

Republic of India

## **Government of Uttarakhand**

# **Uttarakhand Disaster Preparedness and Resilience Project (U-PREPARE)**

**P 179749**

## **ESCP for Negotiations ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN (ESCP)**

**November 2023**

## ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

1. The Government of Uttarakhand (the Project Implementing Entity or PIE) will implement the Uttarakhand Disaster Preparedness and Resilience Project (the Project), with the involvement of the Uttarakhand State Disaster Management Authority (USDMA), as set out in the Loan Agreement between India (the Borrower) and the International Bank for Reconstruction and Development (hereinafter the World Bank) and the Project Agreement between the World Bank and the State of Uttarakhand (collectively the Legal Agreements). The World Bank has agreed to provide financing for the Uttarakhand Disaster Preparedness and Resilience Project, as set out in the referred Legal Agreements.
2. The PIE shall ensure that the Project is carried out in accordance with the Environmental and Social Standards (ESSs) and this Environmental and Social Commitment Plan (ESCP), in a manner acceptable to the World Bank. The ESCP is a part of the Loan Agreement. Unless otherwise defined in this ESCP, capitalized terms used in this ESCP have the meanings ascribed to them in the referred Legal agreements.
3. Without limitation to the foregoing, this ESCP sets out material measures and actions that the PIE shall carry out or cause to be carried out, including, as applicable, the timeframes of the actions and measures, institutional, staffing, training, monitoring and reporting arrangements, and grievance management. The ESCP also sets out the environmental and social (E&S) instruments that shall be adopted and implemented under the Project, all of which shall be subject to prior consultation and disclosure, consistent with the ESS, and in form and substance, and in a manner acceptable to the World Bank. Once adopted, said E&S instruments may be revised from time to time with prior written agreement by the World Bank.
4. As agreed by the World Bank and the PIE, this ESCP will be revised from time to time if necessary, during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to Project performance. In such circumstances, the PIE and the World Bank agree to update the ESCP to reflect these changes through an exchange of letters signed between the World Bank and the PIE. The PIE shall promptly disclose the updated ESCP.

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
<b>MONITORING AND REPORTING</b>			
A	<p><b>REGULAR REPORTING</b></p> <p>Prepare and submit to the World Bank regular monitoring reports on the environmental, social, health and safety (ESHS) performance of the Project, including but not limited to the implementation of the ESCP, status of preparation and implementation of E&amp;S instruments required under the ESCP, stakeholder engagement activities, and functioning of the grievance mechanism.</p>	<p>Submit quarterly reports to the World Bank throughout Project implementation, commencing after the Effective Date. Submit each report to the World Bank no later than 15 days after the end of each reporting period.</p>	<p>Uttarakhand State Disaster Management Authority-Project Management Unit (PMU)</p>
B	<p><b>INCIDENTS AND ACCIDENTS</b></p> <p>Promptly notify the World Bank of any incident or accident related to the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers, including, inter alia, cases of sexual exploitation and abuse (SEA), sexual harassment (SH), and accidents that result in death, serious or multiple injury. Provide sufficient detail regarding the scope, severity, and possible causes of the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor, as appropriate.</p> <p>Subsequently, at the World Bank’s request, prepare a report on the incident or accident and propose any measures to address it and prevent its recurrence.</p>	<p>Notify the World Bank no later than 48 hours after learning of the incident or accident.</p> <p>Provide subsequent report to the World Bank within 10 days.</p>	<p>PMU</p>
C	<p><b>CONTRACTORS’ MONTHLY REPORTS</b></p> <p>Require contractors and PMU to provide monthly monitoring reports on ESHS performance in accordance with the metrics specified in the respective bidding documents and contracts, and submit such reports to the World Bank.</p>	<p>Submit the monthly reports to the World Bank as annexes to the reports to be submitted under action A above.</p>	<p>PMU and Contractors</p>
<b>ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS</b>			
1.1	<p><b>ORGANIZATIONAL STRUCTURE</b></p> <p>1. Maintain a PMU within the USDMA, that is tasked with ESHS management with qualified staff and resources to support management of ESHS risks and impacts of the Project including an environmental specialist, a social specialist, a labour specialist, and a gender specialist.</p>	<p>1. Maintain a PMU as set out in the loan agreement no later than 30 days after the date of Project effectiveness, and thereafter maintain these positions throughout Project implementation.</p>	<p>PMU</p>

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
	<p>2. Establish and maintain four PIUs (i) Public Works Department (PWD), responsible for Road Infrastructure, (ii) Rural Works Department (RWD), to manage works/activities related to 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</p> <p>3. Identify and designate one environmental expert and one social development expert within each Project Implementation Unit (PIU) and Field Project Implementation Unit (FPIU) respectively for project implementation, and thereafter maintaining the position throughout Project implementation.</p>	<p>2. Establish PIUs within 30 days after PMU establishment, and no later than 60 days from Project effectiveness.</p> <p>3. Designate E&amp;S experts in PIUs and FPIUs reporting to RWD to review site specific instruments and monitor implementation before launching the bidding process for their respective project activities, and thereafter maintain these positions throughout Project implementation.</p>	<p>PMU</p> <p>PIUs</p>
1.2	<p><b>ENVIRONMENTAL AND SOCIAL INSTRUMENTS</b></p> <p>1. Prepare, disclose, adopt and implement an Environmental and Social Management Framework (ESMF) for the Project, consistent with the relevant ESSs.</p> <p>2. Adopt and implement the site-specific Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP) of relevant sub-projects, as set out in the ESMF. Activities described in the exclusion list set out in the ESMF shall be ineligible to receive financing under the Project.</p>	<p>1. Prepare and disclose the ESMF by Project appraisal, and thereafter implement the ESMF throughout Project implementation.</p> <p>2. Adopt the site-specific ESMP before launching the bidding process for the respective subproject. Once adopted, implement the respective ESMP throughout Project implementation.</p>	PMU and PIUs
1.3	<p><b>MANAGEMENT OF CONTRACTORS</b></p> <p>Incorporate the relevant aspects of the ESCP, including, inter alia, the relevant E&amp;S instruments, the Labor Management Procedures (LMP), and code of conduct, into the ESHS specifications of the procurement documents and contracts with contractors and PMU. Thereafter ensure that the contractors and PIU comply and cause subcontractors to comply with the ESHS specifications of their respective contracts.</p>	<p>As part of the preparation of procurement documents and respective contracts.</p> <p>Supervise contractors throughout Project implementation.</p>	<p>PMU and PIUs</p> <p>FPIUs</p>
1.4	<p><b>TECHNICAL ASSISTANCE</b></p> <p>Ensure that the consultancies, studies, capacity building, training, and any other technical assistance activities under the Project are carried out in accordance with terms of reference acceptable to the World Bank, that are consistent with the ESSs. Thereafter ensure that the outputs of such activities comply with the terms of reference.</p>	Throughout Project implementation.	PMU

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
1.5	<p><b>CONTINGENT EMERGENCY RESPONSE FINANCING</b></p> <p>a) Ensure that the CERC Manual includes a description of the ESHS assessment and management arrangements for the implementation of the CERC component, in accordance with the ESSs.</p> <p>b) Adopt any environmental and social (E&amp;S) instruments which may be required for activities under the CERC component of the Project, in accordance with the CERC Manual and the ESSs, and thereafter implement the measures and actions required under said E&amp;S instruments, within the timeframes specified in said E&amp;S instruments.</p>	<p>a) The adoption of the CERC manual in form and substance acceptable to the World Bank is a withdrawal condition under Section "Section III.B.(c) of Schedule 2 of the loan agreement for the Project.</p> <p>b) Adopt any required E&amp;S instrument and include it as part of the respective bidding process, if applicable, and in any case, before the carrying out of the relevant Project activities for which the E&amp;S instrument is required. Implement the E&amp;S instruments in accordance with their terms, throughout Project implementation.</p>	USDMA
<b>ESS 2: LABOR AND WORKING CONDITIONS</b>			
2.1	<p><b>LABOR MANAGEMENT PROCEDURES</b></p> <p>Prepare, disclose, adopt and implement the Labor Management Procedures (LMP) for the Project, including, inter alia, provisions on working conditions, management of workers relationships, occupational health and safety (including personal protective equipment, and emergency preparedness and response), code of conduct (including relating to SEA and SH), forced labor, child labor, grievance arrangements for Project workers, and applicable requirements for contractors, subcontractors,.</p>	Prepare and disclose the LMP by Project appraisal, and thereafter implement the LMP throughout Project implementation.	PMU
2.2	<p><b>GRIEVANCE MECHANISM FOR PROJECT WORKERS</b></p> <p>Establish and operate a grievance mechanism for Project workers, as described in the LMP and consistent with ESS2. The GRM should also be designed to address labor related GBV/SEA/SH issues including provision of a referral system.</p>	Establish grievance mechanism prior engaging Project workers and thereafter maintain and operate it throughout Project implementation.	PMU and contractors
<b>ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT</b>			
3.1	<p><b>WASTE MANAGEMENT PLAN</b></p> <p>Adopt and implement a Waste Management Plan (WMP), to manage hazardous and non-hazardous wastes, consistent with ESS3.</p>	Adopt site specific WMP before launching the bidding process for the relevant sub-project. and thereafter implement the WMP throughout Project period.	PMU and PIUs

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
3.2	<p><b>RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT</b></p> <p>Incorporate resource efficiency and pollution prevention and management measures in the ESMP to be prepared under action 1.2 above.</p>	Same timeframe as for the adoption and implementation of the ESMP.	PMU and PIUs
<b>ESS 4: COMMUNITY HEALTH AND SAFETY</b>			
4.1	<p><b>TRAFFIC AND ROAD SAFETY</b></p> <p>Incorporate measures to manage traffic and road safety risks as required in the ESMP to be prepared under action 1.2 above.</p>	Same timeframe as for the adoption and implementation of the ESMP.	PMU and PIUs
4.2	<p><b>COMMUNITY HEALTH AND SAFETY</b></p> <p>Assess and manage specific risks and impacts to the community arising from Project activities, including, inter alia, behavior of Project workers, risks of labor influx, response to emergency situations, and include mitigation measures in the ESMPs to be prepared in accordance with the ESMF.</p>	Same timeframe as for the adoption and implementation of the ESMPs.	PMU and PIUs
4.3	<p><b>SEA AND SH RISKS</b></p> <p>Adopt and implement measures to manage SEA/SH risks, as per the requirements of the ESMF and LMP.</p> <p>Adopt and implement site-specific SEA/SH prevention and response plan in sub-projects with moderate to high SEA/SH risk.</p>	<p>Same timeframe as for the adoption and implementation of ESMF and LMP</p> <p>Same timeframe as for the adoption and implementation of the ESMPs.</p>	PMU, PIU, and Contractors
<b>ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT</b>			
5.1	<p><b>RESETTLEMENT POLICY FRAMEWORK</b></p> <p>Prepare, disclose, adopt and implement a Resettlement Policy Framework (RPF) for the Project, consistent with ESS5.</p>	Prepare and disclose the RPF by Project appraisal, and thereafter implement the RPF throughout Project implementation.	PMU
5.2	<p><b>RESETTLEMENT PLANS</b></p> <p>Adopt and implement a resettlement action plan (RAP) for each activity under the Project for which the RPF requires such RAP, as set out in the RPF, and consistent with ESS5.</p>	Adopt and implement the respective RAP, including ensuring that before taking possession of the land and related assets, full compensation has been provided and displaced people have been resettled and moving allowances have been provided.	PMU and PIUs
<b>ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES</b>			

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
6.1	<p><b>BIODIVERSITY RISKS AND IMPACTS</b></p> <p>Adopt and implement measures to manage biodiversity risks and impacts as part of the ESMP, in accordance with the guidelines of the ESMF, and consistent with ESS6.</p>	<p>Same timeframe as for the adoption and implementation of the ESMPs. Based on the outcome of the Biodiversity Assessment during screening, and as necessary, prepare a standalone Biodiversity Management Plan before the start of bidding for the relevant sub-projects.</p>	PMU and PIUs
<p><b>ESS 7: INDIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES</b> [See examples of possible actions below that can be used if determined that ESS7 is relevant, as set out in paragraph 54 of the E&amp;S Policy and paragraphs 8-10 of ESS7].</p>			
7.1	<p><b>INDIGENOUS PEOPLES PLANNING FRAMEWORK</b></p> <p>Adopt and implement the Indigenous Peoples Planning Framework (IPPF) for the Project, consistent with ESS7, prepared as a part of the ESMF.</p>	<p>Same timeframe as for the adoption and implementation of ESMF.</p>	PMU
7.2	<p><b>INDIGENOUS PEOPLES PLAN</b></p> <p>Adopt and implement an Indigenous Peoples Plan (IPP) for each activity under the Project for which the IPPF requires such IPP, as set out in the IPPF, and consistent with ESS7.</p>	<p>Adopt the IPP prior to the carrying out of any activity that requires the preparation of such IPP. Once adopted, implement the respective IPP throughout Project implementation.</p>	PMU and PIUs
<p><b>ESS 8: CULTURAL HERITAGE</b></p>			
8.1	<p><b>CULTURAL HERITAGE RISKS AND IMPACTS</b></p> <p>Adopt and implement cultural heritage protection measures as a part of the ESMPs, in accordance with the guidelines of the ESMF, and consistent with ESS8.</p>	<p>Same timeframe as for the adoption and implementation of the ESMPs.</p>	PMU and PIUs
8.2	<p><b>CHANCE FINDS</b></p> <p>Describe and implement the chance finds procedures, as part of the ESMF and ESMPs of the sub-projects.</p>	<p>Describe the chance find procedures in the ESMF and ESMPs. Implement the procedures throughout Project implementation.</p>	PMU and PIUs
<p><b>ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE</b></p>			
10.1	<p><b>STAKEHOLDER ENGAGEMENT PLAN PREPARATION AND IMPLEMENTATION</b></p> <p>Prepare, disclose, adopt and implement a Stakeholder Engagement Plan (SEP) for the Project, consistent with ESS10, which shall include measures to, inter alia, provide stakeholders with timely, relevant, understandable and accessible information, and consult with them in a culturally appropriate manner, which is free of manipulation, interference, coercion, discrimination and intimidation.</p>	<p>Adopt the SEP by project appraisal, and thereafter implement the SEP throughout Project implementation.</p>	PMU

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY
	Implement the biennial Beneficiary Satisfaction Survey	In second and last year of Project implementation	
10.2	<p><b>PROJECT GRIEVANCE MECHANISM</b></p> <p>Strengthen, publicize, maintain, and operate an accessible grievance mechanism, to receive and facilitate resolution of concerns and grievances in relation to the Project, promptly and effectively, in a transparent manner that is culturally appropriate and readily accessible to all Project-affected parties, at no cost and without retribution, including concerns and grievances filed anonymously, in a manner consistent with ESS10.</p> <p>The grievance mechanism shall be equipped to receive, register, and facilitate the resolution of SEA/SH complaints, including through the referral of survivors to relevant gender-based violence service providers, all in a safe, confidential, and survivor-centered manner.</p>	Strengthen and publicize the GRM prior to commencement of project activities, and there after implement throughout Project implementation.	PMU and PIU
CAPACITY SUPPORT			
CS1	<p>Following types of training will be provided to the relevant target groups, such as PMU and PIUs’ staff, stakeholder community, project workers, consultants, contractors and sub-contractors.</p> <ol style="list-style-type: none"> <li>1. World Bank ESF, its implementation and supervision modality including various provision of the ESMF (including IPPF), RPF, SEP, ESCP, and LMP</li> <li>2. Occupational health and safety</li> <li>3. Community health and safety</li> <li>4. Environmental and Social Management Plans (ESMPs), Resettlement Action Plans (RAPs) and Indigenous Peoples Plans (IPP)</li> <li>5. GBV/SEA/SH prevention, mitigation and response, need to understand and sign the Code of Conduct</li> <li>6. Stakeholder mapping and engagement</li> <li>7. Grievance redressal mechanism</li> <li>8. Disaster prevention, emergency preparedness and response and training on ESIRT</li> </ol> <p>Additional trainings required, if any, will be identified during project implementation.</p>	Throughout the project implementation	PMU