

PROJECT INFORMATION DOCUMENT (PID) CONCEPT STAGE

Report No.: PIDC2299

Project Name	UP CORE ROAD NETWORK DEVELOPMENT PROGRAM (P147864)
Region	SOUTH ASIA
Country	India
Sector(s)	Rural and Inter-Urban Roads and Highways (100%)
Theme(s)	Rural services and infrastructure (92%), Pollution management and environmental health (2%), Other social development (2%), Trade facilitation and market access (2%), Injuries and non-communicable diseases (2%)
Lending Instrument	Investment Project Financing
Project ID	P147864
Borrower(s)	Department of Economic Affairs
Implementing Agency	UP-PWD
Environmental Category	A-Full Assessment
Date PID Prepared/ Updated	22-Nov-2013
Date PID Approved/ Disclosed	22-Nov-2013
Estimated Date of Appraisal Completion	
Estimated Date of Board Approval	29-May-2015
Concept Review Decision	Track II - The review did authorize the preparation to continue

I. Introduction and Context

Country Context

1. Uttar Pradesh (UP) is one of the largest states in India, and with a population of nearly 200 million people, it is the country's most populous state.
2. During the 11th Five Year Plan period (FY2006/07 – FY2011/12), UP grew at roughly 7.5-8 percent, despite the 2008-09 global slowdown and 'double dip' recession in 2012. However, UP growth performance continues to lag behind the India average. The gap between the average per capita income in UP and the rest of India continues to widen. UP's fiscal situation has steadily improved since the early 2000s and the primary balance has transitioned from deficit into a surplus, despite the negative revenue shock and the fiscal stimulus introduced at the onset of the global crisis. It is predominantly a rural state and the agriculture contributes to the growth more than any

other sector (about 30 percent).

3. Acceleration in growth and improved fiscal situation has not effectively translated into lifting people out of poverty. UP remains home to the largest number of poor in India and poverty has not been falling as rapidly as in other parts of the country. More than 33 percent of UP residents live below the poverty line which contributes more than one-fifth to the total number of poor in India. While remaining largely unchanged in rural areas, inequality has risen sharply in urban areas.

Sectoral and Institutional Context

4. Demand for road transport has been continuously increasing in the state. The number of annually registered vehicles in the state has increased at an average annual rate of about 10% since 2001. As of 2012, there were about 1.7 million vehicles registered in the state.

5. UP has about 300,000 km of road network, the largest in country after Maharashtra. The state Public Works Department (PWD) manages about 175,000 km (58%) of total network, while the remaining roads are managed by other state departments. The PWD network comprises of National Highways (NH) (4%), State Highways (SH) (4.5%), Major District Roads (MDR) (4%) and Other District Roads (ODR) /Village Roads (VR) (88%). About 40% of this network is in poor to very poor condition and congested.

6. India has the dubious distinction of leading the world in road accident fatalities. In 2012, there were more than 138,000 people killed on the roads, implying that about 378 lives are being lost every day in India due to road accidents . Uttar Pradesh together with Tamil Nadu has been the largest contributor to the total number of road crash deaths in the country (11.7 percent each), followed by Andhra Pradesh (10.8), Maharashtra (9.6) and Rajasthan (6.9). A total of 22,155 people were injured and 16,149 killed on UP roads in 2012, of which 73 percent died on national and state highways (less than 9 percent of the road network) . Almost 50 percent of the people killed on UP roads belong to vulnerable groups of road users (pedestrians, bicyclists and two-wheelers).

Relationship to CAS

7. The proposed project is fully aligned with the World Bank's new Country Partnership Strategy (CPS) for India (2013-17) , which aims to support poverty reduction and shared prosperity in India with a focus on low income states. The project will contribute to this objective by focusing on UP, one of the low-income states. Three areas of engagement under the new CPS are integration, transformation and inclusion, and the project will support them through improved transport connectivity with upgraded highways, strengthening institutions, enhancing accountability and building capacity in road agencies in UP, and providing access to markets and social services to the population living in the project areas.

II. Proposed Development Objective(s)

Proposed Development Objective(s) (From PCN)

The Proposed Project Development Objective is to – (i) improve quality, safety and sustainability of targeted state highway corridors and; (ii) to introduce better Road Management Practices.

Key Results (From PCN)

Following indicators are proposed to be used to measure success in achieving project development objectives.

- Roads in good and fair condition as a share of CRN (core indicator)
- Reduction in road crash deaths on targeted corridors
- Asset Value (Replacement Cost)/Unit Maintenance Costs - Preservation of Asset Value for targeted corridors indicating better post-construction maintenance and sustainability.
- Institutionalizing a Road Asset Management System (RAMS) as key tool in planning and budgeting for road development and maintenance works in a PWD division.

III. Preliminary Description

Concept Description

The project shall have four components: (1) Civil Works; (2) Road Sector and Institutional Reform; (3) Road Safety; and (4) Contingent Emergency Response. Following paragraphs depicts how these components would contribute in meeting the development objective and outcome.

Component 1 Civil Works The project envisages rehabilitation of about 1200 km and upgrading of about 700 km of roads. During the project preparation, civil works for high priority roads amounting to 30% of total project costs would be identified, prepared and awarded by the time of loan negotiation to meet the key readiness requirement. A road selection framework would be agreed, early into project preparation, to select roads for remaining 70% of project costs. Collaboration with IFC and MIGA would also be explored for potential PPP investments. The Bank funded project shall also introduce use of e-tools/e-procurement in procurement and contract/program management.

Project specific Environmental and Social Management Framework (ESMF), Land Acquisition, Resettlement and Rehabilitation Policy will be prepared based on World Bank Safeguard Policies and applicable GoI and State's Acts/Policies/Guidelines. The project will ensure proactive disclosure and sharing of information with the key stakeholders, including the affected persons / communities and will have a communication strategy focusing on efficient and effective usage of print and electronic media, bill boards, posters, wall writing, and adoption of any other method suiting local contexts. An integrated Grievance Redress Mechanism (GRM) will be established for the project to address complaints using various mediums (e.g. a dedicated, toll free phone line, web based complaints, written complaints and open public days) and address them in a time bound manner.

Component 2 Road Sector and Institutional Reform (RSIR)

The component would introduce better road management practice in PWD contributing to sustainability of investments. The component would build upon recommendations made in the institutional development component of the UPSRP and the subsequent work done by the cells established therein. The management oversight and implementation arrangement of this component would be reviewed and improved, building upon the lessons learned from ICR of UPSRP. The proposed activities are:

- Finalization and adoption of Road Sector Vision, Policy and Master plan for Core Road Network Development;
- Implementation of an IT-Based Management Information System (MIS);
- Establishment of a Quality Management System (QMS) in PWD;
- Operationalization of Road Asset Management System (RAMS), integrated with Geographic Information System database ; and
- Introduction of performance monitoring in PWD.

- Establishment of a Human Resource Development (HRD) Program and construction of Training Centre;

Component 3 Road Safety

On September 5, 2013, a committee chaired by the Chief Secretary met to follow up on road safety management issues raised at the High-Level Workshop on Road Safety Improvements in Uttar Pradesh, held on July 6, 2013 with the support of the Bank and decided to prepare a cabinet note for: (i) finalization of the State Road Safety Policy, (ii) the reorganization of the Road Safety Council (iii) the constitution of a high-level committee to implement Council decisions and directions, (iv) the creation of a road safety cell hosted by the Transport Department to serve as a secretariat to the Council and (v) a review of the road safety fund and its functions and governance arrangements within three months. The Transport Department has been entrusted the responsibility to prepare this note.

Proposed initiatives, as described in paragraph above, provide an excellent opportunity for the Bank to support GoUP in achieving reduction in fatalities through a multi-sector Road Safety component. This component would be designed around the five pillars of UN Decade of Action for Road Safety (2011-2020) - Road Safety Management; Safer Roads & Mobility; Safer Vehicles; Safer Road Users and; Post Crash Response. Based on the detailed accident data analysis during the project preparation, interventions would be identified in each of the five pillars involving the relevant department(s) (i.e. Transport, Health, Police, PWD and Education).

Component 4 Contingent Emergency Response Component (CERC).

Uttar Pradesh has been plagued by various natural disasters such as floods, drought, fire, epidemics, earthquake, causing severe damage to life and property and thus adversely affecting normal life. Out of 71 districts, 30 are highly prone to floods while drought is a regular phenomenon in Vidhyanchal and Bundelkhand region. Similar is the case with epidemics. The component would ensure that once a disaster is triggered, funds can be quickly allocated to this component as per exceptions set out in OP 10.0.

Project specific Environmental and Social Management Framework (ESMF), Land Acquisition and Resettlement and Rehabilitation Policy will be prepared based on World Bank Safeguard Policies and the applicable GoI and State's Acts/Policies/Guidelines.

The ESMF shall include methodology and format for social/environment screening of each road; corridor specific detailed Social Impact assessment (SIA); Environmental Impact Assessment (EIA); development of action plans such as for Natural Habitats and Cultural Resources, wherever required; Resettlement Action Plan (RAP) and Environmental Management Plan (EMP); resettlement policy framework (RPF); consultation framework; framework for preparing indigenous peoples development plan (IPDP); framework for preparing gender action plan (GAP); monitoring indicators and evaluation process; and institutional arrangement for implementation of EMP and RAP

An integrated Grievance Redress Mechanism (GRM) will be established for the project to address complaints using various media (e.g. a dedicated, toll-free phone line, web-based complaints, written complaints and open public days) and address them in a time-bound manner.

The project will ensure proactive disclosure and sharing of information with the key stakeholders,

including the affected persons/communities and will have a communication strategy focusing on efficient and effective usage of print and electronic media, billboards, posters, wall writing, and adoption of any other method suiting local contexts.

IV. Safeguard Policies that might apply

Safeguard Policies Triggered by the Project	Yes	No	TBD
Environmental Assessment OP/BP 4.01	x		
Natural Habitats OP/BP 4.04	x		
Forests OP/BP 4.36	x		
Pest Management OP 4.09		x	
Physical Cultural Resources OP/BP 4.11	x		
Indigenous Peoples OP/BP 4.10			x
Involuntary Resettlement OP/BP 4.12	x		
Safety of Dams OP/BP 4.37			x
Projects on International Waterways OP/BP 7.50		x	
Projects in Disputed Areas OP/BP 7.60		x	

V. Financing (in USD Million)

Total Project Cost:	570.00	Total Bank Financing:	400.00
Financing Gap:	0.00		
Financing Source			Amount
Borrower			170.00
International Bank for Reconstruction and Development			400.00
Total			570.00

VI. Contact point

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