



Concept Environmental and Social Review Summary

Concept Stage

(**ESRS Concept Stage**)

Date Prepared/Updated: 03/02/2023 | Report No: ESRSC03039



BASIC INFORMATION

A. Basic Operation Data

Operation ID	Product	Operation Acronym	Approval Fiscal Year
P179357	Investment Project Financing (IPF)	UCRRF	2024
Operation Name	Uttarakhand Climate Responsive Rainfed Farming Project		
Country/Region Code	Beneficiary country/countries (borrower, recipient)	Region	Practice Area (Lead)
India	India	SOUTH ASIA	Agriculture and Food
Borrower(s)	Implementing Agency(ies)	Estimated Appraisal Date	Estimated Board Date
Department of Economic Affairs	Watershed Management Directorate	16-Oct-2023	20-Feb-2024

Proposed Development Objective

Improving the resilience and productivity of smallholder agriculture for increased profitability with low GHG emissions

Financing (in USD Million)	Amount
Total Operation Cost	131.00

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 Operation [including overview of Country, Sectoral & Institutional Contexts and Relationship to CPF]

The project will work towards (i) reduction of net GHG emission relative to control villages with similar cropping pattern; (ii) achievement of resilience of production systems by adopting precision-farming techniques; and (iii) increased profitability through enhanced productivity, reduced cost of cultivation, and additional income through carbon credits. An integrated digital platform for evidence-based decision-making will support the project activities.



The project will focus on small and marginal farmers, including women farmers, and landless households. The project will be implemented in 1,226 villages covering a catchment area of 243,418 hectares (ha), which includes arable and non-arable land.

D. Environmental and Social Overview

D.1. Detailed operation location(s) and salient physical characteristics relevant to the E&S assessment [geographic, environmental, social]

The UKCRRFP project will be implemented in the state of Uttarakhand, situated in the northwestern part of India. Most of the northern part of the state is covered by high Himalayan peaks and glaciers. The terrain and topography is largely hilly (covering 46035 sq.km out of total geographical area of 53483 sq.km) with snow covers and steep slopes. The state has 3.4 million hectares area under forests, which constitutes 61.45% of the total area with unique ecological diversity with as many as 3748 faunal species inventoried and documented. The state has two distinct climatic regions: the predominant hilly terrain with temperate climate and the small plain region with tropical climate. The average annual rainfall is 1550 mm. The Land Survey Directorate (LSD) has divided Uttarakhand into eight catchments, which are divided into 26 watersheds (400-1000ha). These are divided into 110 small watersheds (10-40 ha) and finally there are 1,110 micro watersheds (0-10 ha). The project locations include existing cultivated land in rural areas, most of these located in hilly, undulating terrains. The state is vulnerable to climate change, especially the regions under rainfed farming, which will require suitable adaptation strategies.

As per 2011 census, Uttarakhand has a population of 10,086,292 comprising 5,137,773 males and 4,948,519 females, with 69.77% of the population living in rural areas. The population density of the state is 189 per sq. km. The state has a 2001–2011 decadal growth rate of 18.81%. The gender ratio is 963. The crude birth rate is 18.6 with the total fertility rate being 2.3. The state has an infant mortality rate of 43, a maternal mortality rate of 188 and a crude death rate of 6.6. The state has 18.8% SC population and 2.9% ST population. The state has literary rate of 78.82% (87.4% Male and 70.01% Female). Tribes of Uttarakhand mainly comprise five major groups namely Jaunsari tribe, Tharu tribe, Raji tribe, Buksa tribe and Bhotiyas. In terms of population, Jaunsari tribe is the largest tribal group of the state. Tribes of Uttarakhand represent the ethnic groups residing in the state. Every district of Uttarakhand has more or less a moderate percentage of tribal population. In the state of Uttarakhand, the main concentration of tribal population is in the rural areas. The state has Transhumant population which include the Bhotiya/ Anwal/ Van Gujjars/ Nomadic groups. Agriculture is a significant contributor to Uttarakhand’s Gross State Domestic Product (11% in 2011-12). It is the chief source of livelihood for over 70% of its population. Uttarakhand is placed 13th out of the 30 states in the first-ever nationwide Gender Vulnerability Index (GVI). An increasing number of the state’s women are withdrawing from the labor force. This is especially true in rural areas where women predominantly work in farming. Very few urban women work but, where they do, the type of jobs they hold are similar to those held by men.

D. 2. Borrower’s Institutional Capacity

The UKCRRFP will be implemented by Watershed Management Directorate (WMD) of Uttarakhand, which provides leadership and oversight to the project. The WMD has already implemented two consecutive watershed management projects following Bank Safeguard Policies and have good understanding and capacity to follow environmental and social requirements under Safeguard Policies. Adequate capacity for managing environment and social issues was built up through the state institutional structures and maintained throughout the project lifetime. The environmental and social risks and impacts were mitigated by the previous projects through preparation and implementation of Environmental and Social Management Framework, Environmental and Social Management Plans. The environmental



and social risks of the proposed project activities and institutional capacities to implement the ESF will be assessed during the project preparation and based on the findings, the section on Borrowers Institutional Capacity will be further refined. An Environment and social management specialist will be hired as part of the core project PMU.

II. SCREENING OF POTENTIAL ENVIRONMENTAL AND SOCIAL (ES) RISKS AND IMPACTS

A. Environmental and Social Risk Classification (ESRC)

Moderate

Environmental Risk Rating

Moderate

All project interventions will take place on existing cultivated and non-cultivated land (land identified for processing/value addition facilities) and catchment areas for treatment. Environmental risks and impacts that could arise from project financed activities include minor earth/civil works undertaken for (i) spring shed treatment, (ii) crop productivity enhancement and (iii) development/refurbishment of value chain infrastructure to support post harvest management. The potential adverse impacts from spring shed treatment are mostly related to disturbance to soil and vegetation in undulating terrains, soil and water pollution from disposal of excavated soil etc. In addition, the irrigation crop production interventions are likely to trigger use of agrochemicals, especially pesticides and fertilizers in that may result in contamination of soil and water, pose occupational health and safety risks during to storage; handling and disposal of pesticides, food safety, and community health and safety in the surrounding areas. The minor civil works to be undertaken for value chain infrastructure could lead to air and noise pollution during construction phase and collection, generation of wastes and wastewater during the operations/processing phase. Most of these environmental risks and impacts are however temporary, site specific and largely reversible in nature and can be managed and mitigated through appropriate mitigation measures. The project will also contribute to improved efficiency in water usage and climate smart agriculture related interventions.

Social Risk Rating

Moderate

The project is expected to have positive social impacts and benefits in Uttarakhand as it helps improve watershed management, through catchment area treatment, land development, support to agriculture, spring shed treatment and infrastructure to support post-harvest value chain. The farmers and agricultural workers are the main beneficiaries under the project. Based on the initial social assessment, the following social risks and impacts have been identified under the project: (i) potential adverse impacts on tribals and Transhumant populations (Bhotiya/ Anwal/ Van Gujjars/ Nomadic groups), (ii) risk of exclusion of women and other vulnerable groups from project benefits, (iii) inadequate labor management practices and (iv) lack of a functional GRM at the community level. The anticipated social risks are manageable. To mitigate these risks and to ensure strong engagement with the project beneficiaries, the following instruments will be prepared: Environmental and Social Management Framework (ESMF), Stakeholder Engagement Plan (SEP), Labor Management Procedures (LMP), and the Environmental and Social Commitment Plan (ESCP), which includes the preparation of any follow-on mitigation plans agreed. Further, the project will have a Community Operations Manual for engaging communities in implementation and prepare and implement a comprehensive communication strategy to disseminate information in a format accessible to relevant stakeholders, particularly to the farming community and vulnerable. The social risk of the project is Moderate, although this will be assessed continuously throughout the life of the project and adjusted as needed.

Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) Risk Rating

Low

Public Disclosure



The SEA/SH risk rating for the proposed project is low. In order to address residual risks, the community guidelines on SEA/SH risk mitigation and prevention of GBV risks will be included in the Operations Manual. The SEA/SH screening tool for major civil works in the context of India was used to assess the risks and impacts associated with the proposed project. The project envisages small-scale construction activities pertaining to micro-watersheds, which will likely involve local community workers, thereby reducing labor influx related SEA/SH risks. The SEP preparation will include comprehensive consultations with local women’s groups, tribal women farmers, and young girls to ensure the SEA/SH related risks, for especially vulnerable groups, are mitigated through appropriate measures incorporated within the SEP instrument. The community Operations Manual will also focus on specific measures, including regular supervision and monitoring feedback, to mitigate the risks of SEA/SH for tribal women workers and other female construction workers from the community.

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

B.1. General Assessment

ESS1 Assessment and Management of Environmental and Social Risks and Impacts

Overview of the relevance of the Standard for the Operation:

ESS 1 is relevant for assessing, managing, and monitoring environmental and social risks and impacts associated with the project towards ensuring that the operation is environmentally and socially sustainable. The adverse environmental risks and impacts are related to minor earth works and civil works for spring shed treatment, irrigation and crop productivity enhancement activities and infrastructure creation/refurbishment to support post-harvest value chain improvement. The key adverse impacts include soil and water pollution, increased use of water and energy, disturbance to soil and vegetation in undulating terrains, disposal/reuse of excavated soil and collection, generation of wastes and wastewater from value addition/processing activities, occupational and community health and safety issues related to application of chemical pesticides and fertilizers.

As per initial social due diligence, the project activities are envisaged to have Moderate social risk. The adverse social risks and impacts are related to the proposed catchment area treatment, land development, support to agriculture, spring shed treatment and infrastructure to support post-harvest value chain improvement. These risks and impacts are mostly related to 1) public/ private land loss for project facilities, 2) loss of access to natural resources, 3) usage of lands under disputes (FRA, etc.), 4) impacts on tribal and Transhumant populations (Bhotiya/ Anwal/ Van Gujjars/ Nomadic groups), 5) risk of exclusion of women and other vulnerable groups from project benefits, 6) possibility of exploitation of labour, 7) potential health and security risk to communities living in the vicinity, 8) conflicts among people when areas are closed for grazing, 9) minor inconveniences/ nuisances during construction, 10) Limited active participation of all vulnerable population including in design, preparation and implementation of the project; 11) Risks of SEA-SH (Sexual exploitation and Abuse – Sexual Harassment) at the workplaces and other places covered under the project including locations where women and children are likely to be more vulnerable; 12) lack of Project information to key stakeholders, 13) Lack of inclusive and accessible grievance redressal mechanism for project workers and project beneficiaries, particularly for the vulnerable; and lastly, 14) Inadequate monitoring, implementation and inter-departmental coordination on social management for efficient service delivery under the project, etc. Most of these social risks and impacts are however mitigable and temporary, site specific and largely reversible in nature and can be managed and mitigated through appropriate mitigation/ management measures.



To mitigate these risks and to ensure strong engagement with the project beneficiaries, the following instruments will be prepared: Environmental and Social Management Framework (ESMF), Stakeholder Engagement Plan (SEP), Indigenous Peoples Policy Framework (IPPF), Labour Management Procedures (LMP), and the Environmental and Social Commitment Plan (ESCP), which includes the preparation of any follow-on mitigation plans agreed.

The ESMF will include sub-project(s) environmental and social screening procedure, guidance for preparation of site specific ESMPs including a generic Environmental and Social Management Plan (ESMP), and subsequent implementation plan during sub-projects' execution, mitigation measures for resource efficiency, occupational and community health and safety, and Integrated Pest and Management Plan (IPMP). Further, the project will prepare and implement a comprehensive communication strategy to disseminate information in a format accessible to relevant stakeholders, particularly to all categories of marginal and small farmers, SC/STs, transhumant and vulnerable. The environment and social risks of the project are Moderate, although this will be assessed continuously throughout the life of the project and adjusted as needed.

ESS10 Stakeholder Engagement and Information Disclosure

ESS10 Stakeholder Engagement and Information Disclosure ESS 10 is relevant for ensuring that a consistent, comprehensive, coordinated and culturally appropriate approach is taken for stakeholder engagement and disclosure of project related information. For this, a Stakeholder Engagement Plan (SEP) will be prepared and will be disclosed before project appraisal. The SEP will provide guidance on specific steps and actions to be taken during preparation and implementation stages of the project. It will also define the mode and frequency of engagement with stakeholders at various stages of the project cycle. Furthermore, the SEP will elaborate on various means and methods which can be used to ensure that information reaches or can be accessed by farming communities and vulnerable, main beneficiaries under the project. Given the nature of project activities proposed, diverse group of stakeholders will be involved in the project's decision-making, design and implementation. During initial primary Social Assessment, stakeholder mapping and analysis was undertaken wherein the following project beneficiaries and a number of interested parties were identified: a) marginal and small farmers; b) Landless Labourers, c) Agriculture workers; d) agriculture and post-harvest equipment suppliers, e) Gram Panchayat Members, f) women as they are the main workers in agriculture fields and tending to cattle, g) Transhumant, h) Watershed Management Directorate, i) Agriculture Department, j) Animal Husbandry Department, k) Forest Department, l) Science and Technology Department m) NGOs n) service providers such as skills development centers, o) local communities in the project area p) consultants to be engaged by project; q) other project beneficiaries. Disadvantaged and vulnerable groups among the project beneficiaries include those belonging to the following categories: SC/ ST/ BPL, sexual minorities and women facing intersectional disadvantages, marginal and small farmers, landless labourers, etc. To further manage social and environmental risks, existing Grievance Redress Mechanism (GRM) will be streamlined to make it more responsive and accessible to all. Project beneficiaries and other interested parties (OIPs) will have access to an easy-to-follow GRM to raise concerns and grievances. The project will update existing GRM (toll-free, online, posts, etc.) to include features such as online and offline option to file complaint, user-centric categorization, alert generation, response, and escalation flow. The GRM will also take up and address project-related GBV/SEA/SH incidents with due attention to confidentiality requirements. A centralized MIS system will be setup to provide one stop data point for collating complaints (from web, toll-free number and written) tracking the process of redressal



with satisfactory feedback for closure. The SEP also includes Citizens Engagement Indicators to track the implementation of participatory approaches by the project. The implementation agencies will continue to engage with project beneficiaries and OIPs during project implementation in a manner appropriate to the nature of their interests and potential environmental and social risks/impacts of the project. The WMD will be overall responsible for implementation of Stakeholder Engagement Plan including community mobilization, information, education and communication (IEC), capacity building, among others. Appropriate arrangements for SEP implementation, including reporting and its updating (as necessary) will be enumerated in the ESCP. Additionally, communication and awareness raising initiatives is a central element to this project. The project will commission a Communications Needs Assessment as the first step towards developing the comprehensive Communications Strategy for engaging with stakeholders on an ongoing basis.

B.2. Specific Risks and Impacts

A brief description of the potential environmental and social risks and impacts relevant to the Operation.

ESS2 Labor and Working Conditions

ESS2 Labor and Working Conditions ESS 2 is considered relevant to the Project. ESS 2 is considered relevant to the Project. The project will involve: a) direct workers employed specifically by the implementation agency for the project; and b) contracted workers engaged in construction of works c) workers engaged by consultancy services firms for specific deliverables and technical support to WMD. Involvement of community workers is envisaged given nature of the project. Labor Management Procedures (LMP), including OHS risks and mitigation measures, will be prepared, duly including terms and conditions of employment, non-discrimination and equal opportunity, workers' organization, the prohibition of child and forced labor, and contain a worker's grievance mechanism in accordance with the national laws and ESS 2 requirements. The grievance mechanism will contain stipulations for sensitive grievances, including those related to SEA/SH. The GRM for workers will be in place prior to project effectiveness. The relevant staff of the Implementation Agency, line departments and direct workers, including contract workers will also be subject to and trained on codes of conduct for interacting with local communities that will be an integral part of the LMP. All operations will be planned, designed and implemented to comply with the World Bank Group's Environment, Health and Safety guidelines. The ESMF and IPMP will include provisions for occupational health and safety procedures for all workers.

ESS3 Resource Efficiency and Pollution Prevention and Management

Resource Efficiency and Pollution Prevention and Management is relevant as the project activities will consume and impact resources including energy, water, flora and fauna as part of i) earthworks and minor civil works related to spring shed treatment and value addition infrastructure, ii) irrigation and crop productivity improvement. The construction activities can cause pollution of air, water and soil including noise pollution, which will have health impacts on the humans and animals. The dust and wastes generated from construction activities and earthworks affects surrounding crops, human and animal health. The use of non-permissible, hazardous pesticides and fertilizers in excess doses without precautions can have adverse impacts on human, animal health and the environment.



The ESMF will focus on assessment of resource consumption and pollution from the project activities. The ESMF will identify the risks and include measures to be taken at planning, execution and operation and management stages of project activities for resource efficiency and pollution prevention. The design/plan of the works will emphasize on minimal disturbance, disaster proof designs given the sensitivity of the locations that are undulating and use of sustainable materials. Measures for dust and noise control, waste management, etc. during construction/execution phase will be duly covered. Measures to be taken at the operation stage will also include appropriate waste disposal methods. Use of sustainable technologies, and renewable energy will be considered feasible. The project will have an IPMP to mitigate and manage the adverse impacts. An overall strategy for resource efficiency will be included for better utilization of resources.

ESS4 Community Health and Safety

Community Health and Safety is considered relevant to the project. There are three type of risks; (a) risks for the local communities due to movement of vehicles and exposure to sites associated with construction/ renovation works, and (b) potential community exposure to agrochemicals and pesticides as the result of project activities. The ESMF will address the risks relating to mitigation measures for construction site safety management and appropriate barricading, and workers will be trained on these aspects of site safety management. The IPMP will provide mitigation measures, community awareness and training on safe storage, labelling, transport and application of agrochemicals and pesticides (where needed) to reduce any risk of exposure, or residual risks to human health and the environment.

ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement is considered relevant to the project. The National law on Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 (RFCTLARR Act, 2013) and State Rules that meets the requirements of ESS5 will be applied in addition to the ESF standard. The project activities may potentially result in land acquisition and resettlement impacts although in a limited scale. The project footprint is currently not known and will be finalized during project implementation. To mitigate these risks, the Borrower will undertake sub-project level impact assessment on communities, businesses and common property, livelihood activities, and issues related to hindering access to neighboring settlements. No land acquisition and associated risks are expected at PCN stage. A Resettlement Policy Framework (RPF) for the project will be prepared following the national RFCTLARR Act, 2013, which will be adopted and applied for preparation of Resettlement Action Plans (RAP) for the sub-projects (if required) after they are identified, and their location, scope and scale of land requirement is known. The RPF will describe the different populations that could potentially be affected, the types of losses foreseen, and the compensation that will be offered to offset losses and restore livelihoods. The RPF will be reviewed, consulted upon, approved, and disclosed both in the country and on the World Bank’s external portal prior to the appraisal of the project.

ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources



Biodiversity Conservation and Sustainable Management of Living Natural Resources is considered not relevant to the project. At this stage of the project concept note, project activities will take place in existing cultivated land. The project's ESMF will carry out an assessment and include a screening checklist to ensure project activities do not pose any risk/ impact / alter any critical habitat and natural habitat.

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

Indigenous Peoples/ Sub-Saharan African Historically Underserved Traditional Communities is considered relevant to the project. The comprehensive National and state laws and policies safeguarding the rights and interests of the Indigenous people, recognized as scheduled tribes in India is fully aligned with the requirements of ESS 7. As per 2011 Census, Uttarakhand has a population of 10,086,292, with a tribal population which constitutes 2.89% of the state's total population. Tribes of Uttarakhand mainly comprise five major groups namely Jaunsari tribe, Tharu tribe, Raji tribe, Buksa tribe and Bhotiyas. In terms of population Jaunsari tribe is the largest tribal group of the state. Tribes of Uttarakhand represent the ethnic groups residing in the state. Every district of Uttarakhand has more or less a moderate percentage of tribal population. In the state of Uttarakhand, the main concentration of tribal population is in the rural areas. The state has Transhumant population which include the Bhotiya/ Anwal/ Van Gujjars/ Nomadic groups. Considering this, the Borrower will prepare an Indigenous Peoples Development Framework (IPDF) to ensure that the project enhances opportunities for vulnerable beneficiaries to participate in, and benefit from the development process. WMD will adopt and implement this IPPF for all project activities.

ESS8 Cultural Heritage

Cultural Heritage is considered not relevant to the project. At this stage of the project concept note, project activities will take place in existing cultivated land. The project's ESMF will carry out an assessment and include a screening checklist to ensure project activities do not post any risk/ impact / alter any cultural or natural heritage sites.

ESS9 Financial Intermediaries

Financial Intermediaries is not relevant.

C. Legal Operational Policies that Apply

OP 7.50 Operations on International Waterways	No
OP 7.60 Operations in Disputed Areas	No

III. WORLD BANK ENVIRONMENTAL AND SOCIAL DUE DILIGENCE

A. Is a common approach being considered? No

Financing Partners

Public Disclosure



Common Approach is not applicable to the project

B. Proposed Measures, Actions and Timing (Borrower’s commitments)

Actions to be completed prior to Bank Board Approval:

Before appraisal, the following instruments need to be developed, consulted on, and disclosed:

Environment and Social Management Framework (including IPMP)

Stakeholder Engagement Plan

Indigenous Peoples Policy Framework

Labor Management Procedures

Possible issues to be addressed in the Borrower Environmental and Social Commitment Plan (ESCP):

Capacity-building on the ESF, LMP and IPMP

Site/sub-project specific ESMPs preparation and implementation where required

Establish and ensure good human resource capacity on ESF throughout the implementation period

Establish capacity to plan and implement ESMPs

C. Timing

Tentative target date for preparing the Appraisal Stage ESRS

23-May-2023

IV. CONTACT POINTS

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Implementing Agency(ies)

Implementing Agency: Watershed Management Directorate

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Public Disclosure



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VI. APPROVAL

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