



Appraisal Environmental and Social Review Summary

Appraisal Stage

(ESRS Appraisal Stage)

Date Prepared/Updated: 10/26/2023 | Report No: ESRSA02979



I. BASIC INFORMATION

A. Basic Operation Data

Operation ID	Product	Operation Acronym	Approval Fiscal Year
P179749	Investment Project Financing (IPF)	U-PREPARE	2024
Operation Name	Uttarakhand Disaster Preparedness and Resilience Project		
Country/Region Code	Beneficiary country/countries (borrower, recipient)	Region	Practice Area (Lead)
India	India	SOUTH ASIA	Urban, Resilience and Land
Borrower(s)	Implementing Agency(ies)	Estimated Appraisal Date	Estimated Board Date
India	Uttarakhand State Disaster Management Authority, Government of Uttarakhand	06-Nov-2023	30-Jan-2024
Estimated Decision Review Date	Total Project Cost		
	200,000,000.00		

Proposed Development Objective

To enhance the climate and disaster resilience of critical public infrastructure and strengthen disaster risk management capacity in Uttarakhand.

B. Is the operation being prepared in a Situation of Urgent Need of Assistance or Capacity Constraints, as per Bank IPF Policy, para. 12?

No

C. Summary Description of Proposed Project Activities

[Description imported from the PAD Data Sheet in the Portal providing information about the key aspects and components/sub-components of the project]

The Uttarakhand Disaster Preparedness and Resilience Project (U-PREPARE) seeks to enhance the climate and disaster resilience of critical public infrastructure and strengthen disaster risk management capacity in Uttarakhand. The Project promotes a comprehensive multi-sectoral approach with much-needed investments, knowledge, and convening power required to take the resilience of critical infrastructure and disaster risk management in Uttarakhand to the next level. It



supports a shift in the State’s risk management from a reactive approach to a proactive approach, brings much-needed financing and technical support to address critical gaps in an integrated and sustainable manner, and convenes critical sectors under a comprehensive approach. The project advances mainstreaming disaster and climate risk management in road infrastructure planning and investments to enable these lifelines to cope with and provide uninterrupted services during and after disasters. Updated hydromet forecasting and early warning systems will allow for more timely and accurate warnings to save lives and reduce losses. Investments to fill capacity, equipment, and infrastructure gaps of the State Disaster Response Force, the Uttarakhand Fire and Emergency Services, and the Forest Department will strengthen the State’s disaster response, general fire and forest fire response, and management capacity. This will be achieved by enhancing infrastructure resilience (Component 1), improving emergency preparedness and response capacity (Component 2), and preventing and managing forest and other fires (Component 3).

D. Environmental and Social Overview

D.1 Overview of Environmental and Social Project Settings

[Description of key features relevant to the operation’s environmental and social risks and opportunities (e.g., whether the project is nationwide or regional in scope, urban/rural, in an FCV context, presence of Indigenous Peoples or other minorities, involves associated facilities, high-biodiversity settings, etc.) – Max. character limit 10,000]

Uttarakhand is a Himalayan region mountain state, that is regularly impacted by flash floods, landslides, earthquakes, wildfires, glacier lake outbursts, and cloudburst incidences. It lies on the southern slope of the Himalayan range in the north-western part of India.

The state has 13 districts and is divided into two divisions, Garhwal and Kumaon. It has a total area of 53,566 sq. km, of which 86 percent is mountainous. Two of the most important rivers in India originate in the glaciers of Uttarakhand, the Ganges at Gangotri and the Yamuna at Yamunotri. The climate and vegetation vary greatly with elevation, from glaciers at the highest elevations to subtropical forests at the lower elevations. Around 45 percent of the State’s area is covered with forest, with the rural population being dependent on natural forest resources specifically for fuelwood and fodder. Uttarakhand is home to rare species of plants and animals, many of which are protected by national parks, sanctuaries, and reserves. However, around 65 percent of the forest area is sensitive to forest fires, with 2,800 registered forest fires in 2021, affecting an area of almost 4,000 hectares.

Most of the State’s landmass falls under Seismic Zone IV or V, the highest seismic risk zones of the country. The State has witnessed 11 major earthquakes with a magnitude of six or more on the Richter scale over the last century. The combination of seismic activity, steep sloping areas, and cloudburst incidences make the occurrence of landslides very likely, with 51 percent of the State’s area having high or very high landslide susceptibility. Disasters, such as the 2013 floods and landslides with 4,000 fatalities, the 2016 wildfire with more than 4,500 hectares of forest burned, the 2021 Chamoli rock and ice avalanche, and the slow-onset disaster unfolding in Joshimath, where the ground under the town is sinking, disrupt development in Uttarakhand, reverse hard-won gains, and have multi-dimensional effects on the State’s economy. Uttarakhand’s disaster vulnerability is further exacerbated by climate change, elevating the risk of wildfires, flash floods, landslides, and droughts. Given the rising temperatures, increasing monsoon precipitation, and enhanced glacier melt, a significant increase in peak runoff during the monsoon months is expected, which can elevate the risk of flash floods, landslides, and glacier lake outbursts. The sub-project locations under U-PREPARE are likely to include areas exposed to high seismic risk and the threats of extreme weather events, in particular flooding and landslides.



The project is expected to benefit approximately 10 million people (of which 49 percent are women) living in the 13 districts of the State. The upgrading of sub-projects (brown field infrastructure) may require limited private land as these are largely being planned within existing physical footprints. Government land owned by implementing agencies will be used for small number of green field sub-projects.

D.2 Overview of Borrower’s Institutional Capacity for Managing Environmental and Social Risks and Impacts

[Description of Borrower’s capacity (i.e., prior performance under the Safeguard Policies or ESF, experience applying E&S policies of IFIs, Environmental and social unit/staff already in place) and willingness to manage risks and impacts and of provisions planned or required to have capabilities in place, along with the needs for enhanced support to the Borrower – Max. character limit 10,000]

The institutional and implementation arrangements will largely follow the existing structure of the Uttarakhand Disaster Recovery Project (UDRP) and the on-going Additional Finance (AF), which has proven to be effective with consistent “satisfactory” project management ratings since December 2020. The over-all E&S sensitization and performance too has improved over the life of the project, with satisfactory ratings at project closure.

The Project Management Unit (PMU) will be placed in the Uttarakhand State Disaster Management Authority (USDMA), which has been successfully managing UDRP and the on-going AF since 2013. Four Project Implementation Units (PIUs) will be responsible for implementing specific project activities and managing funds allocated for it – (i) Public Works Department (PWD), responsible for Road Infrastructure, (ii) Rural Works Department (RWD), to manage works/activities related to Health, Emergency Response, Civil Fire Risk Management, (iii) USDMA to manage Shelters and Disaster Preparedness, and (iv) Forest Department with responsibility for activities on Forest Fire Management. The PMU and PIUs will closely coordinate with other relevant entities, in particular Department of Medical Health and Family Welfare (DMHFW), State Disaster Response Force (SDRF), and Uttarakhand Fire and Emergency Services (UFES) to plan, design and implement activities planned under respective components/sub-components.

While USDMA and PWD have prior experience of implementing externally funded projects and have satisfactorily implemented environment and social management on UDRP and AF (particularly in the latter half of the project life), the systems and lessons on risk management have not been scaled-up at an institutional or state level. Therefore, capacity improvement for systematic mainstreaming into USDMA’s/state’s systems and to meet requirements set forth under the Environmental and Social Framework (ESF) needs to be augmented. The ESF is new for all the four implementing agencies (USDMA, PWD, RWD, and the Forest Department) and will require exposure and training for its proper application and implementation.

In addition, a key institutional challenge centers around the need for strong coordination abilities of USDMA, given the requirement to work closely with multiple implementing agencies and other stakeholders to implement interventions under Components 1, 2 and 3. The E&S management in the project therefore, focusses on: (a) augmenting E&S capacity of PMU and PIUs with qualified staff (at PMU and in the four PIUs apart from expertise in consultancy assignments and personnel with contracting entities), resources and trainings/capacity development to support E&S risk management, (b) establishing reporting and coordination mechanisms with clear accountability, and (c) forging the use of ICT technology and tools for E&S monitoring and compliance (including real time monitoring), that builds upon the lessons from the ongoing operations.

II. SUMMARY OF ENVIRONMENTAL AND SOCIAL (ES) RISKS AND IMPACTS

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A. Environmental and Social Risk Classification (ESRC)

Substantial

A.1 Environmental Risk Rating

Substantial

[Summary of key factors contributing to risk rating, in accordance with the ES Directive and the Technical Note on Screening and Risk Classification under the ESF – Max. character limit 4,000]

While the Project is envisaged to have overall positive environmental benefits with the implementation of proposed interventions, environmental risks are still rated ‘substantial’ given the project’s setting in fragile disaster prone mountainous terrain, the presence of ecologically sensitive areas/features, and limited familiarity/prior experience of the implementation agencies on risk management, including in the application and implementation of requirements in the World Bank’s Environment and Social Framework. Key environmental risks/concerns from proposed project interventions are envisaged to include: (i) potential impacts on natural environment arising from sub-project locations within or near environmentally sensitive features/areas (such as interventions on forest fire management and construction of bridges that are critical for providing continued and safe connectivity to settlements during monsoons and for improving response time in pre and post disaster situations for communities using or residing in such areas); (ii) disruption of services/usage during retrofitting works of buildings; (iii) occupational health and safety risks, debris/waste management, dust and noise during execution of civil works and; (iv) constraints in capacity to deal with environment, health and safety (EHS) issues in geographically dispersed sub-projects involving multiple planning and implementation entities. With environment screening and scoping exercises, due diligence in impact assessment studies, integration of EHS aspects in planning/design of works (including application of mitigation hierarchy), implementation of environmental and social management plans (ESMPs), and real time monitoring mechanisms, the anticipated risks and impacts can be avoided/minimized/managed effectively. The approach, process and guidelines to this effect are embedded in the ESF instruments [Environmental and Social Management Framework (ESMF), Stakeholder Engagement Plan (SEP), Labor Management Procedures (LMP) and Environment and Social Commitment Plan (ESCP)], which have been prepared and disclosed by Project’s Appraisal.

A.2 Social Risk Rating

Substantial

[Summary of key factors contributing to risk rating, in accordance with the ES Directive and the Technical Note on Screening and Risk Classification under the ESF – Max. character limit 4,000]

The social risk for the Project is ‘substantial’ as some of the Project activities will lead to: (a) limited private land acquisition for upgradation of roads infrastructure, temporarily displacement and restrictions to accessing forest land and resources — impacting livelihood while implementing preventive actions for forest fire management; (b) inadvertent exclusion of vulnerable and trans-nomads from accessing project benefits such as knowledge and training on disaster risk management, due to weak capacities to manage stakeholder engagement and other participatory processes; (c) construction-induced adverse impacts on workers’ and community health and safety, including risks associated with labor influx and sexual exploitation and abuse, sexual harassment from construction workers; (d) potential non-compliance of labor standards; and (f) weak capacity of multiple implementing institutions to effectively manage, monitor, and report on social risks. To mitigate such risks and impacts, ESF instruments [Environmental and Social Management Framework (ESMF), Resettlement Policy Framework (RPF), Indigenous Peoples Planning Framework (IPPF) embedded in the ESMF, Stakeholder Engagement Plan (SEP) and Labor Management Procedures (LMP)] have been prepared and disclosed by Project’s Appraisal. These documents set out the principles, rules, guidelines, and procedures to assess and mitigate the social risks and impacts of all sub-projects.

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[Summary of key factors contributing to risk rating. This attribute is only for the internal version of the download document and not a part of the disclosable version – Max. character limit 8,000]

B. Environment and Social Standards (ESS) that Apply to the Activities Being Considered

B.1 Relevance of Environmental and Social Standards

ESS1 - Assessment and Management of Environmental and Social Risks and Impacts

Relevant

[Explanation - Max. character limit 10,000]

Potential E&S risks and impacts of the project are outlined under the E&S risk classification sections above. An Environment and Social Management Framework (ESMF) prepared at the project level - (a) identifies the E&S risks envisaged from project activities; (b) lays out the procedures for screening sub-projects and sub-project level Environment and Social Impact Assessments (ESIAs), (c) provides template for Environmental and Social Management Plans (ESMPs) and/or other instruments depending on the risks and impacts identified during the E&S screening and scoping process, (d) lists out monitoring and reporting requirements, and (e) stipulates capacity development measures. The ESMF also includes an IPPF, which will guide the risks assessment to develop appropriate mitigation plans for potential impacts on indigenous groups and trans-nomads. Keeping in mind the proportionality of potential risks and impacts, site-specific ESIAs, ESMPs, Resettlement Action Plans (RAPs) and the Indigenous People Plan (IPP), if required, will be prepared, disclosed and implemented. The project level or framework documents (ESMF-IPPF, RPF, SEP, LMP, and ESCP) have already been prepared, consulted upon, and disclosed by the USDMA/PMU by Project’s Appraisal.

ESS10 - Stakeholder Engagement and Information Disclosure

Relevant

[Explanation - Max. character limit 10,000]

It is necessary to ensure that a consistent, comprehensive, coordinated, and culturally appropriate approach is taken for stakeholder engagement and disclosure of project related information. Consistent with these principles and the requirements of ESS 10, a Stakeholder Engagement Plan (SEP) has been prepared, consulted upon and disclosed by Project’s Appraisal. Given the extensive nature of project activities, diverse group of stakeholders will be involved in the project’s decision-making, design, and implementation. Within this, there will be representation of cohorts of women and youth as well as socio-economic vulnerable groups like small and marginal landowners, trans-nomads, Below Poverty Line (BPL), Scheduled Caste (SC), Scheduled Tribe (ST), Other Backward Communities (OBC), and other minorities. It would be pertinent to ensure that a participatory, inclusive, consultative, and transparent approach is adopted throughout project implementation. Thus, the SEP encapsulates: (i) stakeholder mapping, (ii) the extent of impact and corresponding engagement required, (iii) information disclosure which is timely, user centric, and available in local language, (iv) meaningful consultation processes, and (iv) systems to seek feedback and grievance redressal mechanisms to address complaints related to adversely affected people, and SEA/SH, throughout the project period. Further, USDMA through outreach, mobilization, and by strengthening the role of communities in planning, implementation, and monitoring - will actively seek feedback from stakeholders to build a detailed understanding of all citizens’ needs and improve the project’s operation. All ESF instruments prepared under the project have been disclosed by USDMA/PMU by Project's Appraisal. The same will be disclosed on the World Bank’s website before

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negotiations.. The executive summaries of these documents are being translated in vernacular and will also be put into public domain. . Appropriate arrangements for SEP implementation, including reporting and its updating (as necessary), has been embedded as a condition in ESCP.

ESS2 - Labor and Working Conditions

Relevant

[Explanation - Max. character limit 10,000]

U-PREPARE will involve a) direct workers employed specifically by the implementing agencies for the project and consultancy service firms for specific deliverables and technical support (assessment, feasibility studies, economic evaluation, etc.); b) contracted workers engaged in construction works including daily-wagers from communities for forest fire management; and c) primary supply workers associated with suppliers of goods, equipment, and construction material necessary for the Project. The community workers as defined under ESS2 will not be engaged under the project. Workers for construction-related activities are anticipated from other states such as Bihar, Uttar Pradesh, West Bengal, Chhattisgarh, Jharkhand, and Madhya Pradesh, depending on the contractors' requirement of skill sets. Conforming with the ESS 2 requirements, Labor Management Procedures (LMP) has been prepared and disclosed by Project's Appraisal to guide management of labor-related issues associated with the project. The LMP includes provisions to address any risks related to direct and contracted workers such as non-compliance of laws pertaining to labour welfare, terms and conditions of employment. It further incorporates measures to guarantee non-discrimination and equal opportunity, workers' organization, workers' code of conduct, and measures for prohibition of child and forced labor as well as a mechanism for labor grievance redress (labor GRM). Labor GRM will be SEA/SH responsive. Moreover, in accordance with the LMP, the Human Resource Policy will be developed for technical contract staff hired by the PMU. The bidding documents for construction works will include reference to the ESMP/LMP and the national/state laws to comply with the requirements of both ESS 2 and country systems. Further, the ESMF covers occupational health and safety (OHS) issues/risks, for which the Generic OHS guideline has been prepared and included in the LMP, building upon key lessons from on-going operations in the country portfolio (including accident/fatality case under UDRP/AF). These will be expanded to formulate a detailed Occupational Health and Safety Plan, covering activities included under Components 1 and 3, with specific focus on bridge works, building construction, slope stabilization activities and forest fire management. Once the plan is consulted and agreed upon, it will be used to avoid/minimize/manage risks during construction and operation stages. The bidding documents will include OHS measures to be applied to the sub-projects with contractor's obligations on worksite safety management and other protocols as needed in the context of prevailing situation during project implementation. All works and operations will be planned, designed, and implemented to comply with the World Bank Group's environment, health, and safety guidelines.

ESS3 - Resource Efficiency and Pollution Prevention and Management

Relevant

[Explanation - Max. character limit 10,000]

For improving resource efficiency in the building works (particularly health facilities, multi-purpose disaster shelters, SDRF facility, fire stations, crew stations) the considerations/measures in the planning/design/DPR preparation would include (a) improving natural light and ventilation (when possible, depending on the nature/type of retrofitting work proposed), (b) increasing water efficiency and, (c) enhancing energy efficiency. For pollution prevention and management covering both building and road/bridge infrastructure works, focus during sub-project design will be on: (i) debris/construction waste management; (ii) run-off/silt control at work sites to prevent sedimentation and possible

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contamination of water sources during construction phase; (iii) measures for controlling dust and noise pollution; (iv) management of hazardous wastes (if any, which will be ascertained as part of sub-project assessment) and, (iv) storage and management of construction materials to prevent ground/soil contamination. To create an enabling mechanism for integrating resource efficiency and pollution prevention/management, the basic requirements have been incorporated in the generic ESMP, which is a part of ESMF prepared for the project. These will be further developed as part of the sub-project design/DPR preparation and reflected in the site-specific ESMPs. Specifically for the landslide/slope protection works, bio-engineering solutions will be introduced as effective, affordable, environmentally friendly, and ecologically sustainable solutions. Moreover, institutional capacity of the newly created Uttarakhand Landslide Management and Mitigation Centre (ULMMC), Public Works Department (PWD) and Rural Works Department (RWD) on resource efficient/resilient design and construction methods will be strengthened by integrating appropriate approaches into the existing policies, procedures, and project planning systems of these agencies.

ESS4 - Community Health and Safety

Relevant

[Explanation - Max. character limit 10,000]

As the Project will be implemented in dispersed and remote areas of Uttarakhand, some labor influx is expected. The Project induced labor influx could expose local communities, including children, to communicable diseases, sexually transmitted diseases, as well as SEA/SH risks. Other risks associated with civil works may arise with increase in vehicular traffic movement leading to road safety, dust, and pollution. Appropriate mitigation measures for such risks/impacts in accordance with the mitigation hierarchy, have been included in the ESMF and will be further integrated into sub-project specific ESMP, sub-project specific SEA/SH prevention and response plan (wherever needed), and bidding documents. Further, emergency preparedness and fire safety measures will be designed and integrated in the detailed project report/building retrofitting designs to deal with risks associated with disasters. The interventions will be adjusted to reflect site-specific requirements during sub-project design and implementation. Additionally, the USDMA will design and implement provisions covering all categories of key stakeholders and project beneficiaries to prevent or minimize the spread of diseases/pandemics, depending on the prevailing circumstances during the project implementation stage. The ESMF includes requirements for monitoring and reporting of aspects covered under ESS 4.

ESS5 - Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

Relevant

[Explanation - Max. character limit 10,000]

Under this project, limited private land (approx. 40 hectare) will be acquired for bridges and road infrastructure, resulting in minimal physical displacement (80no. of PAFs) and economic displacement (300 no. of PAFs), particularly of titleholders. Land acquisition have been kept at a minimum with feasible design alternatives. Land requirement for upgradation of project investments are mostly planned on government land and within the boundaries of existing facilities. Further, the temporary restrictions on use of Van Panchayat land will be decided by the villagers that may result in impacting access to resources— such as fuel fodder that may emerge from implementation of preventive forest fire management measures. A Resettlement Policy Framework (RPF) has been prepared, will be consulted upon and disclosed— which follows the requirements of the national Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (RFCTLARR) Act, 2013 and ESS 5. The RPF will be expanded into site-

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specific resettlement action plans (RAPs) wherever needed, once the extent and location of sub-projects are well defined.

ESS6 - Biodiversity Conservation and Sustainable Management of Living Natural Resources

Relevant

[Explanation - Max. character limit 10,000]

The interventions/activities under Component 3 for preventing/managing forest fires and some retrofitting/upgrading/ construction works under Component 1 (such as bridges that are critical for providing continued and safe connectivity to settlements that are currently getting affected/cut off during monsoon and for improving response time in pre and post disaster situations for communities using or living in such areas) may have risks and impacts on natural habitats. However, adverse impacts are largely envisaged to be limited and localized in context. To avoid/minimize/mitigate such impacts, an environment screening exercise will be carried out to identify project interventions in such areas early-on in the project cycle. For such sub-projects, the principles, and requirements of ESS 6 (including mitigation hierarchy) will be applied in addition to the integration of due environmental/ecological considerations in planning & engineering designs of works and closer implementation/monitoring of ESMPs. Based on findings/recommendations of the environment screening exercise for such a sub-project, Biodiversity Assessment would be conducted, and a stand-alone Management Plan will be prepared/approved/disclosed before bids are invited. These measures have been defined and included in the ESMF and would be applied in addition to the application, implementation, and monitoring of applicable regulatory/legal norms of Govt. of India and Govt. of Uttarakhand (as relevant to a sub-project’s context). Such a commitment has also been reflected in the ESCP.

ESS7 - Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

Relevant

[Explanation - Max. character limit 10,000]

Less than 3 percent of the state’s total population (11.4 million) belongs to a Scheduled Tribe (ST) that reside over 13 districts. Whereas, about 12,064 Van Panchayats have been established at village level. The members represent each household from the village. These Van Panchayat Institutions are responsible for managing a forest area of about 5,23,289 Hectares forming about 14 percent of the total area of the state in eleven hill districts. Most of the Van Panchayat forest provides the villagers with important subsistence benefits such as fodder, leaves space for animals grazing , fuelwood, and timber for house construction and agricultural implements. The geographical area covered under the Component 3 is limited to the Van Panchayat forest land. The forest-dwellers recognized under the Forest Rights Act 2016 are not dependent on the Van Panchayat forest land. Further, trans-nomads routes will not be adversely affected by Component 3 of the project, as their traditional routes are outside the Van Panchayat forest land. These routes are primarily along the road and designated area through the Reserved forest land. These traditional routes are registered in the Forest Department’s work plans. Some of the sub-project however, may lead to minor impacts such as temporary restrictions to Van Panchayat land which will be in accordance with the rules laid down by the members of the Van Panchayat Institution. The Project will also open-up avenues for enhancing opportunities for secured income through the management of forest fires. To avoid the risks of exclusion of Schedule Tribe, and trans-nomads from accessing project benefits, systems and capacities of the borrower will be strengthened to carry out targeted consultations with them while preparing village level disaster management plans and its

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implementation by the respective IAs. The IPPF integrated into the ESMF has been prepared, consulted and disclosed to guide the preparation of IPPs during implementation where necessary for sub-projects, if required.

ESS8 - Cultural Heritage

Relevant

[Explanation - Max. character limit 10,000]

Uttarakhand is a land with many layers of history, culture, ethnicity, and religion. Given the vast geographical coverage of the Project, there is a possibility of cultural heritage related concerns coming-up in certain sub-projects. These are primarily expected to be indirect and may occur due to inadequacies in design/Detailed Project Reports (DPRs) or delays in timely execution of measures incorporated in the ESMPs. Such sub-projects will be identified for potential cultural heritage impacts using the environment and social screening procedures early-on in the sub-project preparation cycle. Consultation mechanisms with stakeholders will also be utilized to screen and identify any sensitive issues related to tangible and/or intangible cultural resources. Requirements to this effect have been integrated in the ESMF. The ESIA (to be carried out for sub-project) will identify and assess any potential direct or indirect impact of project activities on cultural assets and determine the presence of any other such resources that may be of local significance. Depending on the nature and scale of identified risks, mitigation measures will be prepared integrated into the ESMP. Such a commitment is reflected in the ESCP. Further, any identified cultural heritage impacts and/or chance finds will be dealt in accordance with national legal requirements and Bank’s requirements set forth under ESS 8 of the ESF. Procedure for handling chance finds has been incorporated in the Generic ESMP, which is a part of the ESMF. This will be elaborated in the sub-project specific ESMPs and the Bidding Documents to handle any such situation that may come-up during execution of civil/infrastructure works.

ESS9 - Financial Intermediaries

Not Currently Relevant

[Explanation - Max. character limit 10,000]

No involvement of Financial Intermediaries (FI) is proposed or envisaged in the project.

B.2 Legal Operational Policies that Apply

OP 7.50 Operations on International Waterways

No

OP 7.60 Operations in Disputed Areas

No

The project will exclude the disputed areas of the Jadh Ganga Valley, Lapthal and Kalepani in Uttarakhand from the project.

B.3 Other Salient Features

Use of Borrower Framework

No

[Explanation including areas where “Use of Borrower Framework” is being considered - Max. character limit 10,000]

Borrower Framework will not be used.

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Use of Common Approach

No

[Explanation including list of possible financing partners – Max. character limit 4,000]

Not Applicable.

B.4 Summary of Assessment of Environmental and Social Risks and Impacts

[Description provided will not be disclosed but will flow as a one time flow to the Appraisal Stage PID and PAD – Max. character limit 10,000]

Environment Risks/Impacts: While the project is envisaged to have overall positive environmental benefits, environmental risks are rated ‘substantial’ given the Project’s setting in fragile disaster prone mountainous terrain, the presence of ecologically sensitive areas/features, and limited familiarity/prior experience of the implementation agencies on environment risk management, including with the application and implementation of requirements of the World Bank’s Environment and Social Framework. Key environmental risks/concerns from proposed project interventions may include: (i) potential impacts on natural environment arising from sub-project locations within or near environmentally sensitive features/areas; (ii) disruption of services/usage during retrofitting works of buildings; (iii) occupational health and safety risks, debris/waste management, dust and noise during execution of civil works and; (iv) constraints in capacity to deal with environment, health and safety issues in geographically dispersed sub-projects involving multiple planning and implementation entities.

Social Risks/Impacts: Some of the project activities could lead to : (i) construction-induced adverse impacts on community health and safety and SEA/SH risks due to project-induced labor influx, , (ii) limited private land acquisition (approx. 40 hectares) for bridges and road infrastructure under Component 1, resulting in minimal physical displacement (80 no. of PAFs) and economic displacement (300 no. of PAFs), particularly of titleholders, including temporarily restrictions to accessing Van Panchayat forest land for activities under Component 3; (iii) inadvertent exclusion of vulnerable and trans-nomads from accessing project benefits; (iv) risks related to non- compliance of labor standards; and (v) weak capacity of multiple implementing institutions to effectively manage, monitor, and report on social risks.

C. Overview of Required Environmental and Social Risk Management Activities

C.1 What Borrower environmental and social analyses, instruments, plans and/or frameworks are planned or required by implementation?

[Description of expectations in terms of documents to be prepared to assess and manage the project’s environmental and social risks and by when (i.e., prior to Effectiveness, or during implementation), highlighted features of ESA documents, other project documents where environmental and social measures are to be included, and the related due diligence process planned to be carried out by the World Bank, including sources of information for the due diligence - Max. character limit 10,000]

A. Documents to be prepared for assessment and management of the project’s environmental and social risks.

By Board Approval

(Includes Preparation, Consultation, Approval and Disclosure, both in-country and on the World Bank's website)

1. Environment and Social Management Framework (ESMF)-IPPF
2. Stakeholder Engagement Plan (SEP)
3. Labor Management Procedures (LMP)

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- 4. Resettlement Policy Framework (RPF) and
- 5. Environmental and Social Commitment Plan (ESCP)

During Implementation

(Includes Preparation, Consultation, Approval and Disclosure, both in-country and on the World Bank's website)

- 1. Environment and Social Screening Report.
- 2. ESIA, ESMP, RAPs and any other instrument (such as Biodiversity Assessment and Management Plan, SEA/SH prevention and response plan if required, based on the risks/impacts identified in the E&S screening and scoping process) before launching the bidding process for the concerned sub-project/s.
- 3. Occupational Health and Safety Plan for works/activities included under Component 1 and 3

B. Other project documents where environmental and social aspects/management requirements will to be included:

- 1. Operations Manual
- 2. Integration/reflection of ESF requirements in the Terms of Reference for consultancies/studies
- 3. Integration of EHS aspects/ESIA recommendations in the sub-project planning and design/Detailed Project Reports (DPRs)
- 4. Integration of ESMPs in the Bidding/Contract Documents
- 5. Management Information System (MIS) for the project

C. Due diligence process by the World Bank will be carried out through:

- 1. Review of Documents listed under points A and B above.
- 2. Implementation Support Missions (ISMs)
- 3. Technical Missions/Visits (as needed)
- 4. Monitoring and review of reports/outputs at mid-term and end term
- 5. Interactions with Implementation Agencies and Key Stakeholders
- 6. Review of Monitoring Reports (Quarterly Reports and Status Reports/Updates prepared for ISMs by the PMU)
- 7. Data/information generated through MIS

III. CONTACT POINT

World Bank

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IV. FOR MORE INFORMATION CONTACT

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V. APPROVAL

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