	988	1009	1017	1014	1014
6. Trade & Commerce	807	647	636	620	618	619
7. Transport	492	457	471	482	493	498
8. Financing. Insurance & Real Estate etc.	5195	5263	5332	5390	5440	5528
9. Services	<b>14689</b>	<b>14873</b>	<b>14944</b>	<b>14958</b>	<b>15040</b>	<b>15069</b>
<b>Total</b>	25639	25385	25632	25676	25744	25858

*Source: Statistical abstract on Uttar Pradesh, 2012*

The work participation rate for total workers is defined as the percentage of total workers to total population. The calculation is similar for main and marginal workers. The main workers are distributed in nine industrial categories of economic activities as per the 2011 Census. As per the 2011 Census, employment opportunities seem to be much lower for women in Uttar Pradesh, which restricts their economic empowerment. The work participation rate (WPR) was very low for females at 16.5 as compared to 46.8 for males.

**Table 10 - State's income and per capita income**

<b>Total State Income (2009-10) – current prices</b>	INR 4,53,020 crore
<b>Per capita Income (2009-10) current prices</b>	INR 23,132

*Source: Statistical abstract on Uttar Pradesh, 2012*

As the table above shows, the per capita income in the state is INR 23,132 which is less than half of the national per capita income of 54,835.

### Annex 3: Subproject Category Classification System

Category	Description	Requirement
<b>A</b>	Proposed subproject is classified as Category A, if it is likely to have significant adverse social and/or environmental impacts that are sensitive, diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works.	Full SIA Category A subproject examines the subproject's potential negative and positive social impacts, compares them with those of feasible alternatives (including the "without project" situation), and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental and social performance.
<b>B</b>	Proposed subproject is classified as Category B if its potential adverse social impacts on human populations are less adverse than those of Category A subprojects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigation measures can be designed more readily than for Category A subprojects.	Narrower scope of SIA for a Category B subproject than that of SIA for Category A.  But, like SIA for Category A, it examines the subproject's potential negative and positive social impacts and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve social performance.
<b>C</b>	Proposed subproject is classified as Category C if it is likely to have minimal or no adverse social impacts.	Beyond screening, no further SIA action is required for a Category C subproject.

**NOTE:** Any proposed subproject under the project which results in a Category A assignment will only be considered for financing if the individual subproject activity resulting in the Category A assignment is appropriately mitigated from the subproject and/or replaced with an element that presents a less significant social risk (Category B or C).



#### Annex 4: Subproject Screening Form

<b>Uttar Pradesh Pro-Poor Tourism Development Project</b>			
<b>Screening Note no.</b>			
Subproject Title:			
Subproject location (area/district/site):			
Subproject scope of work:			
Subproject cost:			
Implementing Agency:			
Date of screening:			
Responsible agency:			
S/n.	<b>Screening Criteria</b>	<b>Assessment of category</b>	<b>Explanation</b>
<b>CULTURAL HERITAGE</b>			
5	<p>Will the subproject create significant/limited/no cultural properties impacts?</p> <ul style="list-style-type: none"> <li>Involve significant excavations, demolition, movement of earth, flooding or other major environmental damages.</li> <li>Is located within or in the vicinity of a recognized cultural property conservation area or heritage site.</li> <li>Is designed to support the management or conservation of a cultural property.</li> </ul> <p>Other, specify.</p>		
6	<p>Does the subproject involve any prior clearance from the MoC or State Archeology Department for either the conservation or management of heritage sites or vicinities? (Yes/ No). If yes, which?</p>		
<b>SOCIAL</b>			

7	<p>Will the subproject create significant/limited/no social impacts?</p> <ul style="list-style-type: none"> <li>• Involuntary land taking resulting in loss of income; livelihood; sources of livelihood; loss of access to common property resources and / or private residential and/or commercial property.</li> <li>• Land acquisition resulting in relocation of households.</li> <li>• Any loss / reduction of access to traditional dependent communities (to areas where they earn for their primary or substantial livelihood).</li> <li>• Adverse impacts to women, including economic and safety concerns.</li> <li>• Other, specify.</li> </ul>		
<b>Overall Assessment</b>			
<input type="checkbox"/> Subproject is declined			
<input type="checkbox"/> Subproject is accepted			
<input type="checkbox"/> Subproject is classified as Category A and requires an in-depth Social Impact Assessment and a Management Plan.			
<input type="checkbox"/> Subproject is classified as Category B and requires a Management Plan.			
<input type="checkbox"/> Subproject is classified as Category C and does not require a Management Plan.			

**NOTE:** Please attach photographs and location maps along with this completed Screening Note.

## **Annex 5: Outline for a Category A Full (Comprehensive) Social Impact Assessment**

### **Social Impact Assessment (SIA)**

The SIA begins with the screening and identification of social issues and stakeholders and communities, including socially and economically disadvantaged communities, for each subproject (as indicated in **Annex 4**).

The SIA focuses on (i) identifying the local population likely to be affected by the subproject, (ii) carrying out a census of those directly affected by the proposed subproject, (iii) identifying and defining operationally relevant social issues that may affect subproject design, execution, and expected outcomes.

The tasks to be carried out by the SIA include, but are not limited to the following:

- i) Identify key social issues associated with the proposed subproject and specify the social development outcomes;
- ii) Prepare based on available data the profile of the population and available infrastructure facilities for services (disaggregated by gender, ethnicity, vulnerable groups, socially and economically backward communities, youth and aged, economic aspects, etc.) in the subproject affected area;
- iii) Based on the assessment of potential social and economic impacts, the SIA should establish criteria that will assist in the formulation of strategies; to the extent possible maximize project benefits to the local population and minimize adverse impacts of the subproject interventions on the affected communities;
- iv) Assess the likely impacts of the subproject, in terms of land acquisition (loss of lands, houses, livelihood, etc.), and resultant involuntary resettlement extent and undertake the census of potential subproject affected people;
- v) Identify likely loss of community assets including the religious structures and common property resources (e.g. forest, grazing land, drinking water source, etc.); the impacts of their loss on the local population, and prepare mitigation plans;
- vi) Review all policies, regulations and other provisions that relate to land acquisition, resettlement and rehabilitation of subproject affected people and other social issues;
- vii) Develop an R&R entitlement framework in consultation with the affected people and other stakeholders and prepare a resettlement action plan (RAP) which is acceptable to the subproject affected people;
- viii) Screen the social development issues in the subproject area and its vicinity and design the social services that may be provided by the project in order to improve the quality of life and achieve the project's economic and social goals;
- ix) Inform, consult and carry out dialogues with the project stakeholders on matters relating to subproject design, objectives, and implementation and provide specific recommendations to avoid/ minimize high social risks (e.g. activities where it is advisable not to proceed), the proceedings of consultation with stakeholders shall be properly documented and video recorded;
- x) Develop a consultation framework for participatory planning and implementation of proposed mitigation plan;
- xi) Assess the capacity of institutions and mechanisms for implementing social development aspects of the project implementation including the social safeguard plans and recommend capacity building measures; and,

- xii) Develop monitoring and evaluation mechanism to assess social development outcomes. Such monitoring mechanisms should include indicators that are disaggregated by gender, caste, ethnicity, age, etc.

While carrying out the above tasks, the methodology adopted should include both quantitative and qualitative techniques for data collection and analysis. The quantitative data collection will necessarily include census survey of potential project affected people and the likely impacts on their livelihood (on individual basis). The qualitative data collection will include community meetings, focus group discussions with diverse stakeholders' groups, interviews with functionaries of relevant Implementing Agencies, civil societies and other stakeholders. Stakeholders' consultations should also be organized to get their feedback on the proposed project interventions and their inputs on the social strategy (including resettlement policy) for the project.

The following are indicative methods and tools that could be used for undertaking the social assessment:

- i) For socio-economic, cultural and political/ institutional analysis combine multiple tools and employ a variety of methods for collecting and analyzing data, including both quantitative and qualitative methods (expert and key informant interviews, focus groups discussions, beneficiary assessments, rapid and participatory rural appraisal, gender analysis);
- ii) Use relevant interview schedules, field survey instruments and checklist for data collection and discussions;
- iii) Screen and scope social issues to prioritize them through different techniques such as ranking and composite index;
- iv) For determining the magnitude of impact and analysis of alternatives develop social maps and indicate all information on structures, utilities and abutting land use that is likely to be affected within the project impact zone; and,

The SIA methodology should emphasize consultation and participation of local communities including project affected people, project implementing and executing agencies at different levels (state, district and project). The discussions with the relevant government officials, local elected representatives, other institutions and organizations in the civil society, should be participatory and broad-based, leading to the identification, selection and agreement on project investments in consultation with the client.

## **Annex 6: Outline for a Category B (Rapid) Social Impact Assessment**

A Rapid SIA should consider potential impacts in terms of land, access requirements, land use, and involuntary resettlement and should consist of the following components:

- Based on available data, prepare the socio-economic and cultural profile of the population and available infrastructure facilities for services (disaggregated by gender, ethnicity, vulnerable groups, socially and economically backward communities, youth and aged, and economic aspects) in the subproject areas;
- Carry out social analysis of subproject areas and potential activities envisaged under the project;
- Document the current and proposed development activities within the project's area of influence, including those not directly connected to the project;
- Document the extent of land to be acquired or transferred, if any, and review the land take/lease process to assess any legacy or current/existing issues (like informal settlers, livelihood dependence, other usage, etc.) on the allotted land.

## Annex 8: Resettlement Action Plan

The scope and level of detail of the resettlement plan vary with the magnitude and complexity of resettlement. The plan is based on up-to-date and reliable information about (a) the proposed resettlement and its impacts on the displaced persons and other adversely affected groups, and (b) the legal issues involved in resettlement.

The resettlement plan covers the elements below, as relevant. When any element is not relevant to project circumstances, it should be noted in the resettlement plan.

Element	Description
<i>Description of the project</i>	General description and identification of the project area.
<i>Potential impacts</i>	Identification of: (a) project component or activities that give rise to resettlement; (b) zone of impact of such component or activities; (c) alternatives considered to avoid or minimize resettlement; and (d) mechanisms established to minimize resettlement, to the extent possible, during project implementation.
<i>Objectives</i>	Main objectives of the resettlement program.
<i>Socioeconomic studies</i>	Findings of the studies to be conducted in the early stages of project preparation and with the involvement of potentially displaced people: (a) Census survey covering: (i) current occupants of the affected area to establish a basis for the design of the resettlement program and to exclude subsequent inflows of people from eligibility for compensation and resettlement assistance; (ii) standard characteristics of displaced households, including a description of production systems, labor, and household organization; and baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population; (iii) the magnitude of the expected loss--total or partial--of assets, and the extent of displacement, physical or economic; (iv) information on vulnerable groups or persons, for whom special provisions may have to be made; (v) provisions to update information on the displaced people's livelihoods and standards of living at regular intervals so that the latest information is available at the time of their displacement. (b) Other studies describing the following: (i) land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest areas) governed by local recognized land allocation mechanisms, and any issues raised by different tenure systems in the project area; (ii) the patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the project; (iii) public infrastructure and social services that will be affected; (iv) social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g.,

	community organizations, ritual groups, nongovernmental organizations (NGOs)) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.
<i>Legal framework</i>	<p>The findings of an analysis of the legal framework:</p> <ul style="list-style-type: none"> <li>(a) scope of the power of eminent domain and the nature of compensation associated with it, in terms of both the valuation methodology and the timing of payment;</li> <li>(b) applicable legal and administrative procedures, including a description of the remedies available to displaced persons in the judicial process and the normal timeframe for such procedures, and any available alternative dispute resolution mechanisms that may be relevant to resettlement under the project;</li> <li>(c) relevant law (including customary and traditional law) governing land tenure, valuation of assets and losses, compensation, and natural resource usage rights; customary personal law related to displacement; and environmental laws and social welfare legislation;</li> <li>(d) laws and regulations relating to the agencies responsible for implementing resettlement activities;</li> <li>(e) gaps, if any, between local laws covering eminent domain and resettlement and the Bank's resettlement policy, and the mechanisms to bridge such gaps; and</li> <li>(f) any legal steps necessary to ensure the effective implementation of resettlement activities under the project, including, as appropriate, a process for recognizing claims to legal rights to land—including claims that derive from customary law and traditional usage.</li> </ul>
<i>Institutional Framework</i>	<p>The findings of an analysis of the institutional framework covering</p> <ul style="list-style-type: none"> <li>(a) identification of agencies responsible for resettlement activities and NGOs that may have a role in project implementation;</li> <li>(b) assessment of the institutional capacity of such agencies and NGOs; and</li> <li>(c) any steps that are proposed to enhance the institutional capacity of agencies and NGOs responsible for resettlement implementation.</li> </ul>
<i>Eligibility</i>	Definition of displaced persons and criteria for determining their eligibility for compensation and other resettlement assistance, including relevant cut-off dates.
<i>Valuation of and compensation for losses</i>	Methodology to be used in valuing losses to determine their replacement cost; and a description of the proposed types and levels of compensation under local law and such supplementary measures as are necessary to achieve replacement cost for lost assets.
<i>Resettlement measures</i>	Description of the packages of compensation and other resettlement measures that will assist each category of eligible displaced persons to achieve the objectives of the policy. In addition to being technically and economically feasible, the resettlement packages should be compatible with the cultural preferences of the displaced persons, and prepared in consultation with them.
<i>Site selection, site preparation, and relocation</i>	<p>Alternative relocation sites considered and explanation of those selected, covering</p> <ul style="list-style-type: none"> <li>(a) institutional and technical arrangements for identifying and preparing relocation sites, whether rural or urban, for which a combination of productive potential, locational advantages, and other factors is at least comparable to the advantages of the old sites, with an estimate of the time needed to acquire and transfer land and ancillary resources;</li> <li>(b) any measures necessary to prevent land speculation or influx of ineligible persons at the selected sites;</li> <li>(c) procedures for physical relocation under the project, including timetables for site preparation and transfer;</li> <li>(d) legal arrangements for regularizing tenure and transferring titles to resettlers</li> </ul>

<i>Housing, infrastructure, and social services</i>	Plans to provide (or to finance resettlers' provision of) housing, infrastructure (e.g., water supply, feeder roads), and social services (e.g., schools, health services); plans to ensure comparable services to host populations; any necessary site development, engineering, and architectural designs for these facilities.
<i>Environmental protection and management</i>	Description of the boundaries of the relocation area; and an assessment of the environmental impacts of the proposed resettlement and measures to mitigate and manage these impacts (coordinated as appropriate with the environmental assessment of the main investment requiring the resettlement).
<i>Community participation</i>	Involvement of resettlers and host communities: (a) a description of the strategy for consultation with and participation of resettlers and hosts in the design and implementation of the resettlement activities; (b) a summary of the views expressed and how these views were taken into account in preparing the resettlement plan; (c) a review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them, including choices related to forms of compensation and resettlement assistance, to relocating as individuals families or as parts of preexisting communities or kinship groups, to sustaining existing patterns of group organization, and to retaining access to cultural property (e.g. places of worship, pilgrimage centers, cemeteries); and (d) institutionalized arrangements by which displaced people can communicate their concerns to project authorities throughout planning and implementation, and measures to ensure that such vulnerable groups as indigenous people, ethnic minorities, the landless, and women are adequately represented.
<i>Integration with host populations</i>	Measures to mitigate the impact of resettlement on any host communities: (a) consultations with host communities and local governments; (b) arrangements for prompt tendering of any payment due the hosts for land or other assets provided to resettlers; (c) arrangements for addressing any conflict that may arise between resettlers and host communities; (d) any measures necessary to augment services (e.g., education, water, health, and production services) in host communities to make them at least comparable to services available to resettlers.
<i>Grievance procedures</i>	Affordable and accessible procedures for third-party settlement of disputes arising from resettlement; such grievance mechanisms should take into account the availability of judicial recourse and community and traditional dispute settlement mechanisms.
<i>Organizational responsibilities</i>	Organizational framework for implementing resettlement, including identification of agencies responsible for delivery of resettlement measures and provision of services; arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation; and any measures (including technical assistance) needed to strengthen the Implementing Agencies' capacity to design and carry out resettlement activities; provisions for the transfer to local authorities or resettlers themselves of responsibility for managing facilities and services provided under the project and for transferring other such responsibilities from the resettlement Implementing Agencies, when appropriate.
<i>Implementation schedule</i>	An implementation schedule covering all resettlement activities from preparation through implementation, including target dates for the achievement of expected benefits to resettlers and hosts and terminating the various forms of assistance. The schedule should indicate how the resettlement activities are linked to the implementation of the overall project.
<i>Costs and budget</i>	Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the Implementing Agencies.



<i>Monitoring and evaluation</i>	Arrangements for monitoring of resettlement activities by the Implementing Agency, supplemented by independent monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; evaluation of the impact of resettlement for a reasonable period after all resettlement and related development activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.
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## Annex 9: Abbreviated Resettlement Action Plan

If less than 200 persons are expected to be affected by a subproject, an abbreviated plan needs to be prepared, covering the following minimum elements:

Element	Description
(a) Census survey of displaced persons and valuation of assets;	<p>(i) current occupants of the affected area to establish a basis for the design of the resettlement program and to exclude subsequent inflows of people from eligibility for compensation and resettlement assistance;</p> <p>(ii) standard characteristics of displaced households, including a description of production systems, labor, and household organization; and baseline information on livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the displaced population;</p> <p>(iii) the magnitude of the expected loss--total or partial--of assets, and the extent of displacement, physical or economic;</p> <p>(iv) information on vulnerable groups or persons, for whom special provisions may have to be made;</p> <p>(v) provisions to update information on the displaced people's livelihoods and standards of living at regular intervals so that the latest information is available at the time of their displacement.</p> <p>(b) Other studies describing the following:</p> <p>(i) land tenure and transfer systems, including an inventory of common property natural resources from which people derive their livelihoods and sustenance, non-title-based usufruct systems (including fishing, grazing, or use of forest areas) governed by local recognized land allocation mechanisms, and any issues raised by different tenure systems in the project area;</p> <p>(ii) the patterns of social interaction in the affected communities, including social networks and social support systems, and how they will be affected by the project;</p> <p>(iii) public infrastructure and social services that will be affected;</p> <p>(iv) Social and cultural characteristics of displaced communities, including a description of formal and informal institutions (e.g., community organizations, ritual groups, nongovernmental organizations (NGOs)) that may be relevant to the consultation strategy and to designing and implementing the resettlement activities.</p>
(b) Description of compensation and other resettlement assistance to be provided;	<p>Description of the packages of compensation and other resettlement measures that will assist each category of eligible displaced persons to achieve the objectives of the policy. In addition to being technically and economically feasible, the resettlement packages should be compatible with the cultural preferences of the displaced persons, and prepared in consultation with them.</p>

(c) Consultations with displaced people about acceptable alternatives;	(a) a description of the strategy for consultation with and participation of resettlers and hosts in the design and implementation of the resettlement activities; (b) a summary of the views expressed and how these views were taken into account in preparing the resettlement plan; (c) a review of the resettlement alternatives presented and the choices made by displaced persons regarding options available to them,
(d) Institutional responsibility for implementation and procedures for grievance redress;	Organizational framework for implementing resettlement, including identification of agencies responsible for delivery of resettlement measures and provision of services; arrangements to ensure appropriate coordination between agencies and jurisdictions involved in implementation; and any measures (including technical assistance) needed to strengthen the Implementing Agencies' capacity to design and carry out resettlement activities; provisions for the transfer to local authorities or resettlers themselves of responsibility for managing facilities and services provided under the project and for transferring other such responsibilities from the resettlement Implementing Agencies, when appropriate.
(e) Arrangements for monitoring and implementation;	Arrangements for monitoring of resettlement activities by the Implementing Agency, supplemented by independent monitors as considered appropriate by the Bank, to ensure complete and objective information; performance monitoring indicators to measure inputs, outputs, and outcomes for resettlement activities; involvement of the displaced persons in the monitoring process; evaluation of the impact of resettlement for a reasonable period after all resettlement and related development activities have been completed; using the results of resettlement monitoring to guide subsequent implementation.
(f) Timetable and budget.	Tables showing itemized cost estimates for all resettlement activities, including allowances for inflation, population growth, and other contingencies; timetables for expenditures; sources of funds; and arrangements for timely flow of funds, and funding for resettlement, if any, in areas outside the jurisdiction of the Implementing Agencies.

## **Annex 10: Resettlement Policy Framework**

These guidelines are prepared for addressing any resettlement and rehabilitation issues that may arise in this project and have an impact on project affected persons (PAPs). This policy has been developed based on the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 subject to subsequent supplements by Government of Uttar Pradesh orders and World Bank Operational Policy 4.12 on involuntary resettlement.

### **Broad Principles**

The policy aims to resettle and rehabilitate the affected persons on account of its subprojects in a manner that they do not suffer from adverse impacts and shall improve or at the minimum retain their previous standard of living, earning capacity and production levels. It is also the endeavor of the Uttar Pradesh Public Works Department that the resettlement shall minimize dependency and be sustainable socially, economically and institutionally. Special attention will be paid to the improvement of living standards of marginalized and vulnerable groups.

This policy recognizes that involuntary resettlement dismantles a previous production system and a way of life. As a result, all such rehabilitation programs will adopt a developmental approach rather than the welfare approach. These guidelines detail the assistance provided in re-establishing the homes and livelihoods of the PAPs during the course of projects.

All information related to resettlement preparation and implementation will be disclosed to all concerned, and community participation will be ensured in planning and implementation. Private negotiations will also be used for land acquisition as required.

The broad principles of the Resettlement and Rehabilitation (R&R) policy are:

- All negative impacts including displacement should be avoided or minimized wherever feasible by exploring all viable alternative project designs.
- Where negative impacts are unavoidable, efforts should be made either to improve the standard of living of the affected persons or at least assist them in restoring their previous standard of living at no cost to them.
- Ensure people's participation during the course of the project cycle.
- Effort should be made towards the enhancement of the positive impact of the projects.

The project may broadly have three impacts that require mitigation measures. These are:

- Loss of immovable assets, such as houses encroached in monuments, commercial etc.
- Loss of livelihood or income opportunities, for instance, for informal street vendors during construction or rehabilitation works, etc.
- Impact on the community in terms of loss of common property resources.

The first two categories represent direct impacts on an identified population. The people likely to be affected will be surveyed and registered, and project monitoring and evaluation will compare long-term impacts against baseline socio-economic data.

The third category represents a group impact, where gains and losses of a group-oriented nature are not quantifiable in terms of impact on the individual. Mitigation and support

mechanisms will be collectively oriented, and the monitoring will focus on impact on such groups.

All acquisition of private land, if necessary, would be by direct purchase. However, the provisions of the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 and subsequent supplements by the Government of Uttar Pradesh shall prevail in case direct purchase fails.

- Support will be extended under the broad principles of this policy to meet the replacement value of the assets and loss of livelihood.
- The policy further recognizes extension of support to non-titleholders for the loss of livelihood and replacement value for assets other than land.
- The common property resources will be replaced as far as feasible and, if not, then assistance will be provided at replacement value to the group.

Before taking possession of the acquired lands and properties, if necessary under the project, all compensation, resettlement and rehabilitation would be made in accordance with this policy.

In case of displacement, resettlement sites will be developed as part of the project. In such circumstances care should be taken so that there is no/minimum adverse social, economic and environmental effects of displacement on the host communities and specific measures would be provided in the Resettlement and Rehabilitation Action Plan (RAP) to mitigate any such impacts.

The implementation of the R&R Action Plan will be synchronized with any civil works to be conducted under the project. The project will ensure that no civil works are initiated before compensation and assistance to affected population has been provided in accordance with this policy.

**Stakeholder mapping:** Through formal and informal consultation, the following stakeholders and interests have been identified:

**Table 11 - Stakeholder mapping**

Stakeholder Category	Interests	Potential/Probable impacts
<b>Primary stakeholders</b>		
Project affected people	Access to attractions, project entitlement, time-bound delivery of benefits, enhanced quality of life	(+/-)
Beneficiaries	Access to attractions, project entitlement, time-bound delivery of benefits, enhanced quality of life	(+/-)
<b>Secondary stakeholders</b>		
State Department of Tourism	Project implementation, contracting; project management, monitoring and evaluation	(+/-)
NGOs, CSOs, Local Administration	Development, community participation, and community welfare	(+/-)

This tentative mapping is likely to change during the project implementation. Each of these stakeholders will be part of the consultation process and their views will be incorporated in the project design.

## Definitions

**Cut-off date:** In the cases of land acquisition affecting legal titleholders, the cut-off date would be the date of issuing the publication of preliminary notification u/s 11(I) of RFCTLAR Act, 2013 & for the Non-Title holders cutoff date would be the date of Census Survey.

**Project Affected Person:** Person who is affected in respect of his/her land including homestead land and structure thereon, trade and occupation due to construction of the project

**Project Displaced Person:** A displaced person is a person who is compelled to change his/her place of residence and/or work place or place of business, due to the project.

**Projected Affected Family:** Family includes a person, his or her spouse, minor children, minor brothers and minor sisters dependent on him. Provided that widows, divorcees and women deserted by families shall be considered separate families;  
Explanation - An adult of either gender with or without spouse or children or dependents shall be considered as a separate family for the purpose of this Act.

**Land Owner:** "land owner" includes any person:

- Whose name is recorded as the owner of the land or building or part thereof, in the records of the authority concerned; or
- Any person who is granted forest rights under the Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 or under any other law for the time being in force; or
- Who is entitled to be granted Patta rights on the land under any law of the State including assigned lands; or any person who has been declared as such by an order of the court or Authority

**Marginal farmers:** "marginal farmer" means a cultivator with an un-irrigated land holding UP to one hectare or irrigated land holding up to one half hectare.

**Small Farmer:** "small farmer" means a cultivator with an un-irrigated land holding up to two hectares or irrigated land holding up to one hectare, but more than the holding of a marginal farmer

**Encroacher:** A person who has trespassed government/ private/community Land, adjacent to his or her land or asset to which he/she is not entitled and who derives his/her livelihood and housing there from prior to the cut-off date.

**Squatter:** A squatter is a person who has settled on publicly owned land for housing or livelihood without permission or who has been occupying publicly owned building without authority prior to the cut-off date.

**Landless/Agriculture Labor:** A person who does not hold any agriculture land and has been deriving main income by working on the lands of others as sub-tenant or as an agriculture labor prior to the cut-off date.

**Below Poverty Line:** A household, whose annual income from all sources is less than the designed sum as fixed by the planning commission of India, will be considered to be below poverty line (BPL).

**Vulnerable Person:** The Vulnerable group may include but not be limited to the following:

- Those people falling under Below Poverty line category as defined by the Government of Uttar Pradesh.
- Member of Scheduled caste/tribe community/other backward community.
- Women Headed households.
- Senior citizen-person above the age of 60 years.
- Landless
- Village artisan

### **R&R Benefits for Project Affected Families**

The resettlement and rehabilitation (R&R) benefits shall be extended to all the Project Affected Families (PAF) whether they are classified as below poverty line (BPL) or non-BPL. The details are provided in the entitlement matrix. For tribal populations, the following provisions will be adhered to:

- Each PAF in the scheduled tribe category shall be given preference in allotment of land.
- Tribal PAFs will be resettled close to their natural habitat in a compact block so that they can retain their ethnic/linguistic and cultural identity.
- Any tribal land alienated in violation of the relevant laws and regulations would be treated as null and void and the R&R benefits would be available only to the original tribal land owner.

**Table 12 - Entitlement matrix**

S. No.	Application	Definition of Entitled Unit	Entitlement	Details
<b>A. Loss of Private Agricultural, Home-Stead &amp; Commercial Land</b>				
1	Land	Titleholder family and families with traditional land rights	Compensation at Market value, Resettlement and Rehabilitation	a) Land for land, if available. Or, cash compensation for the land at market value, which will be determined as provided under section 26 of RFCTLARR Act 2013. b) The land if allotted will be in the name of both husband and wife. c) If post acquisition, residual land is economically unviable, the land owner will have the choice of either retaining or selling off rest of the land. d) Refund of stamp duty and registration charges incurred for replacement land to be paid by the project; replacement land must be bought within a year from the date of payment of compensation to project affected persons. e) Subsistence allowance of Rs. 36000 as one time grant. f) One time grant of Rs. 500,000 or annuity. g) Compensation at market value for loss of crops, if any.
<b>B. Loss of Private Structures (Residential/Commercial)</b>				

S. No.	Application	Definition of Entitled Unit	Entitlement	Details
2	Structure	Title Holder/ Owner	Compensation at Market value, Resettlement & Rehabilitation Assistance	a) Cash compensation for the structure at market value, which would be determined as per section 29 of the RFCTLARR Act 2013. House under Indian Awas Yojna in rural area or Rs 50000 in lieu of and house under RAY in urban area or Rs 100,000 in lieu of. The house if allotted will be in the name of both husband and wife. b) Right to salvage material from the demolished structures. c) Three months' notice to vacate structures. d) Refund of stamp duty and registration charges for purchase of new alternative houses/shops at prevailing rates on the market value as determined in (a) above. Alternative houses/shops must be bought within a year from the date of payment of compensation. e) In case of partially affected structures and the remaining structure remains viable, additional 10% to restore the structure. In case of partially affected structures and the remaining structure becomes unviable additional 25% of compensation amount as severance allowance. f) Subsistence allowance equivalent to Rs. 36000 as one time grant. g) Each affected family getting displaced shall get a one-time financial assistance of Rs 50,000 as shifting allowance. h) Each affected family that is displaced and has cattle, shall get financial assistance of Rs 25,000/- for construction of cattle shed. i) One time grant of Rs. 50,000 as resettlement assistance. j) Each affected person who is a rural artisan, small trader or self-employed person and who has been displaced (in this project owner of any residential-cum commercial structure) shall get a one-time financial assistance of Rs. 25,000/- for construction of working shed or shop. k) One time grant of Rs. 500,000.
3	Structure	Tenants/ Lease Holders	Resettlement & Rehabilitation Assistance	a) Registered lessees will be entitled to an apportionment of the compensation payable to structure owner as per applicable local laws. b) In case of tenants, three months written notice will be provided along with Rs 50,000 towards shifting allowance.
<b>C. Loss of Trees and Crops</b>				
4	Standing Trees, Crops	Owners and beneficiaries (Registered/ Un-registered tenants, contract leaseholders	Compensation at market value	a) Three months advance notice to project affected persons to harvest fruits, standing crops and removal of trees. b) Compensation to be paid at the rate estimated by: i) The Forest Department for timber trees ii) The State Agriculture Extension Department for crops iii) The Horticulture Department for



S. No.	Application	Definition of Entitled Unit	Entitlement	Details
				<p>fruit/flower bearing trees.</p> <p>c) Registered tenants, contracted cultivators &amp; leaseholders &amp; sharecroppers will be eligible for compensation for trees and crops as per the agreement document between the owner and the beneficiaries.</p> <p>d) Un-registered tenants, contract cultivators, leaseholders &amp; sharecroppers will be eligible for compensation for trees and crops as per mutual understanding between the owner and the beneficiaries.</p>

#### **D. Loss of Residential/ Commercial Structures to Non-Titled Holders**

5	Structures within the Government land	Owners of Structures or Occupants of structures identified as per Project Census Survey	Resettlement & Rehabilitation Assistance	<p>a) Non-vulnerable encroachers shall be given three months' notice to vacate occupied land.</p> <p>b) Vulnerable encroachers will be provided cash assistance at replacement cost for loss of structures as described in section 29 of the RFCTLARR Act 2013.</p> <p>c) Any encroacher identified as non-vulnerable but losing more than 25% of structure used will be paid cash assistance at replacement cost for loss of structures. The amount will be determined as per section 29 of the RFCTLARR Act 2013.</p> <p>d) All squatters to be paid cash assistance for their structures at replacement costs which will be determined as mentioned in section 29 of the RFCTLARR Act 2013.</p> <p>e) All squatters (other than kiosks) will be eligible for one time grant of Rs 36000 as subsistence allowance.</p> <p>f) All squatters other than Kiosks will be given shifting allowance of Rs 50,000 per family as one time grant for a permanent structure and Rs. 30,000 for a semi-permanent structure and Rs. 10,000 for a temporary structure.</p> <p>g) Each affected person who is a rural artisan, small trader or self-employed person assistance of Rs 25,000/- for construction of working shed or shop.</p> <p>h) In case of Kiosks, only Rs. 5000 will be paid as one time grant.</p>
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#### **E. Loss of Livelihood**

6	Households	Title Holders/ Non-Title holders/ and employees	Resettlement & Rehabilitation Assistance	<p>a) Subsistence allowance of Rs. 36,000 as one time grant. (PAPs covered under 1(f), 2 (f) and 5 (e) above would not be eligible for this assistance).</p> <p>b) Training Assistance of Rs 10,000/- for income generation per family.</p> <p>c) Temporary employment in the project construction work to project affected persons with particular attention to vulnerable groups by the project contractor during construction, to the extent possible.</p>
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#### **F. Additional Support to Vulnerable Families**

7	Households	SC, ST, BPL, WHH families	Resettlement & Rehabilitation	<p>a) One time additional financial assistance of Rs. 50,000.</p> <p>b) Squatters and encroachers already</p>
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S. No.	Application	Definition of Entitled Unit	Entitlement	Details
			Assistance	covered under clause 5 are not eligible for this assistance.
<b>G. Loss of Community Infrastructure/Common Property Resources</b>				
8	Structures & other resources (e.g. land, water, access to structures etc.)	Affected communities and groups	Reconstruction of community structure and common property resources	Reconstruction of community structure and common property resources in consultation with the community.
<b>H. Temporary Impact During Construction</b>				
9	Land & assets temporarily impacted during construction	Owners of land & Assets	Compensation for temporary impact during construction e.g. diversion of normal traffic, damage to adjacent parcel of land / assets due to movement of heavy machinery and plant site.	Compensation to be paid by the contractor for loss of assets, crops and any other damage as per prior agreement between the 'Contractor' and the 'Affected Party'.
<b>I. Resettlement Site</b>				
10	Loss of residential structures	Displaced titleholders and non-titleholders	Provision of resettlement site/ vendor market	Resettlement sites will be developed as part of the project, if a minimum of 25 project displaced families opt for assisted resettlement. Vulnerable PAPs will be given preference in allotment of plots/flats at the resettlement site. Plot size will be equivalent to size lost subject to a maximum of provision given in RFCTLARR Act 2013. Basic facilities shall be provided by the project at resettlement site as per the provisions given in the Third Schedule of RFCTLARR Act 2013. Similarly, if at least 25 displaced commercial establishments (small business enterprises) opt for shopping units, the Project Authority will develop the vendor market at a suitable location in the nearby area in consultation with displaced persons. Basic facilities such as approach road, electricity connection, water and sanitation facility, will be provided in the vendor market by the project. Vulnerable PAPs will be given preference in allotment of shops in vendor market. One displaced family will be eligible for only one land plot at resettlement site or shop in the vendor market.

### Land Acquisition and Compensation Disbursement Process

According to the assessment of the preliminary list of prioritized works, there will be no need for private land acquisition resulting in involuntary displacement and loss of livelihood in urban or rural areas. Nevertheless, as a precaution, the following section describes actions and procedures to be followed in case any involuntary displacement or loss of livelihood does occur,

in order to mitigate any losses entailed. In the event that involuntary displacement as defined in the Bank's policy 4.12 takes place, the principles and procedures defined in the project's RPF will apply.

## **Land Acquisition**

Land needed for the project, if any, shall be acquired by direct negotiation as outlined in this policy framework. However, record of all those cases where negotiations have failed and reasons for failure of negotiations shall be maintained for future reference.

Option I will be direct purchase of land as per Clause 46 of RFCT LA R&R, Act 2013 whereas option II will be acquisition of private land in case negotiations under option I fail.

Land acquisition will be the responsibility of the government. The Land Acquisition Plan (LAP) as per the detailed design giving details of each plot such as Plot No., total area of affected land, area of land to be acquired, percentage of total land area affected, names of interested persons, type of land, present use of land, etc along with revenue map shall be prepared by the project.

- In case of land being acquired through negotiation, the requiring agency will pay the entire negotiated amount to the land losers as bullet payment.
- After approval of micro-plan, the Project Authority will pay all kinds of assistance to affected persons in a transparent manner.
- In case of land being acquired through RFCTLARR Act, 2013, the compensation amount will be paid to the land losers as per provisions of the Act. The PWD will deposit the entire amount of compensation with the concern Land Acquisition Collector. The completion of land acquisition is considered only when the landowner receives the notice for collection of compensation amount.
- In case some claimants are pending even after several reminders (maximum 4) and notifications, the compensation money will be kept in a separate account till the currency of the project. Interested parties either directly or through their legal heirs, as the case may be, may claim their compensation before the Land Acquisition Collector after satisfactory documentary verification. After project completion however, the money may be kept in the government treasury as "unclaimed money".

## **Disposal of acquired properties**

Any acquired land and properties shall vest in the department/organization paying compensation for such lands/properties. Even after payment of compensation, PDPs and PAPs will be allowed to salvage the materials from their houses, shops, etc. acquired by the project and no charges will be levied upon them from the government. Project authorities will give a notice to people to salvage the material within 15 days of the issue of the notice.

## **Annex 11: Gender Development Framework**

### **Introduction**

Mainstreaming gender equity and empowerment will be an intrinsic aspect of the project. Its development objective and proposed activities related to local economic development as well as the provision of basic services pay special attention to address women and men as well as girls' and boys' specific needs.<sup>3</sup> Applying a gender lens to the project's preparation and implementation means that:

All data should be disaggregated by gender, caste, ethnicity, location and age. Issues of division of labor, access to resources and decision making power (who is doing what, who has access to what, who makes the ultimate decision) have to be assessed for their gender differential impact on women and men of different social identity group. Assessment of policies, programs, institutional arrangements, human resources issues and M&E system has to be done from a gender perspective of project, project authorities and community groups.

To this end, a Gender Development Framework that outlines the preparation of a Gender Assessment and Gender Action Plan is proposed under the project as part of this ESMF in order to provide the State Department of Tourism, the Implementing Agencies and partners with the necessary guidance for the analysis of gender issues during the subproject preparation and later execution.

To gather data and ensure that subprojects are gender sensitive, gender analysis will be an integral part of the subproject screening. Any adverse gender issues identified will be further analyzed as part of the Social Impact Assessment of the subproject. This analysis will include gender specific queries both at primary data collection and review of available secondary data. This quantitative and qualitative analysis will bring out sex disaggregated data and issues related to gender disparity, needs, constraints, and priorities; as well as understanding of potential for gender based inequitable risks, benefits and opportunities.

The subproject further technical detailing (feasibility studies and DPR preparation) will address the findings and recommendations from the gender analysis as well as feedback from potentially affected groups and individuals.

In case of major gender issues identified beyond specific subprojects, the State Department of Tourism will promote the necessary dialogue with the concerned authorities, such as the Ministry of Women and Children, National Commission for Women, National Mission for Empowerment of Women, the Federation of the Indian Chambers of Commerce and Industry's Ladies Organization, and others, to ensure national and state requirements are followed by the project.

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<sup>3</sup> The effectiveness and sustainability of any project relies substantially on its capacity to address the constraints on women's participation in its several stages from design, implementation, operation and maintenance to training and monitoring and evaluation. Successful projects have also focused on understanding the linkages between gender and poverty, by identifying, for example, households headed by females and households with special needs. Experience shows that an adaptive, learning-by-doing, and process-oriented approach works better than a blue print approach; continuous dialogue between the project team and its target population is therefore important. Project target groups and individuals are likely to have a stronger sense of ownership when the project gives them enough time, design flexibility, and capacity to take corrective action. Therefore, consultative mechanisms are being proposed under the project to allow such two-way interactions between its target population and service providers.

## Gender Assessment and Gender Action Plan

The gender assessment identifies the key gender issues in the project area as well as ways to mitigate any adverse effects. The assessment also provides an overview of the institutional or regulatory frameworks concerned with gender in the project area. The tasks to be carried out as part of the gender assessment include, but are not limited to, the following:

- Desk review that looks at all available information (e.g. statistics, other gender reports or documents of previous tourism projects) in the project area and the socioeconomic profile of the target population. The review will identify the relevant legal policy and institutional frameworks and their gender implications as well as the government programs that encourage equal opportunities and participation of women in the project area.
- Primary qualitative and quantitative data collection including household surveys, focus group discussions, and random interviews with women and men in sub projects.
- Assessment of the most disadvantaged areas and sections of society (widows, female-headed households, disabled men and women) in terms of access to services and poverty level. Identification of major stakeholder groups that work on gender issues and assessment of women's participation in Implementing Agencies, community organizations, and tender boards or other decision-making forums related to the planning, implementation, monitoring, and evaluation of subprojects.
- Identification of how tourism sector strategies, policies, or grievance mechanisms address gender issues. This can also include specific training, communication or gender sensitization workshops held for men and women in the tourism ministry / department staff and Implementing Agencies.

The Gender Action Plan (GAP) will be prepared at the earliest stage of subproject preparation and implementation. GAP will help (i) guide how any potential adverse gender impacts will be addressed, (ii) set forth guidelines and plans for each subproject to ensure that men and women participate and benefit equally, and support gender-disaggregated data collection. The tasks to be carried out as part of the gender assessment include, but are not limited to, the following:

- Undertake quality social and gender analyses. Identify constraints to participating and benefiting men and women; develop strategies for each subproject to ensure that men and women participate and benefit equally.
- Revisit gender design strategies at inception. The plan needs to be tested and reviewed early in implementation; identify detailed activities, targets, resources, and responsibilities for implementation.
- Gender Action Plan must be fully owned and understood by the executing agency. Use a participatory and flexible approach to developing the plan; a strong rationale that is directly linked to overall project objectives is needed for targeting and working with women.
- Identify realistic targets linked to subproject objectives. Targets and strategies should enable step-by-step progress, bringing incremental changes and challenging culture

without threatening it; linking targets to loan objectives helps all stakeholders to understand the rationale for focusing on women and helps monitoring of participation and benefits.

- Include gender capacity building in the Gender Action Plan. Both formal training and ongoing support and mentoring are needed for developing skills, ownership, and commitment.
- Provide adequate skills and resources for implementation of Gender Action Plan. Long-term gender specialists in the Implementing Agencies or project team and adequate resources for implementation of actions; nongovernmental organizations and other agencies contracted to implement project activities should have a demonstrated gender capacity.
- Monitor and follow up gender-related targets and activities. Systematic follow-up to ensure that policy reforms and gender actions are implemented; routine monitoring and reporting; gender-sensitive indicators and gender-related risks must be included in project logical frameworks.

## **Annex 12: Physical Cultural Resources Management Plan**

### **Introduction**

Development of a physical cultural resources management plan is an integral part of the Environmental Impact Assessment process. Typically, the plan includes measures for avoiding or mitigating any adverse impacts on physical cultural resources, provisions for the management of chance finds, any necessary measures for strengthening institutional capacity, a monitoring system to track progress of these activities, and takes into account the country's overall policy framework, national legislation and institutional capabilities in regard to physical cultural resources. The proposed monitoring system should cover the expected impacts, and the implementation of the mitigating measures recommended in the EIA report, as well as impacts that were not included in the impact assessment, possibly because it was thought that such PCR would not be affected.

In the case of a major project in a culturally sensitive area, or one involving, for example, a pipeline or large reservoir, which requires substantial archaeological investigations during project implementation, consideration should be given to instituting a program of independent monitoring and review. Whenever it is considered possible for project related activities to encounter archaeological or paleontological sites, or artifacts, the contractors should be required to follow procedures outlined by the World Bank regarding chance finds.

### **The PCR Management Plan**

The PCR Management Plan can constitute a section of the Environmental Management Plan, if one is required. Otherwise, it may simply be part of the recommendations of the completed EIA. The Management Plan should clearly:

- Schedule the implementation of the proposed PCR mitigating measures and PCR monitoring, if any, taking into account the weather pattern, and identify roles and responsibilities for such
- implementation;
- Identify procedures for handling chance finds, including the role and responsibilities of the cultural authorities and the contractor;
- Identify procedures for addressing PCR impacts which may occur during implementation but were not predicted in the impact assessment.

### **PCR in the Environmental Impact Assessment**

The following PCR concerns should be included in the EIA, thereby guiding the preparation of the PCR Management Plan<sup>4</sup>.

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<sup>4</sup> The categorization of the project will have influenced the structure and format of the Environmental Impact Assessment conducted. In the case of a category 'B' project, the scope of work is usually narrower than that of a category 'A' project, and the EA report may not be a separate, stand-alone document. Furthermore, a 'B' project EA report may not contain separate chapters such as 'Baseline', 'Impact Assessment', and so forth. Nonetheless, in terms of content, the requirements set out below generally apply for both 'A' and 'B' project assessments.

- 1. Policy, legal and regulatory framework:** This section should contain reference to the following, including identification of any implications for the PCR component of the EA, such as special standards or requirements:
  - The World Bank's EA policy OP/BP 4.01 and the PCR policy OP/BP 4.11;
  - Sections of national EIA laws, regulations and guidelines relating to PCR;
  - Sections of the national environmental conservation strategy, if any, relating to PCR;
  - National, state/provincial or local legislation and regulations relating to:
    - Antiquities, including sale and export;
    - Procedures for addressing chance finds, in terms of ownership and requirements by the contractor and cultural authorities;
    - Archaeology, including the issue of permits;
  - Relevant authorities charged with PCR identification, protection and management, their powers, the legal basis for their authority, and their actual capacity;
  - PCR-related conventions and treaties to which the borrower country is signatory;
  - Sites in the borrower country listed as World Heritage Sites according to the UNESCO World Heritage convention, or included in UNESCO's 'tentative' list under the same convention;
  - Sites in the borrower country currently listed by other international agency in the field of PCR such as the World Monuments Fund, or ICOMOS, as being of national or international importance;
  - Any national or provincial registers of PCR maintained by accredited authorities in the borrower country.
- 2. Project Description:** The project description should detail construction and operation phases, including maps, diagrams and plans of planned activities. The description should take into consideration any potential impacts on PCR of planned activities, construction/rehabilitation processes, transport arrangements, etc.
- 3. Analysis of Alternatives:** In cases where there are major PCR issues, the analysis of alternatives should consider alternative project sites or technologies that could specifically avoid or minimize those impacts on PCR.
- 4. Baseline Data:** The EIA baseline data should begin with an investigation and inventory of physical cultural resources likely to be affected by the project. The data should consider all types of PCR that might be impacted, covering:
  - a. Living-culture PCR, as well as historical, archaeological and paleontological PCR;
  - b. Natural and human-made PCR;
  - c. Movable and immovable PCR;
  - d. Unknown or invisible PCR.

The data collection activity should involve consultations with concerned parties and potentially affected communities. Potential data sources might include cultural authorities, national or provincial PCR registers, universities and colleges, public and private PCR-related institutions, religious bodies and local PCR NGOs. Sources at the community level typically include, for example, community leaders and individuals, schools, religious leaders, scholars, PCR specialists, and local historians.

The baseline data section should include maps showing PCR baseline data within the potential impact areas. In addition, the EIA should detail the cultural significance or



value attributed by the concerned or affected parties to the PCR identified in the baseline. Consultation is a particularly important means of identifying PCR and documenting their presence and significance. This will normally not be expressed in monetary terms, but rather should explain the nature of the cultural significance, for example whether it is religious, ethnographic, historic, or archaeological. In the case of PCR of archaeological, architectural, paleontological or other scholarly or scientific value, the EIA should provide an assessment of the relative importance of the PCR in this regard locally, nationally and/or internationally.

- 5. Impact Assessment:** PCR should be included in the impact matrix and PCR impacts for each project stage – construction/rehabilitation, operation, etc. – should be detailed. The EIA should specifically describe the nature and extent of the potential impacts and state precisely why they are considered to be significant or insignificant. The PCR components of the EIA must align with any PCR-related social impacts identified in the SIA, to ensure that elements of living culture are not overlooked in the assessment stage. The impact assessment should also consider the possibility of accidents during construction/rehabilitation and operations which might affect PCR, especially in urban settings, which might call for special precautionary measures.
- 6. Mitigation Measures:** It is particularly important that consultations with concerned and affected parties are conducted on the proposed mitigation measures relating to PCR impacts. Agreements must be reached and evidence of such agreements should be included in the EIA. The EIA process should check whether the recommended mitigation measures might themselves have environmental impacts (e.g. archaeological excavations). This section should detail the cost of implementing and the timing of the recommended PCR mitigation measures.

## **Annex 13: Public Consultation Framework and Information Disclosure**

### **Consultation Framework**

The Consultation Framework envisages involvement of all the stakeholders at each stage of project planning and implementation. The project will be responsible for ensuring participation of the community at subproject level. Involvement of the community is not limited to interactions with the community but also disclosing relevant information pertaining to the project tasks. Community participation shall be undertaken at the following stages:

- **Subproject identification stage** – to sensitize the community about the project and their role;
- **Planning Stage** – for disseminating information pertaining to the project, work schedule and the procedures involved; finalization of project components with identification of impacts, entitled persons, mitigation measures; and Grievance Redressal; and
- **Implementation Stage** – for addressing temporary impacts during construction and monitoring for transparency in the project implementation

### **Identification Stage**

Dissemination of project information to the community and relevant stakeholders is to be carried out by the project at this stage. The community at large shall be made aware of the project alternatives and necessary feedback is to be obtained. This should include the process being followed for prioritization of the identified subprojects. Community and other stakeholders should be involved in the decision making to the extent possible. Information generated at this stage should be documented for addressal of queries arising out of the Right to Information Act, 2005.

### **Project Planning Stage**

Subproject information is to be distributed amongst the community towards increasing their awareness and their roles and responsibilities. The planning stage is intended to be an interactive process with the community at least in two stages – initially while finalizing the best fit alternative to a subproject and second at the finalization of the detailed designs. This would be the joint responsibility of the consultants undertaking the design if not carried out by the project in-house.

Consultations with community/beneficiaries and/or Project Affected Persons and their profiling are mandatory as per the requirements of SIA and preparation of RAP. This needs to be done as socio-economic and census surveys as part of the detailed designs. Consultations with respect to this and cultural aspects are to be carried out as part of the Social Impact Assessments for all alternatives and the selected alternative subproject option.

### **Implementation Stage**

Consultations as part of the implementation stage would be direct interactions of the Implementation Agency with the community/beneficiaries and/or Project Affected Persons. These would comprise of consultations towards relocation of the PAPs, relocation of cultural properties, and towards addressal of impacts on common property resources (CPRs) such as water bodies, places of religious importance, community buildings, trees etc.

With the implementation of the R&R provisions in progress, consultations and information dissemination is to be undertaken to let the community/beneficiaries and/or affected persons informed of the progress. The implementation stage also involves redressal of grievances in

case of R&R aspects as well as relocation of common property resources through the grievance redressal mechanisms. These would usually be one-to-one meetings of community/beneficiaries and/or PAP with the grievance redressal committees established for the project.

### **Information Disclosure**

The mechanism of information dissemination, for instance briefing material and community consultation sessions, will be accessible to all. Any briefing material (all to be prepared in local language) can be in the form of

- a. Brochures (including project information, project benefits; adverse impacts if any, and details of entitlements including compensation and assistance to be given to the PAPs) that can be kept in the offices of local self-government (municipal office in case of urban area and gram panchayat office in case of rural area) and project office;
- b. Posters to be displayed at prominent locations; and
- c. Leaflets that can be distributed in the impacted zone of the sub project.

Consultation meetings should also be organized at regular intervals by the project to acquaint the community/beneficiaries and/or PAPs of the following:

- Timeline and progress of the project;
- Information on benefits / adverse impacts; compensation and entitlements;
- Timeline for project completion.

This Information Disclosure Policy is intended to ensure that information concerning the project activities will be made available to the public in the absence of a compelling reason for confidentiality. Information shall be provided in a timely and regular manner to all stakeholders, affected parties, and the general public. Access by the public to information and documentation held or generated by project will facilitate the transparency, accountability, and legitimacy as well as operations overseen by it. As a part of its disclosure policy, all documents shall be made available to the public in accordance with relevant provisions of the RTI Act, except when otherwise warranted by legal requirements. A designated Information Officer shall be responsible for ensuring timely and complete dissemination in accordance with this policy.

### **Information to be disclosed**

The following information needs to be disclosed:

- Project specific information needs to be made available at each contract site through public information kiosks
- Project information brochures shall be made available at all the construction sites as well as the office of the Implementation Agency and the project office in charge.
- Reports and publications, as deemed fit, shall be expressly prepared for public dissemination e.g., English versions of the SIA and RAP and Executive Summary of SIA and RAP in local language.
- Wherever civil work will be carried out, a board will be put up for public information which will disclose all desired information to the public, for greater social accountability.
- All information will be translated into local language and will be disclosed to the public through the Panchayat, District Magistrate's office, concerned project offices, websites of UP Department of Tourism.

**Table 13 - Information to be disclosed, frequency and location**

<b>Topic</b>	<b>Documents to be disclosed</b>	<b>Frequency</b>	<b>Location</b>
Resettlement, Rehabilitation and Land Acquisition	Resettlement Action Plan (RAP).	Once in the entire project cycle. But to remain on the website and other disclosure locations throughout the project period.	World Bank's Infoshop; on the website of Department of Tourism; the client would make the RAP available at a place accessible to displaced persons and local NGOs, in a form, manner, and language that are understandable to the PAPs in the following offices: <ul style="list-style-type: none"> <li>• DM's Office</li> <li>• District Libraries</li> <li>• Local municipal</li> <li>• Contractor camp</li> <li>• Project Office</li> </ul>
	Resettlement & Rehabilitation Policy translated in local language	Once in the entire project cycle.	Distributed among Project Affected Persons (PAP)
	Information regarding impacts and their entitlements in local language	Once at the start of the project and as and when demanded by the PAP.	Through one-to-one contact with PAPs; community consultation; list of PAPs with impacts and entitlements to be pasted in the IA office and website of project
	R&R and land acquisition/transfer monthly progress report.	10th day of every month	Website of project; hard copy in the office of IA and contractor in local language
	RAP Impact Assessment Report	At midterm and end of the RAP implementation	Project's website in local language
	Land acquisition/transfer notifications	As required under the RFCTLARR Act 2013, in case land is to be required	Project's website; hard copy in the project office and contractor office in local language
	Grievance redress process.	Continuous process throughout the project cycle.	World Bank's Infoshop; on the website of project; hard copies in local language in the following offices: <ul style="list-style-type: none"> <li>• DM's Office</li> <li>• Local municipal</li> <li>• Office of the contractor</li> <li>• Project Office</li> </ul>
Public Consultation	Minutes of Formal Public Consultation Meetings	Within two weeks of meeting	On the project website; hard copies in local language in the following offices: <ul style="list-style-type: none"> <li>• DM's Office</li> </ul>

Topic	Documents to be disclosed	Frequency	Location
			<ul style="list-style-type: none"> <li>• Local municipal</li> <li>• Office of the contractor</li> <li>• Project Office</li> </ul>

## Annex 15: Field Monitoring Checklist

Partho and Hari - Needs to be revised, and social and cultural properties added please

Site location					
Name of contractor					
Name of supervisor					
Date of site visit					
Status of civil works					
Documents and activities to be examined	Status				Comments
	Yes	Partially	No	N/A	
Contractor holds license for extraction of natural resources					
Contractor holds permit for operating concrete/asphalt plant					
Contractor holds agreement for final disposal of waste					
Contractor holds agreement with service provider for removal of household waste from site					
Work site is fenced and warning signs installed					
Works do not impede pedestrian access and motor traffic, or temporary alternative access is provided					
Working hours are observed					
Construction machinery and equipment is in standard technical condition (no excessive exhaust and noise, no leakage of fuels and lubricants)					
Construction materials and waste are transported under the covered hood					
Construction site is watered in case of excessively dusty works					
Contractor's camp or work base is fenced; sites for					

temporary storage of waste and for vehicle/equipment servicing are designated					
Contractor's camp is supplied with water and sanitation is provided					
Contractor's camp or work base is equipped with first medical aid and firefighting kits					
Workers wear uniforms and protective gear adequate for technological processes (gloves, helmets, respirators, eye-glasses, etc.)					
Servicing and fuelling of vehicles and machinery is undertaken on an impermeable surface in a confined space which can contain operational and emergency spills					
Vehicles and machinery are washed away from natural water bodies in the way preventing direct discharge of runoff into the water bodies					
Construction waste is being disposed exclusively in the designated locations					
Extraction of natural construction material takes place strictly under conditions specified in the license					
Excess material and topsoil generated from soil excavation are stored separately and used for backfilling / site reinstatement as required					
Works taken on hold if chance find encountered and communication made to the State agencies responsible for cultural heritage preservation					
Upon completion of physical activity on site, the site and contractor's camp/base cleared of any remaining left-over from works and harmonized with surrounding landscape					

## Annex 16: Responsibilities of Social Specialists and NGOs

LEVELS	ROLES and RESPONSIBILITIES
SPCU Social Specialist	<ul style="list-style-type: none"> <li>☐ Finalize safeguard documents;</li> <li>☐ Provide policy guidance to the project level counterparts;</li> <li>☐ Ensure dissemination of R&amp;R Policy at state level;</li> <li>☐ Monitoring R&amp;R and Land acquisition activities. Make budgetary provisions for R&amp;R activities;</li> <li>☐ Liaison with state administration for land acquisition and implementation of RAP;</li> <li>☐ Participate in state level meetings;</li> <li>☐ Finalize TOR of contracting NGO for implementation and external agency for monitoring and evaluation;</li> <li>☐ Prepare training schedule for state and project level social development officials for capacity building to implement the RAP;</li> <li>☐ Prepare TOR for any studies required and qualitative dimensions to the implementation of RAP;</li> <li>☐ Facilitate appointment of consultants to carry out the studies and co-ordinate them;</li> <li>☐ Monitor physical and financial progress on implementation of RAP</li> </ul>
IA/TSU Social Officer	<ul style="list-style-type: none"> <li>☐ Co-ordinate with district administration and NGO responsible for implementation of ESMF/ RAP and other safeguard documents;</li> <li>☐ Translation of R&amp;R policy in local language and ensure dissemination at state; district and community level - prepare pamphlets on policy for information dissemination;</li> <li>☐ Coordinate with the state and district level officials for acquisition of private land and implementation of ESMF/ RAP;</li> <li>☐ Liaison with district administration for dovetailing of government schemes for Income Restoration Schemes;</li> <li>☐ Monitor physical and financial progress of implementation of RAP;</li> <li>☐ Participate in the project level meetings;</li> <li>☐ Report progress, highlighting social issues not addressed, to provide for mid-course correction;</li> <li>☐ Coordinate training of project level staff with agencies involved;</li> <li>☐ Organize bi-monthly meetings with NGO to review the progress of R&amp;R. and gender actions.</li> </ul>
NGO	<ul style="list-style-type: none"> <li>☐ Conduct the verification for the affected families and update the census and socio-economic data;</li> <li>☐ Develop rapport with PAFs and between PAFs and project;</li> <li>☐ Design and carry out information campaign and consultations with the local community during the implementation of the RAP;</li> <li>☐ Provide information to PAFs and local community and conduct awareness on R&amp;R Policy and distribute the policy to the affected families;</li> <li>☐ Prepare and submit the micro plans for the PAFs;</li> <li>☐ Assist the PAFs in receiving the compensation and rehabilitation assistance;</li> <li>☐ Motivate and guide PAP for productive utilization of the compensation and assistance amount;</li> </ul>



LEVELS	ROLES and RESPONSIBILITIES
	<ul style="list-style-type: none"> <li>☐ Assess the level of skills and efficiency in pursuing economic activities, identify needs for training and organize training program;</li> <li>☐ Assist PAFs in approaching the grievance redress mechanism;</li> <li>☐ Assist the PAFs in getting benefits from the appropriate local development schemes;</li> <li>☐ Prepare monthly progress reports and participate in monthly review meetings;</li> <li>☐ Participate in the training program for capacity building;</li> <li>☐ Carry out other responsibilities as required from time to time.</li> </ul>

## **Annex 17: Sample Terms of Reference for Annual Audit of Management Plans**

### **Background:**

The Uttar Pradesh Pro-Poor Tourism Development Project has been prepared by the Government of Uttar Pradesh, through its Department of Tourism, to strive for positive development outcomes in the activities and investments it will support.

Its preparation has been informed by the lessons learned from similar projects implemented worldwide as well as by thorough analyses and studies of the areas, assets and people the project aims at supporting. The latter include (i) complete profiles of the target areas, (ii) a GIS-based inventory of their natural and cultural assets, (iii) a value chain analysis of local enterprises and tourism economy, (iv) a sample survey of street vending in Agra, and (v) mapping and assessments of crafts in all project target areas.

The project preparation has also been driven by a participatory process through which ideas and findings have been shared with, and suggestions and proposals have been shaped by, more than 450 stakeholders – from government officials to experts and communities – consulted from its inception. This participatory process has not only informed the crafting of the project's development objectives and components, but also all proposed subprojects and the institutional arrangements for their implementation and later sustainability. In order to ensure the project achieves its intended development objectives, similar standards of technical excellence, participation and transparency will be applied during its implementation.

To this end, the World Bank safeguards policies discussed in this document provide important guidelines for the State Department of Tourism, Implementing Agencies and partners to prevent and mitigate, early on, potential undue harm to people and their environment and cultural assets while nurturing the expected positive impacts from the project preparation to closing.

### **Objectives:**

- To audit the conformity of environmental and social categorization of subprojects with respect to the categorization prescribed in the ESMF.
- To audit the compliance of the environmental and social aspects of approved subprojects which are under implementation.

### **Outline of the tasks to be carried out:**

The selected consultant will essentially provide services as required, for the following tasks:

- The consultants will audit the conformity of environmental and social categorization of subprojects with respect to environmental and social categorization in the ESMF.
- The consultant will audit the compliance of environmental and social aspects during construction, operation and maintenance of projects, across all categories and different subproject locations. The selection of sample subproject shall be clearly spelt out in the consultant's proposal. The list of sample subprojects shall be approved by the client before the commencement of the audit.
- The consultant will also audit the adequacy of the EMP/RAP/PCRMP and recommend practicable measures to include/improve the management measures and the agency responsible for carrying out the measures, wherever found inadequate. The consultant will also document the best practices and possible environmental and social enhancement measures with respect to the audited projects.

- To review the status report submitted by the project on the implementation of EMP/RAP/PCRMP and the process adopted by design consultants in identification and mitigation measures while preparing the DPRs. To report on the adequacy and timely submission of the Quarterly Progress Reports including the process involved in addressing risk management.
- The findings of the review and audit should be summarized in a tabular form and will include compliance and/or, non-compliance, best practices and enhancement measures along with the name of the agency responsible for each of the above. In case of non-compliances, the consultants need to undertake a follow up visit after giving sufficient time (depending on the type of corrective measures) for the agency responsible to take corrective actions.
- The entire tasks shall be completed in a timeframe of eight weeks.

### **Client's Responsibility:**

A copy of the Environmental and Social Management Framework and information containing the details of the subprojects sanctioned will be given by the client.

### **Final outputs:**

The final documents that will be required of the consultant include;

- Environmental and Social Audit Reports indicating conformity of projects with ESMF guidelines.
- Environmental and Social Audit report indicating the conformity to agreed standards during construction, operation and maintenance of the approved projects.

**Table 14 - List of key positions whose CV and experience would be evaluated**

Sl.No	Key Professional	No. of persons	Qualification and Experience
1.	Project Coordinator and Environmental Specialist	1	<ul style="list-style-type: none"> <li>• Post Graduate in Environmental Engineering / Planning</li> <li>• 15 years of experience in the subject</li> <li>• Must have worked on one World Bank funded project in the last five years</li> <li>• Must be conversant with the Bank policies on environment</li> </ul>
2.	Social Development Specialist	1	<ul style="list-style-type: none"> <li>• Post Graduate in Sociology / Social work</li> <li>• 15 years of experience in the subject</li> <li>• Must have worked on one World Bank funded project in the last five years</li> <li>• Must be conversant with (i) World Bank's operational policies on involuntary resettlement and (ii) the local language</li> </ul>