

**INTEGRATED SAFEGUARDS DATA SHEET
APPRAISAL STAGE**

Report No.: ISDSA12740

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I. BASIC INFORMATION

1. Basic Project Data

Country:	India	Project ID:	P150158
Project Name:	Eastern Dedicated Freight Corridor-3 (P150158)		
Task Team Leader(s):	Benedictus Eijbergen, Atul Agarwal		
Estimated Appraisal Date:	07-Apr-2015	Estimated Board Date:	29-May-2015
Managing Unit:	GTIDR	Lending Instrument:	Investment Project Financing
Sector(s):	Railways (100%)		
Theme(s):	Infrastructure services for private sector development (97%), Climate change (3%)		
Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?			No
Financing (In USD Million)			
Total Project Cost:	1107.00	Total Bank Financing:	650.00
Financing Gap:	0.00		
Financing Source			Amount
Borrower			457.00
International Bank for Reconstruction and Development			650.00
Total			1107.00
Environmental Category:	A - Full Assessment		
Is this a Repeater project?	No		

2. Project Development Objective(s)

The PDO for EDFC3 is to: (a) provide additional rail transport capacity, improved service quality and higher freight throughput on the 401 km Ludhiana- Khurja section of the EDFC; and (b) develop the institutional capacity of DFCCIL to build, maintain and manage the DFC infrastructure network.

3. Project Description

The Eastern Corridor is 1,839 km and extends from Ludhiana to Kolkata. World Bank support for the Eastern Dedicated Freight Corridor (EDFC) was designed as a series of projects in which three EDFC sections would be delivered sequentially, but with overlapping construction schedules. EDFC1 (Khurja-Kanpur: 343 km) was approved by the Bank in May 2011 and is under construction. EDFC2 (Kanpur-Mughalsarai: 393 km) was approved in April 2014 and is in procurement stage. This Project relates to the EDFC3 section (Ludhiana- Khurja: 401 km). This proposed operation is a US\$650 million loan from IBRD to finance civil works and technical assistance needed for an additional 401 kms along the Eastern Dedicated Freight Corridor between Khurja (Uttar Pradesh) and Sahnewal (near Ludhiana) in Punjab. The Government of India will contribute approximately US \$457 million to the project alongside the Bank's loan.

The proposed EDFC3 Project consists of the following components:

- (a) Design, construction and commissioning of the Ludhiana- Khurja section of the Eastern DFC consisting of 401 km of single-track electrified railway designed for freight only train operations with 25-ton axle-load (upgradable to 32.5 ton axle loads) at 100 km/h.
- (b) Continuing the provision of institutional support to assist DFCCIL to develop its capability to build, maintain and manage the DFC infrastructure network.

Infrastructure Component: The physical infrastructure proposed is the construction of 401 km Ludhiana-Khurja section of the Ludhiana-Kolkata Eastern Dedicated Freight Corridor. The Ludhiana-Khurja section will be constructed as a single-line ballasted track laid on concrete sleepers with crossing-loops. A single track configuration has been selected since the potential traffic is modest. At opening virtually all traffic using EDFC as a whole will originate or end on feeder lines managed by IR's Zonal Railways. In time it is anticipated that new logistics centers/freight terminals may be built alongside the new lines. The route alignment of the Ludhiana-Khurja section will run mostly parallel to the existing IR track; however, the alignment will detour near big cities and towns.

On the parallel track section, existing level crossings that have relatively high traffic will be replaced by Road Over Bridges or Under Bridges (ROBs/RUBs) spanning new and existing tracks. The remaining level crossings will be improved by interlocking them with the train signaling system and by providing electrically operated booms. Audio-visual warning systems will ensure safety of pedestrians and vehicles. Some of these level crossings would be replaced over time by ROBs/RUBs. The alignment will be fenced at critical locations. On the detour sections there will be no level crossings. A four-aspect automatic block system will utilize trackside signals. Automatic Train Protection (ATP) will be provided as part of the signaling system. A four-aspect automatic block system will utilize trackside signals. ATP) will be provided as part of the signaling system.

Construction will be under Design & Build contracts, with two civil works contracts (each consisting of sub-grade, bridges and track), and two system contracts (one for electrification and the other for signaling and telecommunications) for the entire 401 km section. The Design & Build contracts will be awarded on the basis of Performance Specifications (PS), which will permit bidders reasonable freedom to carry out detailed design. DFCCIL has engaged a General Consultant/Owner's Engineer (GC/OE) for preliminary design and procurement.

Institutional Support Component: The Institutional support component will focus on supporting three priority areas of operational, commercial and environmental management:

- Operational: Design of system to optimize interfaces at the interchange of trains between IR and EDFC line at connection points, including train holding yard requirements;

- Commercial: A freight logistics centres market-testing program to promote private investment in freight logistics centres/terminals (along either or both of) Eastern and Western Corridors plus development of a contractual model and seed capital for implementation of a pilot project; and
- Environmental: Design and implementation of pilot project for an energy optimization program on the DFC network.

4. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

The Project proposed for World Bank financing is a 401 km section between Khurja in the state of Uttarpradesh) and Sahnewal, near Ludhiana in Punjab toward the North-West of Delhi which is a part of the 1816 km long Ludhiana-Kolkata EDFC route. The first phase of this corridor for Khurja-Kanpur (343 km) is being implemented as part of EDFC1 supported by the Bank. EDFC2 (Kanpur-Mughalsarai: 393 km) was approved in April 2014 and is also in the early phase of implementation. The EDFC corridor traverses the Indo-Gangetic plain connecting the port of Kolkata on the Bay of Bengal in the east, to the industrial heartland of northern India in the north-west (Ludhiana). The corridor would be mostly parallel to the existing railway route with diversions in densely populated areas to minimize displacement of people and economic activities.

The EDFC3 corridor is divided into two stretches: (i) Pilakhni-Ludhiana/Sahnewal (175 km with detours over 13 km) and Khurja-Pilakhni (226 km with detours over 111 km). The first stretch from Pilakhni – Ludhiana / Sahnewal will be taken up for construction in the first year of EDFC 3 and civil works for the second stretch will be initiated in the third year of EDFC 3.

5. Environmental and Social Safeguards Specialists

Harinath Sessa Appalarajugari (GENDR)

Satya N. Mishra (GSURR)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	Project has been categorized as 'Category A', due to the significant impacts anticipated during construction and operation phase. An 'Environmental Assessment' to identify the environmental impacts has been carried out and an Environmental Management Plan has been prepared and disclosed for the first stretch of the project (175 km long Pilakhni – Sahnewal Section). The EA for the second section Khurja – Pilakhni Section, which will be implemented in the third year of the project, is being prepared and will be finalized and disclosed prior to the Board Presentation. The EMP for the both the stretches will be integrated with the contract documents for implementation by the contractor. Since, the project is third in the series of programmatic support to DFC, a Cumulative Impact Assessment (CIA) for the Eastern Corridor is also being carried out to understand the cumulative and induced impacts of the project.
Natural Habitats OP/BP 4.04	No	OP 4.04 has not been triggered, as the project activities do not impact any natural habitats.
Forests OP/BP 4.36	Yes	OP 4.36 has been triggered as the project proposes to

		acquire 175 ha of protected forest in the state of Punjab. Appropriate compensatory afforestation measures will be implemented in compliance to OP 4.36 and as per the requirements of Forest Act of GoI.
Pest Management OP 4.09	No	The project doesn't involve activities related to pest management and hence OP 4.09 has not been triggered.
Physical Cultural Resources OP/BP 4.11	Yes	The project activities in its first stretch of Pilakhni to Sahnewal section is likely to impact on 34 physical and cultural properties, after careful efforts to avoid impacts on the cultural resources. The EA identifies suitable mitigation measures (restoration or relocation) have been formulated as part of the EMP for implementation during the construction phase of the project.
Indigenous Peoples OP/BP 4.10	No	The OP 4.10 is not triggered as the project does not affect any indigenous people along the EDFC3 corridor.
Involuntary Resettlement OP/BP 4.12	Yes	The SIA has been carried out and Draft RAP prepared for the 175 km long Pilakhni-Sahnewal section. The RPF prepared earlier for EDFC1 (2011) has been updated setting guidelines for preparing the RAP for Khurja-Pilakhni section. The first draft of the RAP for the 226 km long Khurja-Pilakhni section has been received and reviewed by the Task team and sent back to the Client for revision. The Draft RAP for Khurja-Pilakhni shall be updated as per RPF and disclosed prior to the Board presentation.
Safety of Dams OP/BP 4.37	No	The project activities don't involve construction and operation of dams and hence the policy has not been triggered.
Projects on International Waterways OP/BP 7.50	No	The policy has not been triggered, as the project activities don't involve use or potential pollution of international waterways.
Projects in Disputed Areas OP/BP 7.60	No	The project activities are not located in disputed areas as defined in OP 7.60, and hence the policy has not been triggered.

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

<p>1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:</p> <p>The project involves major construction activities such as earthen embankments for the rail track, number of major and minor bridges, rail fly overs and ancillary buildings. These activities are expected to cause significant environmental impacts comprising diversion of forest land, cutting of trees, impact on community and cultural resources, and land acquisition and involuntary resettlement. Considering the above, the Project has been categorized as 'Category A' and triggers four safeguards policies- Environmental Assessment (OP/BP 4.01), Forests (OP / BP 4.36), Physical Cultural Resources (OP/BP 4.11) and Involuntary Resettlement (OP/BP 4.12).</p>
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Environmental Impacts: In compliance to these policies and also the Environmental Management Framework developed during the preparation of EDFC1, the project has carried out an Environmental Assessment (EA) for the 175 km long Pilkhani Sanhewal Section (stretch 1) section that is planned to be implemented in the first year of EDFC 3. An Environmental Management Plan (EMP) to mitigate the anticipated impacts of the project has also been prepared and disclosed for this section of the project. The EA for the 225 long Khurja – Pilkhani Section (Stretch 2) that will be implemented in the third year of the project, is also being carried out and will be finalized and disclosed prior to the Board Presentation in May, Based on detailed analysis carried out in EDFC1, the project has also integrated the Silicosis Reduction Strategies (SRS) and Green House Gas Emission Reduction Strategies (GHG strategies), in the design of EDFC 3.

The EAs for both the stretches have analyzed: (i) environmental profile of the project area through field investigations preparing environmental strip maps of the proposed alignment, (ii) base line environmental features such air, water quality, flora / fauna, etc., for winter and summer, (iii) noise and vibration impacts at various sensitive receptors have been developed for areas along the project alignment, (iv) potential environmental impacts for all environmental parameters, (v) 'Project' and 'No Project' scenarios and alternative alignment options.

The potential 'environmental impacts' identified in the EA for the first stretch included (i) conversion of 175 Ha Protected Forest on Railway Land; (ii) cutting of about 28617 trees along the 175 km of the alignment; (iii) about 180,000 m³ of earthwork in cutting, 730,000 m³ of earthwork for the embankment and 100,000 m³ of quarry material; (iv) increased noise and vibration levels at 13 sensitive receptors; (v) impacts on 34 physical and cultural properties; and (vi) health and safety issues during construction.

Social Impacts: The EDFC3 corridor is divided into two stretches: (i) Pilakhni-Sahnewal (175 kilometers with detours over 13 kilometers) and Khurja-Pilakhni (226 kilometers with detours over 111 kilometers). A total of 1157 hectares (ha) of land is required for EDFC3 over 401 kms, of which 1097.5 ha land is privately owned and 59.5 ha land is government owned. Social Impact Assessment (SIA) and RAP for the 175 km Pilakhni-Sahnewal (Ludhiana) section has been completed and the first draft RAP for the 226 km long Khurja-Pilakhni section has been prepared, reviewed by the Bank task team and sent back to the Client for necessary revision; the RAP for this section shall be finalized and disclosed prior to the Board presentation.

The key social impacts associated with this Project include the loss of land, shelter/business, farming livelihoods, incomes and community properties and temporary construction related impacts.

EDFC3 will require land acquisition along the existing route for 20 meter ROW and for 40 meters ROW for crossovers and bypasses. The SIA for Pilakhni-Sahnewal shows that a total of 3051 people are affected with 324 losing their residential/commercial structures. Of them, about 80% PAFs will lose less than 0.15 ha of land; 63% affected farmers will become landless, marginal or small farmers. A total of 324 private residential/commercial properties and eight community property structures are affected. About 90 percent of structure owners, who will lose over 25% of built-up area, will be treated as displaced and will receive the full range of R&R benefits.

Traditional occupiers living on 'abadi deh' lands are recognized as title holders and will receive compensation for their occupied land.

Impacts on livelihoods: According to a Social Safeguards Quality Audit carried out in January

2013, the loss of farm-based livelihoods of marginal farmers is a key adverse impact, which has to be addressed applying appropriately the resettlement framework. Given that the affected farmers have limited skills in non-farm activities, they will require livelihood skill training support in addition to financial assistance as R&R support.

Gender and social inclusion remain additional issues that require attention. Vulnerable households including single women and women headed families lacking support of any earning members, poor and aged, physically handicapped, etc are likely to face additional hardship as a result of resettlement impacts. The affected squatter households dependent on wage labor could lose their incomes as a result of resettlement.

The temporary construction related impacts such as health and safety, labor in-migration, accident risks, dust and noise, movement of materials etc. are covered in the EIA.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

The key long term environmental impacts of the proposed project include (i) impacts on the land environment due to quarrying large quantities of quarry stone material (about 1 million m³) and borrowing earth (about 100,000 million m³) for laying the rail track and (ii) increased noise and vibration levels during operation phase at about 13 sensitive locations along the railway track. The indirect impacts of the project includes (i) impacts on the natural drainage of the project area due to the project alignment in embankment and (ii) likely land use changes in the project area, during the operation phase of the project.

The environmental management plan prepared for the project, proposes specific mitigation measures to minimize the above impacts, through detailed management plans for the development and closure borrow areas and quarry sites. The environmental management plan also recommends construction of noise barriers, vibration reduction measures and cultural property management plans, along with sample designs cost estimates for implementation by the contractor.

At few locations including habitations close to the new EDFC tracks, movement of local communities and local traffic may also be affected. The project proposes to build adequate number of Road Over Bridges and Pedestrian/Vehicular Under Passes/Bridges to minimize such risks. The ROB/RUBs are listed as linked activities to which the Bank's safeguards policies will apply as per the resettlement policy framework agreed with DFCCIL.

There is a likelihood that DFCCIL may seek to develop along the EDFC corridor a few transport hubs and undertake other business development activities. Whereas, the exact nature and impact of such development activities is not known, these activities may require acquisition of additional lands, and on the positive side, could generate new employment and income opportunities for the local people. As such, on the positive side, the project is expected to provide employment and income opportunities to the local communities.

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.

Minimum land acquisition and disturbance to existing features has been a prime objective of the design. Resettlement planning for EDFC3 has benefited from the implementation experience of EDFC1 and EDFC2. The EDFC3 corridor path was altered in view of the farmers' disagreement with the originally planned alignment based on similar experience of EDFC1. Socially sensitive stretches have been avoided through selection of alternative links, and provision of bypass around

human settlements. Along the existing tracks, changes were made in the designs as far as feasible thereby reducing corridor of impact to 13 meters at Saharanpur, Yamunanagar Rajpura and Sirhind. Other impact minimizing measures taken included (i) ruling out service roads in built-up stretches; (ii) providing retaining wall/fencing for DFC tracks with three meters passage between habitations and retaining walls; and (iii) re-modelling of yards and reducing distance between yards and EDFC tracks.

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.

(a) Borrowers Measures to address environmental safeguard Issues

Environmental Management Plan: The borrower carried out EA for the first section of the project, which recommended a comprehensive environmental management plan to address the impacts identified and specific mitigation measures. The measures include (i) compensatory afforestation to compensate with the loss of forest land and the loss of tree cover, in complete compliance with the Forest Conservation Act of Government of India (ii) Avenue Plantation at 10 trees per km all along the alignment (iii) Rehabilitation Plan for the Borrow Areas developed for the earth work for the project (iv) noise barriers in 13 critical locations affected with high noise levels and mitigation measures for the management of increased noise levels in other sensitive locations (v) specific vibration reduction and management measures in the locations where vibration levels are expected to be high (vi) cultural properties rehabilitation plan for all the affected properties and (vii) specific construction safety and environmental management measures for the construction phase of the project. The EMP measures will be integrated in the bid documents for implementation by the contractors of the project.

Silicosis Reduction Strategies: Considering the large quantities of quarry material handled in the project, a separate analysis of measures required to mitigate the potential impacts of ‘Silicosis’ on the construction workers of the project was carried out in EDFC 1 and specific measures were recommended to be integrated in to the bid documents of the project, for implementation by the contractor. These measures including the EMP will be integrated in the bid documents for implementation by the contractors of the project.

Environmental Management Framework: The borrower has developed an Environmental Management Framework (EMF) during the preparation of EDFC 1, for the eastern dedicated freight corridor. The framework defines environment management approach for identifying the environmental issues associated with the proposed projects, identifies the requirements of conducting EA studies and provides guidance to integrate environment safeguard measures during the planning, designing and construction phase of DFC East. DFC continues to follow the framework for all the activities being carried out for the Eastern Corridor.

GHG Emission Analysis: By virtue of its potential to shift freight traffic from road transport to more efficient rail transport, the project offers significant reduction of Green House Gas (GHG) emissions. An analysis of this potential to reduce GHG emissions was carried out in EDFC 1, which estimated that the eastern corridor will reduce about 13.19 million GHG emissions by 2041-42 – a reduction of 55 percent of GHG emissions from 23.29 million ton without DFC to only 10.48 million tons with DFC. In addition, the analysis has also recommended a number of measures such as (i) regenerative breaking (ii) communication based train control (iii) green building measures for offsite construction activities (iv) solar and wind power generation in railway properties / lands. DFCCIL is actively pursuing these measures, which will further reduce

GHG emissions.

(b) Assessment of Borrowers Capacity to Plan and Implement the Safeguard Measures

The environmental regulations of GoI do not mandate railway projects to obtain environmental clearances from the Ministry of Environment & Forests (MoEF). However, as part of the programmatic implementation of eastern corridor supported by the Bank, DFCIL has developed an Environmental Policy and Environmental Management Framework applicable for all its activities. As part of these proactive initiatives, the agency has also carried out “Green House Gas Emission Analysis” of both the eastern and western corridors. Considering the nature and scale of construction activities DFCIL has also developed ‘Silicosis Reduction Strategies’ to be implemented in its construction activities.

To implement these initiatives, DFCIL has set up a Social and Environmental Management Unit (SEMU) headed by a General Manager (GM). SEMU implements all the safeguard activities at DFCIL, and is supported by a GM and one environmental and social specialist each. This unit has successfully carried out the safeguard due diligence activities such as (i) Carrying out Environmental Assessment for EDFC 2 (Kanpur – Mughal Sarai) Section (ii) carrying out an Environmental Assessment of EDFC 1 (Khurja – Kanpur Section) (iii) Environmental Assessment of Tundla Detour of EDFC 1 (iv) Environmental Assessment of Rail Over Bridges in APL 1 (iv) Secured clearances from Taj Trapezium Authority, Archaeological Department for Tundla Detour in EDFC 1 (v) permissions for forest land diversion and tree cutting clearances, etc. and (v) initiated forest land diversion clearances for EDFC 3 and (vi) Environmental Assessment for the 175 km long Pilakhni Sahnewal section of EDFC 3.

By performing these safeguard activities; DFCIL has demonstrated its commitment to environmental management and ability to comply with safeguard policies of the Bank. However, DFCIL has limited experience in implementing Environmental Management Plans (EMP). This would require further handholding and capacity building of SEMU and Project Managers Staff in the field. The Bank team would work with DFCIL and will ensure these capacities are developed at DFCIL.

Social Safeguards Measures: The safeguards policy arrangements for APL2 are a continuation of those agreed for the APL1. The World Bank Operational Policy 4.12 (Involuntary Resettlement) and OP 4.11 (Physical and Cultural Resources) are triggered and appropriate safeguard measures proposed. OP 4.10 has not been triggered as no tribal people are affected.

Based on the SIA, DFCCIL has prepared and disclosed a Resettlement Action Plan (RAP) for the 175 km long Pilakhni-Sahnewal section in compliance with the RPF prepared and cleared by the Bank in 2011. The finalization of alignment for the remaining 226 kms between Khurja and Pilakhni was delayed due to changes in detours. DFCCIL has updated the RPF (2011) agreed for EDFC1 setting out guidelines for carrying out SIA and preparing RAP for this remaining Khurja-Pilakhni section. The draft RAP for this section has been shared by the Client, which the Bank has reviewed and sent back to the Client for substantial revisions. The Draft RAP for this section updated in line with the updated RPF shall be disclosed prior to the Board presentation.

The LA process for EDFC3 will be carried out in accordance with the RAA (2008) with providing R&R assistance as per the entitlement matrix agreed with the Bank and in compliance with applicable provisions of the Right to Fair Compensation and Transparency in Land Acquisition

and Resettlement and Rehabilitation Act of 2013 (RFCT-LARRA). This Act exempts from its purview land acquisition process undertaken under RAA, 2008, except with regard to determining land compensation effective from January 1, 2015. The RFCT-LARRA prescribes calculation of compensation at one-to-two times of the government recognized land rates in urban areas and at two-to-four times that in rural areas. The RPF prepared for EDFC1 in 2011 has been updated reflecting the requirements of RAA, 2008 and RFCT-LARRA, 2013 and the Bank safeguard policies, which shall be approved and disclosed by the borrower prior to Negotiations.

The RFCT-LARRA provisions on land compensation have limited implications for the Pilakhni-Sahnewal section where land acquisition has been over 90 percent completed. All land compensation awards made with effect from January 1, 2015 shall be compliant with the TFCT-LARRA, 2013. Wherever awards have been made after 1st Jan 2015 at old rates, the difference will be paid to farmers as supplementary award in accordance with the new RFCT-LARRA.

Resettlement Lessons. Resettlement planning for EDFC3 has benefited from the implementation experience of EDFC1 and EDFC2. The EDFC3 corridor path was altered in view of the farmers' disagreement with the originally planned alignment based on similar experience of EDFC1. The adaptive approach to safeguards management established for EDFC1 and EDFC2 has been maintained to allow course correction in resettlement policy and practice through independent monitoring and evaluation arrangements. Some of the good practices of EDFC1 and EDFC2 continued for EDFC3 include: (i) holding wide community consultations; (ii) hiring land survey and LA facilitation consultants for demarcating impacts and for preparing land plans; (iii) regular updating of land records ensuring transfer of land titles after LA compensation payment; (iv) resolution of compensation related grievances through arbitration; (v) provision of land compensation to traditional occupiers settled on village lands (abadi deh); and (vi) holding regular monitoring and inter-agency coordination meetings with the state governments.

In response to the resettlement quality audit of January 2013, DFCCIL has taken specific measures to improve implementation quality. These include: (i) expanding the scope of jurisdiction of the district grievance mechanisms enabling them to address complaints relating to type and magnitude of land affected, and compensation awarded; (ii) ensuring payment of compensation at replacement value through arbitration; (iii) giving financial assistance to those losing livelihoods, or/ and those rendered marginal or landless farmers. A few actions agreed with DFCCIL during EDFC2 that require follow up action include: (iv) imparting job skill training to the poor, eligible, and affected youth as a part of livelihood skill building plan; and (vi) improving implementation capacity at field and SEMU levels with hiring social scientist and additional field staff.

Income Restoration. The RPF/ RAP provide for financial assistance to the affected families losing their livelihoods. Given that the affected farmers have limited skills in non-farm activities, they will require livelihood skill training support in addition to financial assistance. DFCCIL has experimented with providing job skill training to a limited number of affected youth along Eastern and Western Corridors. It has committed to prepare and implement a Skill Building Plan as a part of RAP implementation in order to strengthen income generation amongst the poor, eligible and affected youth as agreed with the Bank during EDFC2 preparation. This income generating initiative will focus on financial literacy, skill building and entrepreneurship development for the affected people, in collaboration with potential partners. DFCCIL has earmarked budget to support the initiative in the RAP for EDFC2 and EDFC3.

Gender and Social Inclusion. The RPF and RAP are socially inclusive and gender sensitive with

special R&R provisions for women, poor, artisans, small/marginal/landless farmers, and vulnerable persons. Key gender and social inclusion elements incorporated in the RPF/ RAP include: (a) collection of vulnerability data in a gender segregated manner during SIA so as to provide special R&R benefits to the affected women; (b) providing widows, single women, and women headed families with 300 days of minimum wages at current market prices as vulnerability allowance; (c) non-discrimination in enumeration of PAPs for R&R benefits amongst men and women; (d) income generation activities and livelihood skill training for the affected youth with targeting especially women and girls as beneficiaries; (e) subsistence allowance to the displaced Below Poverty Line families, house building assistance to the poor displaced families, livelihood assistance to the affected small and marginal farmers and shop keepers. The guiding principle shall be to target “vulnerable families that cannot be provided with immediate sources of income” for providing vulnerability assistance. The vulnerable families eligible for special assistance will also include aged and disabled persons irrespective of sex, if they are poor. There shall be no discrimination based on age, sex, caste or faith in offering LA compensation and R&R assistance, consistent with the Chapter-III (Fundamental Rights) of the Indian Constitution. It is proposed to carry out a gender need assessment study to understand gender related issues in the EDFC for effective gender mainstreaming.

Borrower’s Social Safeguards Management Capacity: The institutional arrangements for EDFC3 will be a continuation of the system established for EDFC1 and EDFC2. The Social and Environment Management Unit (SEMU) of DFCCIL, led a General Manager, assisted by an AGM and a Social Development Specialist, will play a coordinating role with hiring of NGOs for field-level implementation support and Social and Environment Safeguards Monitoring and Review Consultant (SESMRC) for third party monitoring and quality audit. The Chief Project Managers (CPM) will continue to operate as Chief Resettlement Officers, assisted by a number of Assistant Project Managers (Social). Given the expansion of safeguards responsibility, DFCCIL will have to enhance its implementation capacity with hiring the Social Development Specialist and additional field staff. Whereas, the SEMU has demonstrated its capacity to prepare SIA and RAP, and manage extensive land acquisition, gaps in field implementation capacity has affected effectiveness with regard to areas such as information dissemination and people’s mobilization, and resolving compensation related disputes. In this context, SEMU will need to enhance its staff capacity at the field level, and will require training and sustained technical support during the implementation period. The Bank team will assist the Ministry of Railways (MoR) to establish institutional capacity for planning, monitoring and coordinating LA and R&R activities through technical assistance and will work closely with the DFCCIL to address the above issues including through regular field visits, and training support.

Monitoring and Evaluation (M&E). Regular performance monitoring of RAP implementation will be carried out by the internal oversight mechanisms of DFCCIL, in which SEMU and the CPM office will have key roles. SEMU and the CPM office will be assisted by PMC and the facilitating NGOs. DFCCIL will hire SESMRC for third party monitoring and quality audit of LA and R&R measures. SESMRC will provide quarterly progress reports (QPR) and yearly Safeguard Review Reports for necessary follow up and any remedial action that may be required.

Independent Grievance Redress Mechanism. The GRM for EDFC3 will remain the same as for EDFC1/2. The Competent Authority for LA will be the first level for hearing and resolving objections relating to land acquisition. Independent Arbitrators will hear and redress grievances demanding higher compensation. The district level GRC will be the second level GRM, chaired by the District Collector or her/his nominees, and comprising representatives from civil society and

the district local body. DFCCIL has issued detailed guidelines, including on the scope of GRM's hearing of complaints relating to land use type, impact area, eligibility, and structure and land valuation. DFCCIL shall appoint Additional Revenue Division Commissioners as Arbitrators to resolve land compensation award related complaints. At the corporate level, the Director, DFCCIL (Project Planning) will chair the GRM and will have representatives from IR, DFCCIL, and the civil society. An Ombudsman has already been appointed to address unresolved grievances.

Grievance Redress Service of the World Bank: Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may also submit complaints to the Grievance Redress Service (GRS) established by the World Bank. The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may also submit their complaint to the WB's independent Inspection Panel, after having brought the complaint to the World Bank's attention through its GRS. Information on how to submit complaints to the World Bank's Grievance Redress Service is available at <http://www.worldbank.org/GRS>. Information on how to submit complaints to the World Bank Inspection Panel is available at www.inspectionpanel.org.

Safeguards Linkages: Concurrent to the construction of EDFC3, DFCCIL is expected to construct some ROBs/RUBs without Bank financing along the corridor. DFCCIL is taking measures to ensure that, all these activities physically connected to the project including ROBs/RUBs will comply with the requirements of EMF agreed for the project. The western Dedicated Corridor financed by JICA is not directly or significantly related to the Bank financed corridor, as this corridor is on a separate alignment spread in a different geographical zone and does not meet the lineage criteria outlined in the OP 4.12.

Risks and Mitigation Measures: The key social safeguards risks identified in the resettlement audit, quarterly independent quality reports submitted by SESMRC and the Bank implementation support mission Aide Memoires include: (i) delays in resettlement implementation due to (a) change in alignment over 111 detour stretches of the 226 km long Khurja- Pilakhni section requiring fresh notification for land acquisition, (ii) farmers' dissatisfaction with low compensation offered in some villages at older circle rates in Uttar Pradesh; (iii) slow legal process affecting early resolution of court litigations related to LA, (iv) recent changes in the legal framework for LA and R&R applicable to land compensation payment for EDFC3 after January 1, 2015, (v) income restoration of land losers; (vi) delays in payment of R&R assistance; (vii) challenges in coordinating LA process with the concerned revenue officers of the state government; (viii) poor public awareness regarding GRM established at district and DFC levels; (ix) inadequate field capacity for managing LA and R&R and absence of social scientist in the SEMU; (x) disputes regarding eligibility for compensation and R&R benefits; (xi) loss of access to local roads in affected villages adjacent to the existing railway tracks and loss of access to agricultural fields in bypass stretches and (xii) impacts on affected squatter wage laborer residents without land, marginal farmers and vulnerable groups.

The above risks will be mitigated through the following key steps:

- Updating the RAP with guidelines for providing compensation at replacement value and R&R assistance to various PAP categories as per their entitlements.
- Commitment to prepare and implement Livelihood Skill Building Plan focusing on job skill training, financial literacy and entrepreneurship development as income generation support measures as per the RAP.
- Hiring NGOs to assist in verifying R&R eligibility through community consultations and

assisting with R&R benefit distribution.

- Holding regular meetings with the state governments for effective coordination with competent authorities and Arbitrators to resolve compensation issues.
- Wider dissemination of entitlements/ GRM through NGOs and using other technology platforms.
- Expanding DFCCIL staff capacity in the field with deploying community mobilizers.
- Resolving eligibility disputes through proactive efforts by GRM and NGOs.
- Provision of minimum 3-meter wide service roads along railway tracks at habitations.
- Livelihood assistance for landless/ marginal farmers, displaced wage laborers and self- employed people as per the entitlements matrix.
- Third Party R&R Monitoring and Quality Review through independent consultants.
- Award of contract and site hand over with clear linkage to progress in LA and R&R.
- Follow up stakeholder consultations by NGOs during implementation.
- Undertaking impact evaluations during the implementation phase.

Any emerging risks will be addressed based on the reports received from the SESMRC.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

The key elements of DFCCIL's citizen engagement strategy include: (i) consultations with the affected people during project planning and implementation, (ii) information disclosure and dissemination, (iii) grievance redress mechanisms, and (iv) people's feedback on R&R implementation through third party monitoring (SESMRC).

Stakeholder Consultations: Primary stakeholders for EDFC3 include farmers losing land, owner and squatter households losing residence and business, general public that may be affected by the relocation of community properties, and people exposed to the likely temporary impacts. Secondary stakeholders include the ministry of railways, DFCCIL, the concerned state government, other government departments/agencies including forests and environment, etc. To understand the people's views and concerns, a total of 71 community consultations covering 138 villages were held for preparing the RAP and EMP for Pilakhni-Sahnewal section during December 2012 to April 2013. About 21 consultations have been held for preparing the first draft of the RAP and EA for the for Khurja-Pilakhni section. More follow up consultations will be held before finalizing the RAP and EA and also during the implementation process. Key issues discussed during the consultations include: (a) likely damage to structures due to faster freight trains, (b) jobs for land losers; (b) payment of compensation at latest rates; (c) need to replace damaged assets such as water pipelines; (d) difficulties with updating land records; (e) livelihood assistance for those losing most of their land; (f) loss of religious properties; and (g) provision for underpasses, (h) provision of resettlement plots for the displaced by the village assembly (Gram Sabha), etc. DFCCIL is carrying out follow up consultations with the help of field staff and consultants hired to carry out SIA. DFCCIL will continue to hold community consultations as a part of the land acquisition process with the help of field staff and NGOs hired to provide implementation support at the field level.

Disclosure: The EA/ EMP and RAP (Pilakhni-Sahnewal) and draft updated RPF for EDFC3 has been disclosed on the DFCCIL website and at the World Bank Info-shop on January 27, 2015. The EA and RAP summary have also been translated to Hindi and disclosed locally. The list of PAPs eligible for different R&R benefits will be disclosed at the village and panchayat levels. DFCCIL will disseminate project information brochures amongst the PAPs in villages explaining their entitlements and contact details of GRM. DFCCIL has disclosed EA / EMP, and RAP for

Pilakhni-Sahnewal, will disclose the approved RPF prior to Negotiations, and will prepare and disclose the Draft EA / EMP, and Draft RAP for the Khurja-Pilakhni section before the Board presentation.

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other	
Date of receipt by the Bank	25-Jan-2015
Date of submission to InfoShop	27-Jan-2015
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	00000000
"In country" Disclosure	
India	25-Jan-2015
<i>Comments:</i>	
Resettlement Action Plan/Framework/Policy Process	
Date of receipt by the Bank	25-Jan-2015
Date of submission to InfoShop	27-Jan-2015
"In country" Disclosure	
India	25-Jan-2015
<i>Comments:</i>	
If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.	
If in-country disclosure of any of the above documents is not expected, please explain why:	

C. Compliance Monitoring Indicators at the Corporate Level

OP/BP/GP 4.01 - Environment Assessment	
Does the project require a stand-alone EA (including EMP) report?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
OP/BP 4.11 - Physical Cultural Resources	
Does the EA include adequate measures related to cultural property?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
OP/BP 4.12 - Involuntary Resettlement	
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]

OP/BP 4.36 - Forests	
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes [<input type="checkbox"/>] No [<input checked="" type="checkbox"/>] NA [<input type="checkbox"/>]
Does the project design include satisfactory measures to overcome these constraints?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?	Yes [<input type="checkbox"/>] No [<input checked="" type="checkbox"/>] NA [<input type="checkbox"/>]
The World Bank Policy on Disclosure of Information	
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
All Safeguard Policies	
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have costs related to safeguard policy measures been included in the project cost?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [<input type="checkbox"/>] No [<input checked="" type="checkbox"/>] NA [<input type="checkbox"/>]

III. APPROVALS

Task Team Leader(s):	Name: Benedictus Eijbergen, Atul Agarwal	
Approved By		
Safeguards Advisor:	Name: Zia Al Jalaly (SA)	Date: 23-Apr-2015
Practice Manager/ Manager:	Name: Karla Gonzalez Carvajal (PMGR)	Date: 28-Apr-2015