

**Tamil Nadu Sustainable Urban Development Project (TNSUDP)
Environmental and Social Management Framework
(ESMF)**

(Approved by the Government of Tamil Nadu vide G.O. (Ms) No.44, Municipal Administration
and Water Supply Department, Dated 05.03.2015)

VOLUME- I FRAMEWORK

MARCH 2015

Tamil Nadu Urban Infrastructure Financial Services Limited

TNUIFSL

ACRONYMS

AMC	Asset Management Company
ARAP	Abbreviated Resettlement Action Plan
BP	Bank Procedures
BPL	Below Poverty Line
CC	Climate Change
CMA	Commissionerate of Municipal Administration
CMD	Chairperson & Managing Director
CMWSSB	Chennai Metropolitan Water Supply and Sewerage Board
CoC	Corporation of Chennai
CoI	Corridor of Impact
CPR	Common Property Resource
CRZ	Coastal Regulation Zone
DTP	Directorate of Town Panchayats
DPR	Detailed Project Report
E&S	Environmental and Social
EAP	Externally Aided Project
EAR	Environmental Assessment Report
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
ESAR	Environmental and Social Assessment Report
ESF	Environmental and Social Framework
ESR	Environmental and Social Report
ESMF	Environmental and Social Management Framework
ESSM	Environmental and Social Safeguards Manager
FI	Financial Institution
GF	Grant Fund
GOI	Government Of India
GoTN	Government of Tamil Nadu
GRC	Grievance Redressal Committee
HDFC	Housing Development Finance Corporation
HH	Household
IA	Implementing Agency
ICICI	Industrial Credit and Investment Corporation of India Limited
IDA	International Development Agency
IL&FS	Infrastructure Leasing and Financial Services Limited
ISR	Initial Screening Report
MA	Multilateral Agencies
MA&WS	Municipal Administration and Water Supply
MoEFCC	Ministry of Environment, Forests & Climate Change
MRTS	Mass Rapid Transport System
MSWM	Municipal Solid Waste Management
MUDF	Municipal Urban Development Fund

NGO	Non Governmental Organization
OD	Operational Directives
OP	Operational Policies
PAF	Project Affected Family
PAP	Project Affected Person
PIA	Project implementation Agency
PMC	Project Management Consultant
PMG	Project Management Group
PMU	Project Management Unit
PPP	Public Private Partnership
PWD	Public Works Department
R&R	Resettlement and Rehabilitation
RMP	Risk Management Plan
ROB	Road Over Bridge
ROW	Right of Way
RP/RAP	Resettlement Plan/ Resettlement Action Plan
	Right To Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement
RTFCTLARR	
RUB	Road Under Bridge
SAR	Social Assessment Report
SEC	Sensitive Environmental Components
SMIF	Sustainable Municipal Infrastructure Financing
SIA	Social Impact Assessment
SSR	Social Status Report
STP	Sewage Treatment Plant
SWD	Storm Water Drains
SWM	Solid Waste Management
TC	Trustee Company
TN	Tamil Nadu
TNPCB	Tamil Nadu Pollution Control Board
TNSCB	Tamil Nadu Slum Clearance Board
TNUDF	Tamil Nadu Urban Development Fund
TNUDP	Tamil Nadu Urban Development Project
TNUIFSL	Tamil Nadu Urban Infrastructure Financial Services Limited
TNUIP	Tamil Nadu Urban Infrastructure Project
TNSUDP	Tamil Nadu Sustainable Urban Development Project
TOR	Terms of Reference
TRAMP	Traffic and Transport Program
TTRO	Tertiary Treatment and Reverse Osmosis
TWADB	Tamil Nadu Water Supply and Drainage Board
ULB	Urban Local Body
WB	World Bank
WTP	Water Treatment Plant

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No.	Title
Document-1	ENVIRONMENTAL SCREENING FORM
Document-2	SOCIAL SCREENING FORM
Document-3	TERMS OF REFERENCE TO PREPARE ENVIRONMENTAL ASSESSMENT REPORT FOR E I PROJECTS
Document-4	GUIDANCE FOR APPLICABLE ENVIRONMENTAL LEGISLATIONS
Document-5	SAMPLE ENVIRONMENTAL MANAGEMENT PLAN FOR E 2 CATEGORY PROJECTS
	1. GENERIC ENVIRONMENTAL MANAGEMENT PLAN FOR WATER SUPPLY PROJECTS
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	3. GENERIC ENVIRONMENTAL MANAGEMENT PLAN FOR ROAD PROJECTS.
	4. SAMPLE ENVIRONMENTAL MANAGEMENT PLAN FOR SOLID WASTE MANAGEMENT AND DISPOSAL
	5. SAMPLE ENVIRONMENTAL MANAGEMENT PLAN FOR STORM WATER DRAIN PROJECT
Document-6	SOCIAL IMPACT ASSESSMENT REPORT OUTLINE
Document-7	SOCIAL MANAGEMENT PLAN FOR S2 PROJECTS
Document-8	TERMS OF REFERENCE FOR ENVIRONMENTAL, AND SOCIAL SAFEGUARD MANAGER
Document-9	TERMS OF REFERENCE FOR ENVIRONMENTAL, AND SOCIAL AUDIT
Document-10	GUIDELINES FOR SELECTION OF SITES FOR VARIOUS URBAN INFRASTRUCTURE FACILITIES
Document-11	PUBLIC CONSULTATION AND CONSENSUS BUILDING PROCESS
Document-12	GRIEVANCE REDRESSAL
Document-13	MODEL FORMAT FOR PREPERATION OF ESMF COMPLIANCE REPORT

EXECUTIVE SUMMARY

BACKGROUND

TNSUDP:

1.0 The World Bank has had a long partnership with the Government of Tamil Nadu (GoTN) in the area of urban development starting from the 1980s with Chennai centered MUDP-I & II and Tamil Nadu Urban Development Project (TNUDP-II & III). These projects, in addition to creation of infrastructure assets, have influenced reforms in urban sector as well as build new institutions such as the Tamil Nadu Urban Development Fund (TNUDF), a Trust established to fund urban infrastructure projects in Tamil Nadu. The Tamil Nadu Urban Infrastructure Financial Services (TNUIFSL) is the Fund Manager of TNUDF. The Bank funded projects have been going hand-in-hand with urban sector reforms in the state where Tamil Nadu has been one of the leading states In India. In continuation to this, it is proposed to implement urban infrastructure projects under “Tamil Nadu Sustainable Urban Development Project (TNSUDP)” with the aid of the World Bank with a total outlay of about USD 600 M.

2.0 The Project Development Objective (PDO) for the proposed TNSUDP is “to demonstrate improved urban management practices and to improve urban services in participating Urban Local Bodies (ULBs) in a financially sustainable manner”. The project will have three components viz., 1. Model City Component; 2. Urban Investment Component and 3. Urban Sector Technical Assistance (TA) Component. The main objective of model city component is to demonstrate new models of urban management with a focus on building strong governance and financial sustainability at the ULB level. The main objective of urban investment component is to help participating ULBs improve urban services with an emphasis on the urban environment. This has three sub components viz., loans and grants to ULBs, credit enhancement and TA. The main objectives of urban sector TA component are to improve institutional strengthening, municipal e-governance, project preparation and management.

ENVIRONMENTAL AND SOCIAL POLICY OF TNUDF:

3.0 The Policy of TNUDF is to promote the principles of Environmental sustainability and Social relevance in the projects funded by TNUDF.

ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK:

4.0 TNUIFSL has reflected its commitments to the environmental and social policy of TNUDF, through Environmental and Social Framework (ESF) as approved by the Government of Tamil Nadu during the year 2006 for the projects that it finances. The ESF document has now been revised and updated based on the provisions of new Acts, Legislations, revisions in the Operational Policies of the World Bank, besides the experience and lessons learnt while implementing TNUDP-III. The revised framework is now named as Environmental and Social Management Framework (ESMF) and will now be applicable to the proposed Tamil Nadu Sustainable Urban Development Project (TNSUDP).

5.0 The ESMF has two volumes which outline the policies, assessments and procedures that will enable TNUDF to ensure that subprojects that it funds under TNSUDP are developed in

accordance with ESMF and are adequately protected from associated risks. The ESMF also aims to sensitise borrowers in the assessment and management of environmental and social issues arising in urban infrastructure projects.

ENVIRONMENTAL SAFEGUARD FRAMEWORK:

6.0 Regulatory Framework: The National and state level environmental laws and the Operational Policies of the World Bank are applicable to TNUIFSL financed projects. The most important of the applicable laws are Water (Prevention And Control of Pollution) Act, 1974, Tamil Nadu Water (Prevention And Control of Pollution) Rules, 1974, The Water (Prevention And Control of Pollution) Cess Act, 1977, Forest (Conservation) Act, 1980, Air (Prevention and Control of Pollution) Act 1981, Coastal Regulation Zone (CRZ) Notification, 2011 (S.O.19(E), dt. 06/01/2011, EIA Notification, 2006 (S.O.1533(E), dt.14/09/2006) etc and the World Bank OP 4.01 Environmental Assessment, OP 4.04 Natural Habitats, OP 4.11 Physical Cultural Resources and OP 4.36 Forests.

7.0 ENVIRONMENTAL CATEGORISATION OF PROJECTS: The urban infrastructure projects are expected to improve general living standards within urban localities. However depending on the location and the nature of project activities , these projects will have varying impacts on urban environment. A Storm water drainage project project may impact the recipient waterbody, cause flooding near confluence points, and also affect the groundwater recharge. Similarly, an underground sewerage scheme may cause impact due to disposal of treated effluent and sludge, a water supply project may be associated with over exploitation of water resources and downstream users, and disposal of sludge etc and so on. Hence, to address the issues from infrastructure projects, TNUIFSL has categorized the projects into different categories – E1, E2 and E3 linked to severity of impacts and regulatory requirements. E1 projects require project specific EA by an independent agency, E2 projects require project specific EA as part of DPR and E3 projects require only Generic EMP. Sample environmental management plans for different types of infrastructure projects are provided in the Volume II for guidance which shall be made project specific during EA preparation.

SOCIAL SAFEGUARD FRAMEWORK

Key Principles of Social Safeguard Framework: The basic objective of the social safeguards policy is to mitigate the social adverse impact to the population affected by the project implementation. This policy also emphasizes that the involuntary resettlement will be avoided and minimized by exploring different options. The ESMF bridges the gap between the World Bank's Policy on Involuntary Resettlement and RTFCTLARR Act 2013. The broad categories of the economic and social impacts that would be mitigated are:

- a) Loss of Land and Assets
- b) Loss of Shelter or homestead lands,
- c) Loss of income or means of livelihood
- d) Loss of access to productive resources, shelter/residences
- e) Loss of collective impacts on groups such as loss of community assets, common property resources and others.

8.0 REGULATORY FRAMEWORK: The relevant national and state level laws are The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act 2013, The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014, The Scheduled Tribes and other Traditional Forest Dwellers(Recognition of Forest Rights) Act, 2006, Right to Information Act, 2005 and the World Bank Operational Policies include, OP 4.12 Involuntary Resettlement and World Bank Policy on Access to Information and Disclosure.

9.0 SOCIAL CATEGORISATION OF PROJECTS: TNUIFSL has categorized the projects into three categories namely S1, S2 and S3 based on the severity of impacts. Entitlement matrix provides for different impact categories viz. loss of Land, Residential Structures, commercial structures, Community Assets, Impact to title holders, tenants and leaseholders, non-title holders, Loss of Livelihoods, Impacts to Vulnerable Households, and Unidentified impacts and is in accordance with The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act 2013 and OP 4.12 of the World Bank.

ESMF ADOPTION FRAMEWORK:

10.0 ESMF will be adopted in both preparation of projects under Technical Assistance and implementation of projects.

11.0 **Project Preparation:** EA/SIA shall be prepared while preparing the DPR. Draft reports shall be forwarded to World Bank for approval and the final version of EA/SIA and EMP and RAPs reports in English with a non-technical summary in Tamil, shall be disclosed in the websites of the ULBs/relevant departments and TNUIFSL and will be made available in places accessible to the local people.

Project Appraisal:

- a. The projects shall be screened by TNUIFSL for Environmental and Social impacts and accordingly environmental and social category of the project is determined. EA/SIA, LA/R&R budget, compliance with ESMF etc shall be the borrowers' responsibility.
- b. Prior to award of contracts, the borrowers shall submit the Readiness Certificate certified by the borrower fulfilling the requirements of Social Safeguards.
- c. Borrowers will ensure implementation of ESMF during respective stages and TNUIFSL monitors all projects that it finances to ensure conformity to standards.
- d. Monitoring of Environmental and Social components by TNUIFSL will be carried out through environmental and social compliance reports submitted by the borrower/ PIA and through field visits.

12. **ESMF Audit:** TNUIFSL will undertake annual audits to review the status of ESMF compliance of all E-1/S1 projects and sample E2/S2 projects. The audit will be carried out during June-July of every year for the activities completed until previous financial year. The draft report shall be forwarded to the World Bank by September 30 and upon approval the final audit report will be disclosed.

INSTITUTIONAL FRAMEWORK

13.0 **TNUIFSL:** TNUIFSL has two Environmental and Social Safeguard Managers (One Environment and one Social) and the outline TOR for these two Managers in the context of TNSUDP is described in Document-8 in Volume II. TNUIFSL will supervise and monitor implementation of environmental and social safeguards for all sub-projects under TNSUDP as per this ESMF through Environmental and Social Safeguard Managers.

14.0 **Borrowers and Implementing Agencies:** CMA and PIA will have dedicated environmental and social experts with appropriate qualification and experience for coordinating with Urban Local Bodies for ensuring ESMF compliance and submit the relevant documents/ monthly reports to TNUIFSL.

15.0 COC/ PMC will have dedicated Environmental & Social experts with appropriate qualification and experience for ensuring ESMF compliance in project implementation and submit relevant documents/ monthly reports to TNUIFSL.

16.0 **Capacity Building: It has been proposed to appoint dedicated environmental and social experts with appropriate qualification and experience in CMA, , Corporation of Chennai and in implementing agencies/PMC for ensuring ESMF compliance.** TNUIFSL envisages capacity building on environmental and social safeguards, technical aspects etc for its borrowers, by organising annual sensitization programs, workshops, training programs, etc in co-ordination with training institutions experienced in various aspects of urban infrastructure projects and World Bank.

17.0 TNUIFSL also proposes enhancing capacity of staffs and ESS managers through orientation programs, trainings, exposure visits to similar projects implemented, courses and participation in both national and international training courses and seminars/workshops, etc.

18.0 The proposed capacity building activities will be supported through appropriate Technical Assistance of TNSUDP.

Outcome of Stakeholders Workshop and Disclosure:

19.0 A stakeholders' workshop on the Draft ESMF was organized by TNUIFSL. During the workshop, the stakeholders appreciated the provision of entitlement to non-title holders also and expressed their overall satisfaction on the provisions of ESMF document.

20.0 **Public Disclosure:** The Draft ESMF was disclosed in the websites of the TNUIFSL & CMA and no comments were received.

SECTION 1 INTRODUCTION

BACKGROUND

- 1.0 The Tamil Nadu Urban Infrastructure Financial Services Limited (TNUIFSL) is the fund manager of Tamil Nadu Urban Development Fund (TNUDF), a Trust established to fund urban infrastructure projects in Tamil Nadu. The deployment of funds will be on the basis of a management contract. Eligible borrowers include Urban Local Bodies (ULBs), Statutory Boards, Public Undertakings and potential Private Investors.
- 2.0 The World Bank has had a long partnership with the Government of Tamil Nadu (GoTN) in the area of urban development starting from the 1980s with Chennai centered MUDP-I & II with the Tamil Nadu Urban Development Project (TNUDP-II & III).
- 3.0 These projects, in addition to creation of infrastructure assets, have influenced reforms in urban sector as well as build new institutions such as the Tamil Nadu Urban Development Fund (TNUDF). These projects have been going hand-in-hand with urban sector reforms in the state where TN has been one of the leading states In India.
- 4.0 The MUDP and TNUDP II and III have achieved great milestones in urban development in Tamil Nadu and it has taken path breaking steps in terms of providing financial innovations which have formed basis of policy formation even for the Government of India. The infrastructure projects have also been done with innovations in terms of financial viability, project structuring and sustainability. Now, the urban sector of the State is in a stage where it is mature enough to be catapulted to the next level of urban innovation.
- 5.0 While ensuring financial and technological viability, it may be imperative to have environmental sustainability also. With this in view, the objectives of the proposed Tamil Nadu Sustainable Urban Development Project (TNSUDP) would be to build upon the past achievements of TNUDP series of projects and take forward urban reforms and innovative financing mechanisms in the State.
- 6.0 The TNUDF throughout the implementation of MUDP and TNUDP II and III, promoted Environmentally and Socially sustainable urban infrastructures projects besides technical and financial sustainability. The environmental and social safeguards are managed through frameworks such Environment and Social Report (ESR) and Environmental and Social Framework (ESF) for TNUDP-III. In continuation, Environmental and Social Management Framework (ESMF) has been formulated specifically for the proposed Tamil Nadu Sustainable Urban Development Project (TNSUDP).

PROPOSED TNSUDP

- 7.0 The Project Development Objective (PDO) for the proposed TNSUDP is “to demonstrate improved urban management practices and to improve urban services in participating Urban Local Bodies (ULBs) in a financially sustainable manner”. The project will have three components viz., 1. Model City Component; 2 Urban Investment Component and 3. Urban Sector Technical Assistance (TA) Component. The main objective of model city component is to demonstrate new models of urban management with a focus on building strong

governance and financial sustainability at the ULB level. The main objective of urban investment component is to help participating ULBs improve urban services with an emphasis on the urban environment. This has three sub components viz., loans and grants to ULBs, credit enhancement and TA. The main objectives of urban sector TA component are to improve institutional strengthening, municipal e-governance, project preparation and management.

8.0 Applicability of ESMF to TNSUDP project components

8.1 Model City Component: The provisions and process of ESMF will be taken into consideration for any physical activities to be undertaken under eligible expenditure and also factor safeguard dimensions in the preparation of development plans.

8.2 Credit Enhancement Component: Social and Environmental safeguards in green-field sub-project(s) transactions to be consistent with TNSUDP ESMF. For refinancing transactions, there would be screening and due diligence done to confirm there are no outstanding issues from the then applicable ESMF at the time of its implementation.

ENVIRONMENTAL AND SOCIAL POLICY OF TNUDF

9.0 TNUIFSL has adopted the Environmental and Social Policy of the TNUDF in 1997 to promote environmentally & socially sustainable and commercially viable urban infrastructure projects which will improve the standard of living of the people in and around the project locations. The Policy of TNUDF commits all projects to promote the following principles.

- ❖ 8.1 Environmental sustainability by minimizing release of polluting wastes, ensuring quality life in urban environment, conserving natural resources, preserving bio-diversity and ecological equilibrium; and integrating mechanisms within projects to maintain and enhance environmental quality of project locations.
- ❖ 8.2 Social relevance by
 - a. Addressing legitimate concerns of relevant stakeholders, especially project affected persons irrespective of their legal rights.
 - b. Avoiding or minimizing resettlement and rehabilitation due to land acquisition and transfer of government land under different tenure system through appropriate technical and management measures
 - c. Ensuring appropriate resettlement and rehabilitation of project affected persons irrespective of legal status with a view to provide sustainable livelihood options that enable the affected people to improve or at least restore their standard of living in the post impact period.
 - d. Protecting marginalized and vulnerable groups, including the economically and socially disadvantaged people through additional support; and,
 - e. Minimizing health and safety hazards

10.0 While adopting the environmental and social policy for TNSUDP, TNUIFSL has reflected its commitments through Environmental and Social Framework (ESF) as approved by the Government of Tamil Nadu during the year 2006 for the projects that it finances. The ESF

document has now been revised and updated based on the provisions of new Acts, Legislations, revisions in the Operational Policies of the World Bank, besides the experience and lessons learnt while implementing TNUDP-III and will now be applicable to the proposed Tamil Nadu Sustainable Urban Development Project (TNSUDP). The revised ESF is renamed as Environmental and Social Management Framework (ESMF).

SECTION 2 ENVIRONMENTAL SAFEGUARDS FRAMEWORK

11.0 The environmental safeguards framework aims at incorporating environmental considerations into the project design and development process and makes the projects as a whole sustainable. The policy objective is that all the environmental issues and impacts possible from the project are mitigated and adequately addressed in the project components and be in compliance to the applicable legislations and regulations.

REGULATORY FRAMEWORK - ENVIRONMENT

12.0 Some of the important environmental legislations in India and safeguard requirements for the different categories applicable to urban infrastructure projects implemented by participating ULBs include the following.

National Regulations:

- Wildlife Protection Act, 1972
- Water (Prevention And Control of Pollution) Act, 1974 and Tamil Nadu Water (Prevention And Control of Pollution) Rules, 1974
- The Water (Prevention And Control of Pollution) Cess Act, 1977
- Forest (Conservation) Act, 1980
- Air (Prevention and Control of Pollution) Act 1981 and Tamil Nadu Air (Prevention of Control of Pollution) Rules 1983
- Environment (Protection) Act, 1986
- Manufacture, Storage and Import of Hazardous Chemicals Rules, 1989
- Hazardous Waste (Management, Handling and Transboundary Movement) Rules, 2008
- Public Liability Insurance Act, 1991
- The National Environment Tribunal Act, 1995
- Bio Medical Waste (Management & Handling) Rules 1998
- Municipal Solid waste (Management & Handling) Rules 2000
- The Noise Pollution (Regulation and Control) Rules, 2000
- EIA Notification, 2006 (S.O.1533(E), dt.14/09/2006)
- Wetlands (Conservation and Management) Rules, 2010
- The National Green Tribunal Act, 2010
- E-Waste (Management and Handling) Rules, 2010
- Coastal Regulation Zone (CRZ) Notification, 2011 (S.O.19(E), dt. 06/01/2011)
- Plastic waste (Management & handling) Rules 2011
- Prohibition of Employment as Manual Scavengers' and their Rehabilitation Bill 2012

State Regulations:

- The Tamil Nadu Hill Areas (Preservation of Trees) Act, 1955
- Chennai Metropolitan Area Ground water (Regulation) Amendment Act, 2002

World Bank Operational Policies

- OP 4.01 Environmental Assessment
- OP 4.04 Natural Habitats

- OP 4.11 Physical Cultural Resources
- OP 4.36 Forests

Table 1: Relevance of Applicable Environmental Regulations to TNUDF projects

S.No	ACTS	Relevance to TNUDF Projects
	NATIONAL	
1.	Wildlife Protection Act, 1972	This Act seeks to protect wildlife, by creating protected areas and controlling trade in wildlife products. Project activities that cross over into protected area regimes then requisite permission must be obtained.
2.	Water (Prevention And Control of Pollution) Act, 1974 and Tamil Nadu Water (Prevention And Control of Pollution) Rules, 1974	These laws seek to control pollution of water and enhance the quality of water. Under this law, it is mandatory to obtain consent for discharge of effluents and pay consent fees to Tamil Nadu State Pollution Control Board (TNPCCB) for any municipal projects causing water pollution.
3.	The Water (Prevention And Control of Pollution) Cess Act, 1977	This Act provides for levy and collection of a cess by local authorities on water consumed by persons or industries to augment resources for Pollution Control Boards.
4.	Forest (Conservation) Act, 1980	Forest (Conservation) Act, 1980 was enacted to halt rapid deforestation and governments cannot de-reserve forest land or direct that it be used for non-forest purposes. Municipal projects with activities falling in reserved forest areas need a clearance from MoEFCC.
5.	Air (Prevention and Control of Pollution) Act 1981 and Tamil Nadu Air (Prevention of Control of Pollution) Rules 1983	These laws address the prevention and control of air pollution. Under section 21 of this Act, it is mandatory to obtain consent from Pollution Control Board to establish or operate any industrial operation. Activities involving emission of pollutants like establishing batch mixing plants require consent from TNPCCB.
6.	Environment (Protection) Act, 1986	<p>Popularly known as EP Act, it is an umbrella legislation that supplements existing environmental regulations. This law essentially links pollution and natural resource issues. Salient features of the Act are the following:</p> <ul style="list-style-type: none"> • Section 6 empowers the Government of India to make rules to regulate environmental pollution by stipulating standards and maximum allowable limits to prevent air, water, noise, soil and other environmental pollutants • Section 7 prohibits operations that emit pollutants in excess of standards • Section 9 regulates handling of hazardous substances and identifies persons responsible for discharges and pollution prevention <p>Empowered by the EP Act, the Ministry of Environment, Forests and Climate Change (MoEFCC), Government of India has issued various notifications such as Hazardous Wastes (Management &</p>

		Handling) Rules, 1989; Manufacture, Storage and Import of Hazardous Chemicals Rules, 1989; Noise Pollution (Regulation and Control) Rules, 2000; Environmental Impact Assessment Notification, 2006 etc.
7.	Manufacture, Storage and Import of Hazardous Chemicals Rules, 1989 (MSIHC Rules, 1989)	These rules aim at providing control for the generation, storage and Import of hazardous chemicals. According to these rules, the user of hazardous chemicals has to follow procedures as stipulated in the rules to prevent and control hazards from such chemicals and to ensure safety and permission has to be obtained from the authority concerned for such activity. The list of chemicals and threshold limits of handling falling under the purview of these rules is provided in the schedule to the rules. Chlorine used for disinfection of water is categorised as hazardous chemical as according these rules and usage of these chemicals above 10 tons per year attracts the provisions of these rules.
8.	Hazardous Waste (Management, Handling and Transboundary Movement) Rules, 2008	This law addresses handling of hazardous substances that fall under specified schedules and necessitates authorisation for such facilities from State Pollution Control Board. Projects attracting these rules will have to follow the guidelines for handling and disposal of hazardous wastes.
9.	Public Liability Insurance Act, 1991	According to this notification, all the Major Accident Hazard (MAH) units handling chemicals in excess of the threshold quantities referred to in the MSIHC Rules, 1989 are mandated to take an insurance policy and deposit an equal amount in the Environment Relief Fund (ERF) to ensure immediate payment to the chemical accident victims.
10.	The National Environment Tribunal Act, 1995	This act provides for strict liability for damages arising out of any accident occurring while handling any hazardous substance and for the establishment of a National Environment Tribunal for effective and expeditious disposal of cases arising from such accident, with a view to giving relief and compensation for damages to persons, property and the environment and for matters connected therewith or incidental thereto.
11.	Bio Medical Waste (Management & Handling) Rules 1998	This notification by Ministry of Environment and Forest lays down the method of collection of hospital waste, its transportation and disposal based on scientific methods
12.	Fly Ash Notification, 1999	This notification necessitates use of flyash for various construction activities like brick manufacturing, road projects etc within 100km radius of thermal power stations.
13.	Municipal Solid waste (Management & Handling) Rules 2000	This notification by Ministry of Environment and Forest lays down the methods of handling Municipal Solid Waste (MSW) and its scientific disposal. Establishing a facility for disposal requires authorisation from State Pollution Control Board. Draft MSWM Rules, 2013 have been published, which upon notification would supersede these rules.
14.	The Noise Pollution	The ambient air quality standards in respect of noise for different

	(Regulation and Control) Rules, 2000	areas/zones namely industrial, commercial, residential or silence areas/zones are specified in the Schedule of these rules. An area comprising not less than 100 metres around hospitals, educational institutions and courts may be declared as silence area/zone as per these rules. The noise levels in any area/zone shall not exceed the ambient air quality standards in respect of noise as specified in the Schedule.
15.	EIA Notification, dt 2006 (S.O.1533(E), dt.14/09/2006)	The notification specifies that prior environmental clearance is required for the projects listed in the schedule of the notification before any construction work, or preparation of land by the project management except for securing the land, is started on the project or activity. The Schedule of the notification lists eight broad categories of projects that require prior environmental clearance. These projects are categorized in to Category 'A' and category 'B' based on the magnitude and environmental impacts of the project. Clearance is to be obtained from the Ministry of Environment, Forests and Climate Change for Category 'A' projects, and from the State Environment Impact Assessment Authority (SEIAA) for Category 'B' projects. Category 'B' projects will be further classified in to category 'B1' and category 'B2' based on their magnitude and environmental impacts. Category 'B2' projects do not require an EIA study. The scope and ToR of the EIA study for category 'A' and category 'B' projects will be decided by the MoEFCC and the SEIAA respectively. TNUDF projects falling under any of these categories will have to obtain environmental clearance from the authority as applicable.
16.	Wetlands (Conservation and Management) Rules, 2010	The rules lists list of wetlands that needs to be protected like those covered under Ramsar Convention, those in UNESCO heritage site, those which are ecologically sensitive etc and prohibits the following activities within such wetlands: <ul style="list-style-type: none"> • Reclamation of wetlands • Setting up of new industries and expansion of existing industries • Manufacture, storage, handling or disposal of hazardous substances • Solid waste dumping • Discharge of untreated effluents • Any permanent construction except boat jetties • Any other activity affecting ecosystem of the wetland
17.	The National Green Tribunal Act, 2010	This act provides for establishment of National Green Tribunal for effective and expeditious disposal of cases relating to environmental protection and conservation of forests and other natural resources including enforcement of any legal right to environment and giving relief and compensation for damages to persons and property and for matters connected therewith or incidental. The National Green Tribunal established under this act

		is a specialized body equipped with the necessary expertise to handle environmental disputes involving multi-disciplinary issues. The Tribunal shall not be bound by the procedure laid down under the Code of Civil Procedure, 1908, but shall be guided by principles of natural justice.
18.	E-Waste (Management and Handling) Rules, 2010	The rules prescribe procedures for manufacture, collection, dismantling, recycling, and disposal of electronic wastes and requires authorisation of the State Pollution Control Board for the same.
19.	Coastal Regulation Zone (CRZ) Notification, 2011 (S.O.19(E), dt. 06/01/2011)	This notification under Environment (Protection) Act, 1986 supplements the law on site clearance by declaring certain zones as CRZ and regulates activities in these zones. The CRZ Notification, 2011 clearly lists out the areas that fall within the categories of I, II, III and IV of CRZ-I and the permissible and non-permissible activities in each zone. The main objectives of the Coastal Regulation Zone Notification, 2011 are to ensure livelihood security to the fishing communities and other local communities living in the coastal areas; to conserve and protect coastal stretches and; to promote development in a sustainable manner based on scientific principles, taking into account the dangers of natural hazards in the coastal areas and sea level rise due to global warming. Projects attracting this notification shall obtain CRZ clearance for implementation from the authority as required.
20.	Plastic waste (Management & handling) Rules 2011	This rules provides guidelines for manufacturer of plastic bags with respect to thickness (40microns), labelling of plastic bags and prohibits availability to consumers free of cost. Further, these rules lay the responsibility of disposal of these wastes in scientific manner with the municipalities/ urban local body.
21.	Prohibition of Employment as Manual Scavengers' and their Rehabilitation Bill 2012	This act prohibits construction of insanitary latrines and employment or engaging of manual scavenger for the purpose of manual scavenging. No person, local authority or any agency shall, from such date as notified by the State Government (which shall not be later than one year from the date of commencement of this Act), engage or employ, either directly or indirectly, any person for hazardous cleaning of a sewer or a septic tank.
22.	National Action Plan on Climate Change	India is faced with the challenge of sustaining its rapid economic growth while dealing with the global threat of climate change. India, in 2008, has set up National Action plan on climate change (NAPCC) which outlined policies aimed at sustainable growth and dealing with climate change concerns effectively. NAPCC outlines eight national missions to address various adaptation and mitigation measures pertaining to Solar Energy, Enhanced Energy Efficiency, Sustainable Habitat, Water, Sustaining Himalayan Ecosystem, Green India, Sustaining Agriculture, and Strategic Knowledge on Climate Change.
23.	Energy Conservation Act,	Aims to reduce specific energy consumption in different sectors,

	2001	and sets up a specialized Bureau of Energy Efficiency to institutionalize energy efficiency measures, monitoring, and measurement at plant and macro-levels.
24.	Energy Conservation Building Code (ECBC)	The Energy Conservation Act 2001 that was passed by the Indian Parliament empowered the Central Government to prescribe an Energy Conservation Building Code (ECBC). ECBC was launched in 2007 on a voluntary basis by the Bureau of Energy Efficiency (BEE). ECBC sets minimum energy efficiency standards for design and construction encouraging energy efficient design or retrofit of buildings without constraining the building function, comfort, health, or the productivity of the occupants and appropriate regard for economic considerations. Mandatory Scope Covers commercial buildings with a connected Load in excess of 500kW or when Contract Demand in excess of 600 kVA. ECBC is recommended for all buildings with conditioned area >1000m2 and applies to new constructions.
	STATE LEVEL	
25.	Chennai Metropolitan Area Ground water (Regulation) Amendment Act, 2002	This amendment to the original act was made to impose provision of rainwater harvesting in every building either private or government to augment ground water storage in such manner as may be prescribed. The act also mentions that water bodies, including ponds, lakes, tanks and the like, whether public or private should be used only for the purpose of storage of water and not for any other purposes. These provisions are also included in the Panchayats Act and the Municipal Act.
26.	The Tamil Nadu Hill Areas (Preservation of Trees) Act, 1955	This Act regulates the cutting of trees and cultivation of land in hill areas of Tamil Nadu, (Coonoor, Kodaikanal, Kotagiri, Ootacamund, Yercaud). Any tree cutting in these areas requires permission from the Committee under this Act.
	OPERATIONAL POLICIES AND DIRECTIVES OF THE WORLD BANK	
27.	OP/BP 4.01 - Environmental Assessment	Operational Policy 4.01 (OP 4.01) is one of the ten safeguard policies of the World Bank, which provides the Environmental Assessment (EA) guidance for the lending operations. The OP 4.01 requires the borrower to screen projects upstream in the project cycle for potential impacts. Thereafter, an appropriate EA approach to assess, minimize / enhance and mitigate potentially adverse impacts is selected depending on nature and scale of project. The EA needs to be integrated in the project development process such that timely measures can be applied to address identified impacts. The policy requires consultation with affected groups and NGOs to recognise community concerns and the need to address the same as part of EA. TNUIFSL has adopted the principles of the above policy and has evolved a management framework to address the environmental issues in its lending operations.
28.	OP 4.11- Physical	The World Bank's Operational Policy 4.11 aims at preserving and

	Cultural Resources	avoiding the elimination of structures/ natural features and landscapes having archaeological (prehistoric), paleontological, historical, religious and unique natural values. Physical cultural resources are important as sources of valuable scientific and historical information, as assets for economic and social development, and as integral parts of a people's cultural identity and practices and the Bank will in turn assist to mitigate impact and for protection and enhancement of physical cultural resources encountered in the project. Wherever, projects to be funded by TNUDF involve physical cultural resources or in case of any chance finds, suitable mitigation / management plan will be prepared within the Environmental Assessment and implemented as part of the project.
29.	OP 4.04 - Natural Habitats	<p>Operational Policy 4.04 sets out the World Bank's policy on supporting and emphasising the precautionary approach to natural resource management, take into account the conservation of biodiversity, and ensure opportunities for environmentally sustainable development. As per this policy, projects that involve significant conversion or degradation of critical natural habitats are not supported by the Bank.</p> <p>Projects involving non critical habitats are supported if no alternatives are available and if acceptable mitigation measures are in place.</p> <p>Projects to be funded by TNUDF are less likely to cause negative impacts to natural habitats, excepting in projects such as development of water sources from very long distances running through natural habitats, or sewer outfalls running through sensitive areas, new road alignments passing through natural habitats. In such situations, the projects shall be categorised as E1 and appropriate EA shall be carried out to prepare EMP to mitigate the impacts of the project.</p>
30.	OP 4.36 - Forests	Forest Policy (OP/BP 4.36) aims to reduce deforestation, enhance the environmental contribution of forested areas, promote afforestation, reduce poverty, and encourage economic development for protection of forests through consideration of forest related impacts of all investment operations, ensuring restrictions for operations affecting critical forest conservation areas, and improving commercial forest practice through use of modern certification systems. . In the context of TNUDF operations, these issues are relevant for the projects that pass through or require transfer of forest land under Forest (Conservation) Act, 1980 of GOI.

Guidance for applicable legislations for various infrastructure projects is given in Document- 4 in Volume-II.

ENVIRONMENTAL CATEGORISATION OF PROJECTS

13.0 The urban infrastructure projects are expected to improve general living standards within urban localities. However, depending on location and the nature of project activities these projects will have varying impacts on urban environment. A Storm water drainage project may impact the recipient waterbody, cause flooding near confluence points, and also affect the groundwater recharge. Similarly, an underground sewerage scheme may cause impact due to disposal of treated effluent and sludge, water supply project may be associated with over exploitation of water resources and downstream users, and disposal of sludge etc. Similarly, a transportation project may have impacts on the sensitive receptors and increase in air and noise pollution. The rigor of environmental assessment required to identify and mitigate the impacts largely depends upon the complexities of project activities. To facilitate effective screening and address the issues from infrastructure projects,, TNUFSL has categorized the projects into different categories – E1, E2 and E3 linked to severity of impacts and regulatory requirements.

14.0 The E1, E2 and E3 categories are defined as follows:

- a. E-1 projects are those wherein TNUFSL foresees major environmental impacts thus necessitating Environmental Assessment Reports (EAR). A proposed project is classified as E1 if it is likely to affect sensitive environmental components (SEC) such as those mentioned in Table 1.1. *Those projects/activities, which require environmental clearance as per the EIA notification published by Ministry of Environment, Forests and Climate Change will also be categorized as E1.* The E1 category is similar to the Environmental Category A project of the World Bank Safeguard Policy, which may have impacts on area broader than the sites or facilities subject to physical works. EA for a E1 project examines the project's potential negative and positive environmental impacts, compares them with those of feasible alternatives (including the 'without project' situation), and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance.

Table-2: List of Sensitive Environmental Components

Sl.No	Sensitive Environmental Component
1	Religious, heritage historic sites and cultural properties
2	Archaeological monuments/sites
3	Scenic areas
4	Hill resorts/mountains/ hills
5	Beach resorts
6	Health resorts
7	Coastal areas rich in corals, mangroves, breeding grounds of specific species
8	Estuaries rich in mangroves, breeding ground of specific species
9	Gulf areas

10	Biosphere reserves
11	National park and wildlife sanctuaries and reserves
12	Natural lakes, swamps Seismic zones tribal Settlements
13	Areas of scientific and geological interests
14	Defense installations, specially those of security importance and sensitive to pollution
15	Border areas (international)
16	Airport (for solid waste management projects)
17	Tiger reserves/elephant reserve/turtle nestling grounds
18	Habitat for migratory birds
19	Lakes, reservoirs, dams
20	Streams/rivers/estuary/seas

- b. E-2 projects are expected to have only moderate environmental issues. A project is categorized as E2 if its potential adverse environmental impacts are less adverse than those of E1 projects. E2 category as per ESMF is similar to the Environmental Category B of the World Bank Safeguard Policy. These impacts are site-specific and in most cases mitigation can be designed more readily than for E1 projects. The scope of assessment for an E2 project is project specific and it is narrower than E1 project. It examines the project's potential negative and positive environmental impacts, it recommends measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance.
- c. Minor environmental issues, if any are expected in E-3 projects. Hence no environmental assessment is required for an E3 project beyond screening. E3 category is similar to the Environmental Category C of the World Bank Safeguard Policy.

Table 3: Environmental Categorisation of Projects

Category	Description		Type of project
	Level of issues	Management measures	
E-1	Major environmental issues expected	Project specific EA by an independent agency	<ul style="list-style-type: none"> - Projects impacting sensitive environmental components - Projects triggering the World Bank OPs 4.01, 4.11, 4.04, 4.36 - Projects requiring Environmental clearance as per EIA notification of MoEFCC .

E-2	Moderate environmental issues expected	Project specific EA along with the DPR.	<ul style="list-style-type: none"> - Projects with impacts less adverse than E1 category and mostly generic in nature. - Projects triggering the World Bank OP 4.01
E-3	Minor environmental issues, if any expected	Generic EMP.	Projects with minor environmental impacts expected.

15.0 Adequate judgment will be applied to determine the category while preparing the DPRs and undertaking EA. Guidance is provided in Table 2.3 for indicative categorization of projects. For projects not listed in the guidance tool, categorization will be done based on its environmental sensitivity. Any upward/ downward scaling of categories such as from E2 to E1 and vice versa requires proper justification, concurrence of TNUIFSL and in compliance to the safeguard policies of the Bank.

Table 4: Guidelines For Environmental Categorisation of Projects

Project	Environmental Category
I) Water Supply & Sewage	
A. Water Supply	
1. Water supply augmentation without new source	E-2
2. Water supply augmentation with new source /head works/intake works/channels	E-1
3. Water supply distribution lines	E-2
4. Water tankers	E-3
5. Overhead tanks	E-3
5. Water treatment plants	E-1
7. Upgradation of existing Headworks	E-3
8. Generators	E-3
9. River Intake Works	E-1
B. Storm Water Drainage	
1. Open drains	E-2
2. Closed / Underground drains	E-2
C. Sewerage / Sanitation	
1. Only Sewer Net Work (linked to existing STP)	E-2
2. Sewerage Network and Pumping Stations (linked to existing STP)	E-2
3. Sewerage Network, Pumping Station and Treatment Plant	E-1
4. Public conveniences	E-2
5. Pay & use latrines	E-2
6. Septic tanks	E-2

Project	Environmental Category
D Tertiary Treatment Plant / Reverse osmosis plants	E-1
II) Solid Waste Management	
A. Landfill Sites	E-1
B. Compost Yard	E-1
C. Solid Waste Management, including Collection & Transportation Vehicles excluding disposal	E-2
D. Any other Treatment and Disposal Facilities	E-1
III) Transportation	
A. Roads	
1. New Roads	E-1
2. Widening of roads outside ROW	E-1
3. Widening of roads within ROW affecting Environmental Sensitive Components	E-1
4. Widening of roads within ROW without affecting Environmental sensitive components	E-2
5. Improvement of surface	E-2
6. Traffic islands	E-3
7. Road divider	E-3
8. Other Traffic and Transport Management measures	E-3
9. Foot paths	E-3
B. Street Furniture	
1. Traffic signals	E-3
2. Street lights	E-3
3. Sign boards	E-3
C. Road Structures	
1. Subways	
- Pedestrian	E-2
- Cycle lanes	E-2
- Fast moving	E-2
- Foot Over Bridges	E-2
2. ROBs/RUBs	E-1
3. Culverts	E-2
4. Small Bridges	E-2
D. Terminals / Shelter	
1. New Bus Terminals	E-1
2. Improvements to exiting Bus Terminals/Stands	E-2
3. Bus shelters	E-2
4. New Truck Terminals	E-1
5. Improvements to existing Truck Terminals	E-2
6. Workshops	E-2
7. Parking Complexes	E-2
E. Fleet Expansion >100 buses	E-2
<100 buses	E-3

Project	Environmental Category
F. Construction & Maintenance equipment	E-3
G. Inland Water Ways / Lakes / Water Bodies	E-1
IV. Commercial Complexes	
A. Shopping /Office complexes < 1,50,000 sq.m	E-2
B. Shopping /Office complexes > 1,50,000 sq.m	E-1
C. Vegetable/Fish markets	E-2
D. Slaughter houses	E-1
E. Marriage halls	E-2
F. Lodge / Dormitory	E-3
G. Municipal Community complexes <1,50,000 sq.m	E-2
H. Municipal Community complexes > 1,50,000 sq.m	E-1
V.Non Comm./Community Amenities	
A. Parks	E-3
B. Playgrounds	E-3
C. Maternity and Child Centers	E-2
D. Educational institution/Reading Room	E-3
F. Electric & Gasifier Crematorium	E-1
VI. Integrated Area Development	
A. Housing (Sites & Services)	E-1
B. Guided Urban Development	E-1
C. TRAMP	E-1

16.0 In addition to addressing environmental issues, TNUIFSL commits itself to explore opportunities for environmental enhancement in various sub-projects. A sample list of enhancement opportunities is listed out in table below. TNUIFSL encourages its borrowers to identify such opportunities and include the same as part of the project components.

Table 5: Potential Environment Enhancement Opportunities in TNUIFSL Sub-Projects

Project / Sub- Project	Enhancement Opportunities
A. Water Supply	
1.Head Works & Treatment Plants	<ul style="list-style-type: none"> ▪ Development of greenbelt for Environmental Improvement ▪ Design considerations to withstand extreme situations – drought and flood ▪ Energy efficient pump sets
2.Transmission Line	<ul style="list-style-type: none"> ▪ Design to withstand flood situation / high water table ▪ Avoiding leakage/ wastage through online monitoring and suitable pipes & joints
3.Storage Reservoirs	<ul style="list-style-type: none"> ▪ Development of greenbelt at Storage Reservoir Complexes ▪ Avoiding leakage/ wastage through online monitoring
4.Water Supply Distribution Lines	<ul style="list-style-type: none"> ▪ Supply of potable water quality monitoring kits to the community for on site water quality monitoring ▪ Metering the connections ▪ Avoiding leakage/ wastage through online monitoring and suitable pipes & joints

B. Storm Water Drainage	
1. Closed underground Drains	<ul style="list-style-type: none"> ▪ Development of foot paths over the drains to protect the drain and offer add on facilities. ▪ Providing groundwater recharge facilities in the drain to ensure reuse.
C. Sewerage and Sanitation	
1. Treatment Plants & Pumping Stations	<ul style="list-style-type: none"> ▪ Development of greenbelt for Environmental Improvement ▪ Design of units and pipelines to withstand flood situation / high water table ▪ Reuse of treated effluent ▪ Energy efficient pump sets ▪ Aerobic treatment/ gas flaring
D. Solid Waste Management	
Compost and Landfill Facilities	<ul style="list-style-type: none"> ▪ Development of Parks and Green Spaces for Tourist Attraction and Environmental Improvement ▪ Energy generation from waste ▪ Recovery and Recycling of wastes
E. Transportation	
1. Widening & Laying of New Roads	<ul style="list-style-type: none"> ▪ Plantation and development of vegetative belt along the alignment ▪ Use of alternate material like fly ash for embankments ▪ Providing cycle lanes
2. Traffic Islands & Dividers	<ul style="list-style-type: none"> ▪ Landscaping and Aesthetic Improvements at the proposed locations
3. Street lighting	<ul style="list-style-type: none"> ▪ Energy efficient lighting / solar powered lighting
F. Bus Shelters & Terminals	<ul style="list-style-type: none"> ▪ Development and implementation of Rainwater Harvesting measures ▪ Development of greenbelt along the boundary
G. Inland Waterways / Lakes, etc.	<ul style="list-style-type: none"> ▪ Development of Parks and Recreational Facilities for Tourist Attraction and Environmental Improvement ▪ Protection of boundaries
H. Commercial Complexes	<ul style="list-style-type: none"> ▪ Development and implementation of Rainwater Harvesting measures ▪ Development of greenbelt along the boundary ▪ Reusing waste water generated ▪ Use alternate construction materials

ENVIRONMENTAL ASSESSMENT (EA) AND ENVIRONMENTAL MANAGEMENT PLAN (EMP)

17.0 An EA Report has to be prepared by independent consultants for all E1 Category projects as per the agreed TOR to ensure that adequate management measures are identified for ensuring environmental safeguards. In case the EA is prepared by the DPR consultants, the EA shall be reviewed by an independent expert / agency (that can mean to include experts from a separate govt. agency as well) to ensure that all critical issues of environmental

management are addressed in the project. For E2 category projects along with the generic management measures, project specific management plan shall be prepared as part of the DPR preparation.

17.0. ENVIRONMENTAL ASSESSMENT (EA):

- EA evaluates a project's potential environmental risks and impacts in the project area of influence, examines the alternatives, identifies measures to mitigate the environmental impacts and improvement of benefits throughout project implementation. Wherever feasible, preventive measures would be undertaken.
- The borrower is responsible for carrying out the EA
- The opinion of the stakeholders and public shall be incorporated in the project through specific public consultations with prior notice.
- In addition, the draft EA shall be made available in a public place accessible to affected groups and local NGOs.
- Implications of the available legislations and regulatory requirements and the requirements of the operational policies of the World Bank are also to be reviewed as part of the EA. The EA report shall meet the requirements of national and state level legislations. Also necessary clearances shall be obtained for EA, as applicable.
- EA report shall include an Executive summary, Introduction / Project background, Project Description including review of alternatives, Review of Legislations, Baseline environmental conditions, Impact Evaluation, Public consultation details, Management Plan.

18.0 ENVIRONMENTAL MANAGEMENT PLAN (EMP):

- The management measures identified shall be made part of the project components and shall be included in the bid documents appropriately.
- Apart from addressing the issues, management measures shall also explore enhancement opportunities and their inclusion in project components would be ensured.
- The management plan shall consider various activities proposed under the project and provide management measures to be followed for different phases of implementation, along with the responsibility allocation for implementation and Monitoring plan.
- Generic Environmental Management Plans for various urban infrastructure projects is provided in Document- 5 in Volume II.
- The cost for implementation of the management measures, the institutional arrangements for monitoring, etc is to be included in the project cost.

SECTION 3 SOCIAL SAFEGUARDS FRAMEWORK

21.0 The basic objective of the social safeguards policy is to mitigate the social adverse impact to the population affected by the project implementation. This policy also emphasises that the involuntary resettlement will be avoided and minimised by exploring different design options. In other words exploring various options and considering the best option which has minimum or no impact. The nature and magnitude of social impact will be assessed through Social Impact Assessment and Resettlement Plan (RP) or Resettlement Action Plan (RAP) will be prepared and implemented to mitigate the adverse impacts to assist the affected people to improve their living standards. The RP/RAP shall be prepared in compliance with the Social Safeguards provided in this ESMF. Prior to the project implementation, the measures available in the RP /RAP shall be implemented. The broad categories of economic and social impacts that would be mitigated are:

- a) Loss of land and assets
- b) Loss of shelter or homestead lands,
- c) Loss of income or means of livelihood
- d) Loss of access to productive resources, shelter/residences
- e) Loss of collective impacts on groups such as loss of community assets, common property resources and others.

22.0 The Social Safeguards policy covers the following:

1. Bridge the gap between the World Bank's Policy on Involuntary Resettlement and RTFCTLARR Act 2013.
2. Defines PAPs, lists entitlements, details peoples' participation and supervision & monitoring
3. To avoid physical displacement and involuntary relocation to the maximum possible extent.
4. To explore different alternatives/options to avoid physical displacement and involuntary relocations
5. To consult the PAPs in different stages of social impact assessment and implementation;
6. To compensate and assistance to the PAPs irrespective of their legal rights.
7. Ensures that PAPs will be resettled and rehabilitated with the aim of improving their livelihoods and standards of living or at least restored to pre project level.
8. When PAPs lose land/structures and or displaced and/or economically affected adversely, detailed planning will be made along with implementation arrangements in an operational Resettlement Plan.
9. Full cost of all resettlement activities necessary to achieve the project objectives are included in total project costs including contingencies and inflation.

REGULATORY FRAMEWORK - SOCIAL

23.0 The projects that are financed by TNUIFSL needs to be consistent and complied with and meet the requirements of the following applicable acts, notifications, and policies. The compensation and assistance provided to the project affected will be based on the applicable acts, legislations, regulations besides the Operational Policies of the World Bank.

National and State:

- The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act 2013.
- The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014
- The Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006.
- Right to Information Act, 2005

Operational Policies of the World Bank

- 4.10 Indigenous People.
- 4.12 Involuntary Resettlement.
- World Bank Policy on Access to Information and Disclosure

Table 6: Relevance of Applicable Social Legislations to TNUDF Projects

Acts, notifications, policies and guidelines	Relevance to project
National	
The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 (RTFCTLARR Act 2013)	The Act provides for enhanced compensation and assistances measures and adopts a more consultative and participatory approach in dealing with the Project Affected Persons. As and when the rules for implementation of the Act are finalized, the processes and procedures of this Act will be complied with The RTFCTLARR Act 2013 .
The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014	GOI recently enacted the act that specifically aims to protect the rights of urban street vendors and to regulate street vending activities. It provides for Survey of street vendors and protection from eviction or relocation; issuance of certificate for vending; provides for rights and obligations of street vendors; development of street vending plans; organizing of capacity building programmes to enable the street vendors to exercise the rights contemplated under this Act; undertake research, education and training programmes to advance knowledge and understanding of the role of the informal sector in the economy, in general and the street vendors, in particular and to raise awareness.
The Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006.	An Act to recognise and vest the forest rights and occupation in forest land in forest dwelling Scheduled Tribes and other traditional forest dwellers who have been residing in such forests for generations but whose rights could not be recorded; to provide for a framework for recording the forests rights so vested and the nature of evidence required for such recognition and vesting in respect of forest land.
The World Bank	
OP 4.12 – Involuntary	The proposed Tamil Nadu Sustainable Urban Development Project will be

Acts, notifications, policies and guidelines	Relevance to project
Resettlement	implemented by Government of Tamil Nadu and its agencies with assistance of the World Bank. Therefore, the provisions of this operational Policy will apply to sub-projects financed under this project. The sub-projects to be financed under the project might entail land acquisition or result in involuntary resettlement impacts though, at a smaller scale for the various project activities. It would also adversely affect structures used for various purposes, livelihood of people (mainly earning their livelihood by means of petty shops and providing various services). Many of them might have been operating from within the ROW or the government land. Thus both title holders and non-title holders alike would be affected as a consequence of the project. GoTN / TNUDF as a borrower of loan will ensure that the Bank Policies are followed.
OP 4.10 – Indigenous Peoples	This policy applies for both positive and negative impacts on tribal population wherever the project activities are undertaken.
World Bank Policy on Access to Information and Disclosure	World Bank safeguards policy requires consultation with PAPs during planning and implementation of resettlement action plan and tribal development plan and public disclosure of drafts. Once the draft is prepared it is to be made available at a place accessible to, and in a form, manner and language understandable to the displaced or affected people and local NGOs. EP Act 1986 and RTFCTLARR, 2013 also requires disclosure of draft SIA and RAP and other project reports followed by mandatory Public Hearing.

SOCIAL CATEGORISATION OF PROJECTS

24.0 Based on the magnitude of impact to the Project Affected Persons (PAPs), projects have been categorised as either S-1, S-2 or S-3 as follows:

Table 7: Social Categorisation of Projects

Category	Description		Type of project
	Level of issues	Management measures	
S-1	Serious social issues expected	SIA and RAP	1. If it involves acquisition of private land with major impacts (people lose more than 20 % of the productive assets) 2. If it involves physical displacement.
S-2	Moderate social issues expected	SIA and Abbreviated RAP.	If impacts are limited to less than 200 Persons or about 50 families of minor nature (people lose less than 20 % of the productive assets).
S-3	No social issues	Social Screening	No private land acquisition or no impacts to

	expected hence socially benign	Report	PAPs
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25.0 The social categorization will be done based on the social screening information provided by the sub-borrower. However, based on the outcome of Social impact assessment, the category will be revisited at the time of appraisal of each sub-project.

SOCIAL IMPACT ASSESSMENT & SOCIAL MANAGEMENT PLAN (SIA/SMP)

26.0 A social impact assessment will be undertaken for all S1 and S2 Category projects to assess the potential social impacts of the proposed projects and based on the outcome of such assessment the corresponding abbreviated Resettlement Action Plan will be prepared for S2 Category Projects and Full Resettlement Action Plan will be prepared for S1 category projects. SIA process includes consultations with the stakeholders, census survey of PAPs, socio economic surveys of the project affected people and focus group discussion with specific interest groups. If the baseline socio-economic surveys are more than 2 years old at the time of implementation of the Project, the key socio economic data shall be updated. The RAP shall include the following:

- Executive Summary
- Project description
- Objectives and Study Methodology
- Socio-Economic Profile of the project area
- Regulatory Policies with respect to Social Safeguards
- Proposed Improvements under the project
- Options considered for minimizing adverse impacts
- Assessment of Project impacts
- Cut-off date
- Baselines Socio Economic Census Survey of PAPs and their assets.
- Public Consultation & Disclosure and Plan
- Nature and magnitude of impacts
- Type of impacts
- Entitlement Matrix
- Compensation and R& R assistance
- Livelihood Restoration and Income Generation Plan
- Gender Dimensions and Action Plan
- Grievance Redressal Mechanism
- Implementation Schedule and Budget
- Institutional Arrangements
- Implementation Arrangements
- Monitoring and Evaluation

27.0 In case of Abbreviated plans, the information that will be included are census survey of affected families and valuation of assets, description of compensation and other resettlement assistance, consultations with affected people, institutional responsibilities and procedures for grievance redress and a budget and time table etc.

28.0 Social Impact Assessment Report Outline is provided in Document-6 in Volume-II and SMP for S2 projects in provided in Document-7 in Volume-II.

29.0 The SIA/RAP will be disclosed followed by a consultation and the suggestions, comments of the stakeholders will be incorporated in the RAP. The final RAP will be disclosed in the websites of the Urban Local Bodies and IAs. The Tamil version of Executive summary will also be disclosed in the project sites.

ENTITLEMENT FRAMEWORK

DEFINITIONS

30.0 For purposes of this framework, the following definitions will be applicable:

- **Affected area:** means such area as may be notified by the appropriate Government for the purposes of land acquisition and which land will be acquired under RTFCTLARR Act, 2013 through declaration by Notification in the Official Gazette by the appropriate Government or for which land belonging to the Government will be cleared from obstructions;
- **Agricultural land:** Means land used for the purpose of: (i) agriculture or horticulture; (ii) dairy farming, poultry farming, pisciculture, sericulture, seed farming breeding of livestock or nursery growing medicinal herbs; (iii) raising of crops, trees, grass or garden produce; and (iv) land used for the grazing of cattle;
- **Below poverty line (BPL) or BPL family:** means below poverty line families as defined by the Planning Commission of India, from time to time and those included in the BPL list for the time-being in force;
- **Building:** Means a house, out house or other roofed structure whether masonry, brick, wood, mud, metal or any other material whatsoever but does not include a tent or other portable and temporary shelter;
- **Corridor of impact (COI):** Refers to the minimum land width required for construction including embankments, facilities and features such as approach roads, drains, utility ducts and lines, fences, green belts, safety zone, working spaces etc. Additional land width would be acquired/purchased or taken on temporary lease if the Corridor of Impact extends beyond the available Right of Way;
- **Cut-off date:** (i) In the cases of land acquisition affecting land holders the cut-off date would be the last date of publishing Notification for land acquisition u/s 11 (1) of RTFCTLARR Act, 2013 in the local newspaper. Those without any valid pass, the cut-off date would be the start date of the Census and Socio-Economic survey.
- **Encroacher:** A person who has extended their building, agricultural lands, business premises or work places into public/government land without authority;
- **Income:** Income of the PAP shall mean the amount prior to the cut-off date from all occupations taken together calculated by an objective assessment;
- **Land:** "land" includes benefits to arise out of land, and things attached to the earth or permanently fastened to anything attached to the earth
- **Land acquisition" or "acquisition of land":** means acquisition of land under the RTFCTLARR, 2013.

- **Non-agricultural labourer:** means a person who is not an agricultural labourer but is primarily residing in the affected area for a period of not less than five years immediately before the declaration of the affected area and who does not hold any land under the affected area but who earns his livelihood mainly by manual labour or as a rural artisan immediately before such declaration and who has been deprived of earning his livelihood mainly by manual labour or as such artisan in the affected area;
- **Notification:** means a notification issued from time to time by appropriate government for land acquisition under the provisions of RTFCTLARR, 2013.
- **Project Affected Family (as defined in RTFCTLARR Act 2013):** It includes-
 - i. a family whose land or other immovable property has been acquired;
 - ii. a family which does not own any land but a member or members of such family may be agricultural labourers, tenants including any form of tenancy or holding of usufruct right, share-croppers or artisans or who may be working in the affected area for three years prior to the acquisition of the land, whose primary source of livelihood stand affected by the acquisition of land;
 - iii. the Scheduled Tribes and other traditional forest dwellers who have lost any of their forest rights recognised under the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 due to acquisition of land
 - iv. family whose primary source of livelihood for three years prior to the acquisition of the land is dependent on forests or water bodies and includes gatherers of forest produce, hunters, fisher folk and boatmen and such livelihood is affected due to acquisition of land;
 - v. a member of the family who has been assigned land by the State Government or the Central Government under any of its schemes and such land is under acquisition;
 - vi. a family residing on any land in the urban areas for preceding three years or more prior to the acquisition of the land or whose primary source of livelihood for three years prior to the acquisition of the land is affected by the acquisition of such land;
- **Project Affected Person (PAP):** Any person affected either directly or indirectly by the project and/or project related activity, irrespective of the legal status and would include:
 - a) Patta/Title holders,
 - b) Encroachers,
 - c) Squatters,
 - d) Tenants, Leaseholders, Sharecroppers,
 - e) Employees, Landless labourers,
- **Project Affected Household (PAH):** A social unit consisting of a family and/or non-family members living together, and is affected by the project negatively and/or positively;
- **Rent:** Means whatever is lawfully payable in cash or in kind, partly in cash and partly in kind, whether as a fixed quantity of produce or as a share of the produce, on account of the use or occupation of land or on account of any right in land but shall not include land revenue;
- **Replacement Cost:** A replacement cost/value of any land or other asset is the cost/value equivalent to or sufficient to replace/purchase the same land or other asset and other applicable taxes to be incurred by the affected person. The depreciation and salvage value will not be subtracted in determining the structure cost ;
- **Shop:** Means any premises where any trade or business is carried on and where services are rendered to customers;

- **Squatter:** A person who has settled on public/government land, land belonging to institutions, trust, etc and or someone else's land illegally for residential, business and or other purposes and/or has been occupying land and building/asset without authority;
- **Temporary Impact:** Impact expected during implementation of the project in the form of earth spoil, tremors and vibrations, etc. affecting land and structure
- **Tenant:** A person who holds/occupies land-/structure of another person and (but for a special contract) would be liable to pay rent for that land/structure. This arrangement includes the predecessor and successor-in-interest of the tenant but does not include mortgage of the rights of a landowner or a person to whom holding has been transferred; or an estate/holding has been let in farm for the recovery of an arrear of land revenue; or of a sum recoverable as such an arrear or a person who takes from Government a lease of unoccupied land for the purpose of subletting it.
- **Vulnerable Households:** Vulnerable PAPs: Vulnerable PAPs are those living below poverty line, SC / ST families and women headed households, Widows, Physically Challenged persons; Elderly persons above the age of 60 years among the affected families.
- **Wage earner:** Wage earners are those whose livelihood would be affected due to the displacement of the employer. The person must be in continuous employment for at least six months prior to the cut-off date with the said employer and must have reliable documentary evidence to prove his/her employment.

COMPENSATION FOR LAND AND RELATED R&R

31.0 Wherever Land Acquisition is involved in the projects, compensation for the land and related R&R to the PAPs will be made as per the provisions of the RTFCTLARR 2013. The District Administration / concerned authorities will carry out private land acquisition and R&R implementation based on the provisions of RTFCTLARR Act, 2013. The project affected assigned land owners will be treated similar to the project affected land owners

32.0 The need for resettlement and rehabilitation arises when the land which is acquired or alienated or transferred results in involuntary displacement and/or loss of livelihood, sources of income and access to common properties/resources on which people depend for economic, social and cultural needs irrespective of their legal status. Though the squatters and encroachers are not entitled to legal compensation for land that they have occupied, this policy will provide for resettlement and rehabilitation of such persons with the aim of improving their standard of living. This policy will also be applicable to those landowners from whom land would be acquired. In case of those affected families living in the lands reserved under Development Plans with or without approval of construction of structures will also be assisted for resettlement and rehabilitation as per the Entitlement Framework in this ESMF.

33.0 **Use of Government Lands.** Very often, the lands belonging to other land owning departments are required to be used for various facilities to be proposed. Generally, necessary permissions and approvals for land alienation take long time. In case of all Government lands, obtaining "Enter Upon permission" from land owning agencies or other authorities concerned, prior to contract award is a pre-requisite and the land alienation or conditions for Enter upon permissions must be completed as soon as possible and prior to commencement of construction in those respective facilities / sites. In case of HR&CE land,

acquisition will be as per the applicable provisions of the State Government. However, the sites will be screened for social impacts and mitigation plans will be prepared in line with the ESMF policy provisions, as required.

ENTITLEMENT FOR PAPs

34.0 The entitlement for different categories of impacts is explained in the following entitlement matrix. The principles of the entitlement matrix are in accordance with the RTFCTLARR, 2013 and OP 4.12 of the World Bank. The entitlement matrix presents the entitlements for different impact categories in the following order.

1. Impact to title holders which covers
 - a. Loss of Land
 - b. Loss of Residential Structures
 - c. Loss of commercial structures
2. Impact to tenants and leaseholders
 - a. residential
 - b. commercial
3. Impacts to non-title holders
 - a. residential squatters
 - b. commercial squatters
 - c. encroachers
4. Impacts to trees, plants and standing crops
5. Loss of Livelihoods
 - a. employers in shops, agricultural labourers, sharecroppers etc.,
6. Impacts to Vulnerable Households
7. Impacts to Community Assets
8. Unidentified impacts

Table 8: Entitlement Matrix^{1 2} for Compensation and R&R

NO	Impact Category	Entitlements	Explanations
I. Impacts to Title holders (Loss of Private Properties)			
A	Loss of Land (agricultural, homestead, commercial or otherwise)	<p>Compensation as per RTFCTLARR Act, 2013 criteria provided in Para 26 of the Act</p> <ol style="list-style-type: none"> 1. One time grant not exceeding Rs.5,00,000/- for each affected household or annuity policy that shall pay Rs.2000/- per month for 20 years with appropriate indexation to Consumer Price indexation. 2. One time Resettlement Allowance of Rs.50,000/- for the displaced household. 	<p>Higher of (i) market value as per India Stamp Act, 1899 for the registration of sale deed or agreements; or (ii) average sale price for similar land ascertained from the highest 50% of sale deeds of the preceding 3 years or (iii) consented amount paid for PPPs or private companies. Plus 100% solatium and 12% interest from date of notification to award. . The multiplied factor adopted by GoTN for distance from urban area to the affected area will be applied.</p> <p>In case of impacts to assigned lands, the compensation and other benefits will be provided to affected owners at par with the land owners. The provision of infrastructural amenities will be as per the Third Schedule of RTFCTLARR Act 2013, wherever alternative resettlement sites are provided.</p> <p>The provision of purchase or lease as available under RTFCTLARR act, 2013, will be exercised whoever appropriate. The acquiring entity shall consider acquisition of residual land or asset, if it</p>

¹ Any changes required in the Entitlement Matrix pursuant to any Amendments in the Act or rules to be notified by the GoTN, will be incorporated with the concurrence of the World Bank.

² All cash allowances in the Entitlement Matrix shall be revised at the rate of 5% per annum starting from the financial year 2016-17.

			is not economically viable and shall compensate as per the provisions of the RTFCTLARR Act, 2013.
b	Loss of residential structure	<ol style="list-style-type: none"> 1. Cash compensation as per the Market Value of the structure without depreciation and 100 % solatium. 2. Each affected family having cattle will be provided one time financial assistance of Rs.25,000 . 3. Provision of alternative house or Minimum of Rs,1,50,000 financial assistance in Urban Areas. Provision of House in case of rural area as per IAY specifications or equivalent cost of the house. 4. Each affected family which is displaced due to land acquisition shall be given a monthly subsistence allowance equivalent to Rs.3000/- per month for a period of one year from the date of award. 5. Transportation cost of Rs.50,000/- 6. Right to salvage affected materials 	<p>The value of houses, buildings and other immovable properties will be determined without depreciation and as per the provisions of RTFCTLARR Act 2013.</p> <p>Stamp duty and registration charges will be borne in case of new houses or sites</p> <p>Houses in urban areas may be provided in multi-storied building complexes.</p>
c	Loss of Commercial structure	<ol style="list-style-type: none"> 1. Cash compensation as per Market Value for the Structure without depreciation and 100 % solatium. 2. One time grant to artisan, small trader and certain others shall get a one time financial assistance of Rs.25,000/- 3. Each affected commercial establishment which is displaced due to land acquisition shall be given a monthly subsistence allowance equivalent to Rs.3000/- per month for a period of one year from the date of award. 4. Transportation cost of Rs.50,000/- 5. Right to salvage affected materials 	<p>The value of commercial structures and other immovable properties will be determined without depreciation and as per Section 29 of RTFCTLARR Act 2013.</p>
d	Impacts to tenants (residential / commercial/agricultural)	<p>Residential</p> <ol style="list-style-type: none"> 1. Each affected family (not the owner) which is displaced due to land acquisition shall be given a monthly subsistence allowance equivalent to Rs.3000/- per month for a period of one year from the date of award. 2. One time financial assistance of Rs.50,000 as transportation cost for shifting of the family, building materials, belongings and cattle. 	

		<p>3. Right to salvage affected materials</p> <p><u>Commercial</u></p> <ol style="list-style-type: none"> 1. Each affected commercial establishment (not the owner) which is displaced due to land acquisition shall be given a monthly subsistence allowance equivalent of Rs.3000/per month for a period of one year from the date of award. 2. One time financial assistance of Rs.50,000 as transportation cost for shifting of the family, building materials, belongings and cattle. 3. One time grant to artisan, small trader and certain others shall get a one time financial assistance of Rs.25,000 <p><u>Agricultural Tenants</u></p> <p>In case of agricultural tenants advance notice to harvest crops or compensation for lost crop at market value of the yield determined by agricultural department</p>	
e	Impacts to trees, plants and standing crops,	The Collector for the purpose of determining the value of trees, plants and standing crops attached to the land acquired, use the services of experienced persons in the field of agriculture, forestry, horticulture, sericulture, or any other field, as may be considered necessary by him.	The compensation for the affected trees, plants shall be determined as per Section 29 (2)& (3) of the RTFCTLARR Act 2013.
II. Impacts to Non-title holders (Squatters)			

(a)	Loss of House:	<ul style="list-style-type: none"> • Compensation as per market value for the structure without depreciation • Alternative house with minimum area as per Government norms. The cost of alternative housing to be provided can be set off against all or part of the compensation payable for the structure lost. • One time Subsistence grant equivalent to 180 days of minimum wages which will be worked out as per the prevailing MNREGA rates. • One time financial assistance of Rs. 10,000/- as transportation cost for shifting of the family, building materials, belongings and cattle. • Right to salvage the affected materials. 	Houses in urban areas may, if necessary, be provided in multi-storied building complexes. The Titles for alternatives houses shall be provided in the joint name of the wife and husband.
(b)	Loss of shop:	<ul style="list-style-type: none"> • Compensation as per the market value of the structure without depreciation. • One time subsistence grant equivalent to 180 days of minimum wages which will be worked out as per the prevailing MNREGA rates. • One time financial assistance of Rs. 10,000/- as transportation cost for shifting. • One time assistance of Rs. 15,000/- toward economic rehabilitation. • Right to salvage the affected materials. 	
(c)	Encroached Structure:	<ul style="list-style-type: none"> • Cash compensation for the affected structure as per the Market Value without depreciation. • Right to salvage material. 	The value of commercial structures and other immovable properties will be determined by the Market Value of the encroached structure without depreciation.
(d)	Loss of Kiosk/	<ul style="list-style-type: none"> • Compensation as per The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014. 	
III. Loss of Income /Livelihood			
Loss of employment in non-agricultural activities or daily agricultural wage and other wage workers	Subsistence allowance equivalent monthly minimum agricultural/industrial wages for 3 months	Only agricultural labourers, who are in fulltime / permanent employment of the land owner or those affected full time	

			employees of the business will be eligible for this assistance.
IV. Impact to Vulnerable PAFs			
a	Vulnerable PAFs	<p>Training for skill development. This assistance includes cost of training and financial assistance for travel/conveyance and food.</p> <p>One adult member of the affected household, whose livelihood is affected, will be entitled for skill development.</p> <p>Additional assistance to the vulnerable PAFs whose livelihood/loss of shelter is impacted by the project will be paid additional one time assistance of Rs. 5000. Wherever possible, the vulnerable people shall be assisted in enrolling the applicable government programmes.</p>	<p>Training will be provided through relevant training institutions</p> <p>The one time assistance to the Vulnerable PAFs will be paid to only one type of impact for the multiple vulnerable impacts.</p>
Section V Impacts to Community Assets			
		<p>Wherever possible the community assets will be relocated in consultation with community.</p> <p>When the relocation of the community assets are not feasible, will be provided afresh.</p>	
Section VI. Unforeseen Impacts			
		Unforeseen impacts encountered during implementation will be addressed in accordance with the principles of this policy	

35.0 Impacts to Tribals: In Tamil Nadu, the tribal population in urban areas is only 0.4 percent (census 2011) and scattered all over the State. The tribal people in urban areas do not explicit typical characteristics such as living as a group; speak separate language from dominant population, having separate institutions in close attachment to the forest etc. Hence, the OP 4.10 is not triggered for this project.

BENEFICIARY ASSESSMENT

36.0 A baseline beneficiary assessment will be carried out for all the sub-projects wherever appropriate, through relevant instruments including sample household surveys, FGDs, secondary information through Census, NSSO data etc. to collect relevant baseline information related to the sub-projects. Beneficiary assessment will cover low income areas, perceptions among women, etc. This activity will be completed during the first year of the

contract award and will be used to measure the improvements against the baseline situations after the sub projects are completed and put into use.

SECTION 4 ESMF ADOPTION FRAMEWORK

37.0 TNUIFSL will check the financial viability of each project proposed to be funded by TNUDF. TNUIFSL will catalyse municipalities into attracting private investments on their own. The project cycle for appraising and monitoring projects forms the background for evaluation and management of environmental and social issues that could arise within projects that are scrutinised and funded by TNUDF. This section elaborates the project cycle of the TNUIFSL and the environmental and social assessment and management process therein. A risk evaluation and management process that is in consonance with the project cycle has also been elucidated.

PROJECT PREPARATION

38.0 TNUIFSL utilizes Technical Assistance funds to plan, develop and implement sustainable urban infrastructure projects posed for funding under TNUDF by providing design & supervision management support services, awareness campaign programmes and strengthening managerial capacity of the ULBs. TNUIFSL utilizes the financial assistance available under this component for preparation of detailed project reports (DPRs), carrying out Environmental and Social assessment in line with ESMF for issues associated with the projects, through appointment of consultants.

39.0 When preparing DPR with Technical assistance, TNUIFSL will categorize project as per ESMF and indicate the level of Environmental and Social Assessment required for the project in the Terms of Reference to be issued to the consultant. (Generic ToR for EA is included as Document-3 in Volume -II).

40.0 During the process of DPR preparation, consultants are required to carry out EA/SIA with household surveys, consultation and focus group discussions with the general public and other stakeholders at different stages to seek and Invite suggestions and feedback. In case of E1 and S1 projects, the environment and social assessment must be entrusted to consultants other than DPR consultants to ensure independence in assessments the impacts. Based on the outcome of consultations and survey result, mitigation plans as needed depending upon the nature and scale of impact will be prepared. The outcome of consultations will be incorporated in the mitigation plan or designs. The draft migration plans will be disclosed and consultation will be held to explain the people on the content of plans and process involved in the implementation of mitigation plans.

41.0 The project DPR/EA/SIA will be reviewed at different stages by a technical review committee formed for the purpose of reviewing the reports submitted by the Consultants with support from environment and social specialists of TNUIFSL .

42.0 Draft final reports of the EA/SIA will be forwarded to the World Bank for its review and comments after review by the Technical committee along with their observations/comments.

43.0 The final version of EA/SIA and EMP and RAPs reports in English with executive summaries in English and Tamil, shall be disclosed in the websites of the ULBs/relevant departments and TNUIFSL and will be made available in places accessible to the local people. For E1 and S1 projects these final reports shall also be disclosed in the website of World Bank.

PROJECT APPRAISAL

44.0 Environmental and social appraisal forms part of TNUIFSL appraisal process for the projects posed for funding. The project appraisal cycle of TNUIFSL and the interface with the ESMF requirements are as follows:

PROJECT SCREENING & CATEGORISATION

45.0 During the screening process the Environmental and Social risks will be assessed through the screening formats submitted by the borrower along with the loan application. (Screening formats are provided as Documents 1 and 2 in the Volume-II) Based on the screening, the environmental and social category of the project is determined and necessary EA/SIA and related EMP/SMP as required shall be prepared.

APPRAISAL PROCESS AND APPROVAL

46.0 During the Project Appraisal, Environmental and social aspects will be cross-checked against the standards set in the ESMF for the type of environmental and social issues:

- a. Adequacy of environmental and social assessment and management measures provided,
- b. Scope for enhancement opportunities
- c. Compliance with regulatory requirements and clearances
- d. Integration of environmental measures in to the design where ever relevant
- e. Arrangements for implementation of EMP, including institutional capacity and contractual provisions
- f. Inclusion of management measures with provisions in the project cost
- g. Inclusion of EMP provisions in the bid document
- h. Need for any legal covenant to address any specific environmental risks including regulatory risks (this could be an input to the sanction letter)
- i. Review of EA/SIA and mitigation plans (EMP/RAPs) and their adequacy to response to ESMF provisions and magnitude and nature of impacts.
- j. Disclosure of project information and Public consensus on the project and locations/ sites involved. (Guidelines for disclosure and public consultation is provided as Document-11 in Volume-II)

- k. Readiness of the sites required for the project. The guidelines for selection of sites for various urban infrastructure projects in provided in Document-10 in Volume-II.

47.0 During this stage field investigations will be carried out to verify various project components by TNUIFSL. Based on the above, TNUIFSL will intimate the borrower of the improvements required to comply with the ESMF. Accordingly, the revised EA/SIA and EMP/RAP will be reappraised to ensure that the reports comply with ESMF requirements.

48.0 A detailed E&S appraisal note will be prepared as part of the project appraisal. The appraisal note will include brief description of potential impact/risks and adequacy of mitigation plans prepared by the borrower and recommend the conditions to be imposed for monitoring and linking with the disbursement.

49.0 Budget sources. The borrowers will provide adequate budget for all land acquisition, compensation and R&R assistance from its own sources. The budget estimates and its sources will be reflected in RAPs and included in the cost of the project. Therefore, while appraising the project financially, necessary grant for viability as well as for meeting the cost of RAP would be considered by TNUIFSL within the framework for appraisal criteria. The World Bank loan will not be available for land acquisition compensation and R&R assistance paid in cash but will be available for costs such as works, purchase of goods and services, if required.

50.0 Compensation and R&R assistance payment- Escrow Account. The compensation and R&R assistance will be paid prior to taking over of land and affected assets. In case if the land owner refuses to accept the compensation or is not available for taking over of the compensation or R&R assistance is not paid for any other reasons, the assessed compensation and assistance amounts will be transferred to interest bearing escrow account before taking over of the land and assets. This is to ensure that money is available as soon as the land owners come forward to receive compensation. No income tax will be deducted for the compensation or R&R assistance paid in cash.

LOAN SANCTION/DISBURSEMENT

51.0 Loan Sanctioning Letter to the borrower will be issued including a covenant for ESMF adoption and compliance. Council resolution will be passed for the acceptance of Terms and Conditions of the Loan Sanctioning Letter.

52.0 Prior to award of contracts, the borrowers shall submit the Readiness Certificate certified by the Commissioner of concerned ULB fulfilling the requirements of Social Safeguards. The Readiness certificate shall confirm the availability of sites, and RoW required for the project, payment of compensation for the Land to the Title holders, R&R assistance to PAPs or credited in the escrow account in the event of non-

acceptance of the compensation or due to legal issue or people not available to accept the compensation.

53.0 The first loan installment will be then disbursed on confirmation that the ULB has included the EMP/SMP provision in the contract condition and in the agreement with the prospective contractors for project implementation.

GRIEVANCE REDRESS MECHANISM

54.0 In order to redress the grievance raised by any affected person from project implementation, project level Grievance Redressal Committee (GRC) shall be established as a grievance redressal mechanism. In addition to the project level GRC, redressal of grievances relating to Land Acquisition will be as per the RTFCTLARR Act, 2013.

GRIEVANCE REDRESS COMMITTEE (GRC)

55.0 The Project level GRC shall be constituted with three persons with (preferably one of them as woman).

1. One from the ULB/Implementing Agency (Convener)
2. Any One Elected Representative
3. A person who is publicly known in the local area.

56.0 The GRC shall

- Convene meetings of the committee as necessary at such place or places in the PIA as he considers appropriate; and
- Conduct the proceedings in an informal manner as he considers appropriate with the object to bring an amicable settlement between the parties.

57.0 Step by step approach will be followed for redressing grievances. First, the aggrieved PAP to approach the GRC in the first stage and the grievance committee will look into the grievances and resolve the issues. The proceedings of GRC will be documented.

58.0 If not satisfied with the resolution provided by GRC, then the complainants can appeal to the grievance redressal mechanisms available at the office of CMA/DTP/CoC at Chennai. The GRC will be in place, prior to invitation of bids. Details are enclosed in Document-12 in Volume –II.

PUBLIC CONSULTATION AND PARTICIPATION

59.0 As part of environment and social assessment, public consultations will be held by the borrower through appropriate instruments including focus group discussion, stakeholder consultations, etc. Specific consultations will be held around the sites proposed for different facilities to seek the residents support for those sites. The outcome of consultations will be incorporated as appropriate in the designs and

mitigation plans. As part of such consultations, the draft Mitigation Plans will also be presented and explained to the people on the content and process of the implementation of the plans. For E1/S1 projects atleast two consultations shall be conducted, one at screening stage and the second with the draft final EA / EMP/ RAP.

60.0 Public consultation requirements and process, reporting etc is provided as Document-11 in Volume-II. The consultations followed by the dissemination reports shall be prepared by the borrower at appropriate stages, as required.

61.0 In all sub-projects involving resettlement, and prior to the preparation of Resettlement Action Plans, the PAPs will be informed of the project objectives, likely impacts and essential provisions of Resettlement Policy through the following activities:

- Information campaigns using media, posters or information leaflets;
- Holding public meetings;
- Arranging interviews with the PAPs & their stakeholders groups;
- Formation of focus groups involving key stakeholders, like local leaders, women, the poor, etc;
- Setting up various committees for planning, implementation and monitoring purposes;
- Involvement of the PAPs in grievance redress process, and;
- Introduction of a social preparation phase;

62.0 In order to discuss and seek opinion / suggestion from the PAPs / their representative shall be formally invited to participate in various meetings regarding resettlement issue as convened by PIA. As part of such consultations, draft RAPs will be presented and explained for the context and process and eligible entitlements of the people.

PUBLIC DISCLOSURE

63.0 The following documents shall be disclosed in the Offices of the borrower and PIA offices, besides in the websites of the ULBs/relevant departments and TNUIFSL.

- a. ESMF
- b. The approved EA/SIA reports in English
- c. Executive Summary in English and Tamil.
- d. The Tamil version of Entitlement Matrix
- e. EMP/RAP/ARAP documents
- f. Annual E & S Audits
- g. Resettlement Impact Evaluation Report;

In addition, all E1/ S1 sub-projects, the above documents will be submitted to the Infoshop for disclosure by the World Bank.

64.0 Applicability of ESMF for Technical Assistance (TA) undertaken with support from World Bank Loan. A number of preparatory studies are expected to be undertaken for various sub-projects which may be financed / implemented outside of the loan of TNSUDP. Wherever feasibility or DPRs are prepared, the corresponding EA/SIA and RAP/EMP preparation will be undertaken in accordance with the policy provisions and the outputs and reports of these studies will be submitted for Bank's review and endorsement and these will be approved by the competent authorities and disclosed. These will be prepared in a manner consistent with ESMF for TNSUDP sub-projects. However, the implementation of these RAPs / EMPs will be taken up as and when they are implemented depending upon the circumstance and are not subject to the Bank's supervision.

PROJECT MONITORING, AUDIT AND EVALUATION

65.0 TNUIFSL monitors all projects that it finances to ensure conformity to standards during construction, operation and maintenance. Monitoring of Environmental and Social components will be carried out through environmental and social compliance reports that form part of monthly Progress Reports . Based on verification of progress reports and field visits, these compliance reports and compliance to other loan disbursement conditions, subsequent installments will be disbursed by TNUDF. The impact evaluation of Resettlement implementation will be carried out in the Mid Term and End Term to document the outcomes of the RAP/RP implementation and take any remedial measures if needed in realizing the objectives of resettlement.

66.0 TNUIFSL expects to ensure that the sub-borrower makes adequate internal arrangements to monitor the EMP/SMP implementation and submit regular progress reports including environmental and social compliance reports to TNUIFSL. This will be described in the mitigation plans. The model format for preparation of ESMF compliance report is provided in Document-13 in Volume-II. TNUIFSL will undertake quarterly field visits to those sub-projects which are under implementation during construction stage and the report findings will be shared with respective implementing agencies for their follow-up. The non compliance and their remedial measures will be highlighted in these reports which will be communicated and followed-up.

67.0 Coordination between RAP Implementation and Civil works: In order to ensure that the affected people receive the compensation and assistance prior to taking over of land, coordination between various procurement and works related activities are to be reflected in the RAP. Actions to be completed before issue of bids includes: (i) Final approval and disclosure of RAP, wherever is applicable,(ii) the first notification for private land acquisition if involved; (iii) issue of identity cards to eligible project affected families.

68.0 During contract implementation, the payment of land acquisition compensation and R&R assistance along with replacement of affected community assets should have been completed and this will be certified by ULBs with necessary details from District Administration and CMA will certify encumbrance free sites with all approval and clearances prior to handing over of the each of the sites to the contractors.

69.0 TNUIFSL will undertake annual audits of its portfolio to review the status of ESMF compliance. The audit will focus on the process followed for categorization and approval of E & S reports, disclosures and related aspects. The audit will also be based on field visits to all E-1/S1 projects and sample E2/S2 projects to verify the implementation on the ground and solicit feedback from the affected people and other stake holders. The audit will be carried out every year for the activities completed until previous financial year. The draft report shall be forwarded to the World Bank by September 30 and upon approval the final audit report will be disclosed. The Review Committee shall comprise of representatives from CMA/CoC/CMWSSB/TWADB/TNUIFSL and other participating departments. The Terms of Reference for ESMF audit is attached as Document-9 in Volume-II.

70.0 TNUIFSL will review these audit reports and identify technical, managerial, policy or regulatory issues with regards to the compliance of the EA or SA and EMP/RAP reports. The identified technical issues will be duly incorporated in the subsequent projects, policy and regulatory issues will be debated internally by the TNUIFSL internal review committee and determine the need for appropriate interventions. These interventions could include appropriate revision of ESMF document or suitable analytical studies to influence policy or programs of the state. The audit observations/recommendations will be complied and followed-up as part of monitoring by TNUIFSL.

Table 9: TNUIFSL's PROJECT APPRAISAL PROCESS FOR TNSUDP

MILE STONES	Objectives	PROCESS	RESPONSIBILITY	DECISION/ PRODUCT
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MILE STONES	Objectives	PROCESS	RESPONSIBILITY	DECISION/ PRODUCT
1.Project Screening	To appraise the borrower about TNUDF's lending requirements	a. Discussions with borrower to <ul style="list-style-type: none"> - assess eligibility of project based on TNUDF's lending policies - categorise project from environmental and social perspective - identify scope of project report b. Issue Loan Application form c. Issue Environment and Social screening format d. Appraise the borrower of ESMF requirements	<ul style="list-style-type: none"> • TNUIFSL • Borrower 	<ul style="list-style-type: none"> • Decision to proceed or not with an Initial Screening Report (ISR) • Loan Application Form issued • Appropriate Information for DPR issued.
	<ul style="list-style-type: none"> • Prepare Initial Screening report 	a. Receive Loan Application form along with Environmental and social screening formats b. Assess <ul style="list-style-type: none"> - creditworthiness of borrower - financial/economic rate of return - loan : grant proportion - environmental and social impacts - project/borrower/other risks c. Categorise <ul style="list-style-type: none"> -E&S Categorisation of the project 	<ul style="list-style-type: none"> • TNUIFSL • Borrower 	<ul style="list-style-type: none"> • Initial Screening report • Decision whether or not to take up project for detailed appraisal • determine the level of EA/SIA required

MILE STONES	Objectives	PROCESS	RESPONSIBILITY	DECISION/ PRODUCT
	<ul style="list-style-type: none"> • Receive DPR from borrower 	a. Desk review <ul style="list-style-type: none"> - check project report against checklist 	<ul style="list-style-type: none"> • TNUIFSL • Borrower 	<ul style="list-style-type: none"> • Project Report received
2. Project Appraisal	<ul style="list-style-type: none"> • Appraise DPR 	a. Detailed appraisal. Site investigation if necessary, to assess <ul style="list-style-type: none"> - suitability of site - availability of inputs - technical and engineering designs - construction, operation and maintenance arrangements - environmental, and social assessment and adequacy of EMP/SMPs - economic and financial viability - financial and operating plan - institutional and legal framework -contractual framework -risk analysis/allocation -clearances from regulatory agencies - Public consultation 	<ul style="list-style-type: none"> • TNUIFSL • Borrower 	<ul style="list-style-type: none"> • Project Appraisal Report with decision to <ul style="list-style-type: none"> - accept project as submitted - accept with modifications reject - Public consultation/dissemination report as required
3. Loan Sanction/ Disbursement	<ul style="list-style-type: none"> • Approvals from appropriate authorities 	a. Send Detailed Project Report for approval	<ul style="list-style-type: none"> • TNUIFSL 	<ul style="list-style-type: none"> • Approval of the project with E and S conditions as needed

MILE STONES	Objectives	PROCESS	RESPONSIBILITY	DECISION/ PRODUCT
	Concurrence from the World Bank	a. Obtain concurrence from the World Bank for project report (for all E 1and /or S1 projects and other projects as required)	<ul style="list-style-type: none"> • TNUIFSL • World Bank 	<ul style="list-style-type: none"> • World Bank's concurrence for the project report. • E&S disclosure
	<ul style="list-style-type: none"> • Issue of Sanction letter 	a. Discuss Terms of Agreement (TOA) for the project <ul style="list-style-type: none"> - interest rate - repayment schedule -security/guarantees - environmental and social commitment 	<ul style="list-style-type: none"> • TNUIFSL • Borrower 	<ul style="list-style-type: none"> • Sanction Letter issued • Council Resolution for acceptance of Terms and conditions of loan sanctioning letter. • Social Safeguards Readiness Certificate prior to award of contracts.
	<ul style="list-style-type: none"> • Finalize Loan Agreement 	a. Prepare and sign Loan Agreement b. Disburse first installment	<ul style="list-style-type: none"> • TNUIFSL • Borrower 	<ul style="list-style-type: none"> • Loan Agreements signed • First Installment disbursed
4.Project Monitoring Audit and Recovery.	Ensure conformity to standards during construction, operation & maintenance	a. Prepare progress reports b. Field visits as required c. Annual ESMF Audit	<ul style="list-style-type: none"> • Borrower • TNUIFSL 	<ul style="list-style-type: none"> • Monthly Compliance /Progress reports • Field Visit/ Inspection Reports
	<ul style="list-style-type: none"> • Ensure Implementation of agreed EMP / RAP 	a. Prepare progress reports b. Field visits as required	<ul style="list-style-type: none"> • Borrower • TNUIFSL 	<ul style="list-style-type: none"> • Monthly Compliance /Progress reports as per Document 13 of Volume II of ESMF
	Ensure compliance to loan disbursement conditions	a. Disburse subsequent installments b. Prepare Project completion report	<ul style="list-style-type: none"> • TNUIFSL • Borrower 	<ul style="list-style-type: none"> • Compliance report • Project completion report

MILE STONES	Objectives	PROCESS	RESPONSIBILITY	DECISION/ PRODUCT
	<ul style="list-style-type: none"> • Audit project, if sampled 	a. Audit projects with the help of External/ Corporate consultants.	<ul style="list-style-type: none"> • TNUIFSL 	<ul style="list-style-type: none"> • Audit report • ESMF Audit report disclosure.
	<ul style="list-style-type: none"> • Ensure no defaults occur in repayments 	a. Enforce loan recovery mechanism	<ul style="list-style-type: none"> • TNUIFSL • Borrower 	<ul style="list-style-type: none"> • Recovery of payments
	<ul style="list-style-type: none"> • To assess the impact of compensation and assistance provided to the PAPs in improving their living standards 	Impact Evaluation Study to confirm the outcome of implementation of RAP.	<ul style="list-style-type: none"> • TNUIFSL • Borrower 	<ul style="list-style-type: none"> • End Term R&R Study Report

SECTION 5 INSTITUTIONAL FRAMEWORK

71.0 TNUIFSL has an established organization support structure to ensure that the policy obligations and associated procedures in the ESMF are implemented. The implementation experience of ESMF in urban infrastructure projects necessitates extension of the responsibility to the Borrowers/IA to enhance safeguard arrangements at the implementing agencies, besides Capacity Building.

TNUIFSL

72.0 TNUIFSL has deployed professionals headed by a Chairperson and Managing Director (CMD). It has three divisions viz. the Projects, Consultancy and Finance supported with ESS Managers to ensure implementation of ESMF in both project preparation and implementation of projects. Currently, TNUIFSL has two Environmental and Social Safeguard Managers (One Environmental and one Social) who would be adequate for the same. The outline TOR for these two Managers in the context of TNSUDP is described in Document-8 in Volume II. The existing structure clearly delineates the roles and responsibilities for its staffs with respect to management of E&S issues.

73.0 TNUIFSL will be responsible to approve the categorization of the project based on screening information provided by the borrower and provide guidance to the borrower to ensure that the Environment and social documents are prepared satisfactorily leading to appraisal of sub-projects. As part of appraisal, the E&S conditions to be identified for sub-loan approval and the final documents will be approved by TNUIFSL/World Bank and disclosed. TNUIFSL will supervise and monitor implementation of social and environmental safeguards in sub-projects as per this ESMF.

74.0 Preparation and implementation of the Resettlement Action Plan/ Abbreviated Resettlement Action Plan and other reports, as required, will be the responsibility of the borrowers/Implementing Agencies. Periodical review and monitoring will be done by TNUIFSL/DMA/CoC etc.

Borrowers and Implementing Agencies

75.0 **Commissionerate of Municipal Administration:** The Commissionerate of Municipal Administration will have dedicated environmental and social experts with appropriate qualification and experience for coordinating with Urban Local Bodies and Government approvals and statutory clearances to ensure adoption of Environmental and Social safeguards in ULBs, submit the relevant documents/ reports for the adopting and compliance of the ESMF, as required. CMA will assist the ULBs in securing "Enter Upon Permissions and Land alienation" for other Government lands whoever involved and processing the private land acquisition proposals with District

Administration. CMA will verify and certify the sites are free of encumbrances and all required permissions are received before handing over site to the contactors for construction. The E and S specialist of CMA will join the field visits undertaken by TNUIFSL as part of monitoring the subprojects.

- 76.0 **Corporation of Chennai:** Corporation of Chennai will implement one of the largest sub-projects of TNSUDP-Strom Water Drainage in Extended Areas and other sub-projects such as city roads and lake improvements. In order to manage the environment and social impacts in these sub-projects, CoC will have two full time Environmental & Social experts with appropriate qualification and experience for ensuring adoption of Environmental and Social safeguards in project implementation and submit relevant documents/monthly reports in compliance with ESMF, as required. These specialists will be responsible for managing the preparation of sub-projects for environment and social impacts and organizing consultations and coordinating with other Government departments for various approvals and processing land acquisition proposals and implementation of RAPs, and associated activities.
- 77.0 **Implementing Agencies:** The Implementing Agencies shall have Environmental & Social experts for ESMF implementation and submit the compliance reports on environmental and social safeguards along with physical progress reports, as required. The frequency of compliance report submission is monthly or as needed.
- 78.0 **Project Management Consultants (PMC):** The Terms of Reference for PMC services shall include supervision of environment and social impacts in the implementation of the projects and in case of E1 and S1 projects the PMC team will have the inputs of E and S experts as appropriate. The PMC will submit the compliance reports on environmental and social safeguards along with physical progress reports, as required. The frequency of compliance report submission is **monthly**.

Capacity Building

- 79.0 TNUIFSL envisages capacity building for its borrowers who will include Urban Local Bodies, Statutory Boards, Public Undertakings and Potential Private Operators in order to ensure that the ESMF is effectively operationalised. This will be accomplished by organising sensitization programs, workshops, training programs, etc which will be coordinated and anchored through training institutions in Tamil Nadu (such as Tamil Nadu Institute of Urban Studies) and other local and National Institutions and individuals experienced in various aspects of urban infrastructure projects through proposal. The expertise of the World Bank also will be availed for capacity building exercise.
- 80.0 The training programs on ESMF will be conducted as part of orientation programs on the various aspects of urban infrastructure like Municipal Finance, Urban Planning, Project Management and Engineering and Public Health,. Course for ESMF training

will include EA, SIA, new land acquisition and R&R act, preparation and implementation of EMP and RAPs, consultations and public hearing, regulatory requirements, ESMF adoption and compliance, sustainable urban development, energy efficiency, climate change mitigation & adaptation, etc. Details of training program are provided in Table 10.

81.0 TNUIFSL will make a conscious effort to mainstream the environmental and social topics with the main training program of projects. The program will be structured in such a way that it clearly brings out the value addition and enhancement benefits of proper management of environmental and social issues.

82.0 TNUIFSL also proposes enhancing capacity of its own staff and ESS managers in environmental and social safeguards, technical aspects of the proposed projects, through orientation programs, trainings, exposure visits to similar projects implemented, courses and participation in both national and international training courses and seminars/workshops, etc.

The proposed capacity building activities will be supported through Urban Sector TA Component or TNUDF TA sub-component of TNSUDP.

Table 10 Training Programme (2014 – 2019)

Programs	Contents			Duration / Schedule	Participants
Program 1 Orientation Program / Workshop for Project Development agency/ Project Implementing agency					
	Module 1 – ESMF Profile <ul style="list-style-type: none"> ▪ TNUIFSL Concept ▪ ESMF Concept ▪ Regulatory Requirements-E&S Priority Issues ▪ Project Cycle of TNUIFSL ▪ EA/SA Process Outline ▪ Reports & Formats 	Module 2 Environmental Impact Assessment Process <ul style="list-style-type: none"> ▪ Environmental Laws & Regulations ▪ EA process ▪ Identification of Environmental Impacts ▪ Impact Identification Methods ▪ Identification of Mitigation Measures ▪ Formulation of Environmental Management Plan ▪ Climate Change adaptation and Mitigation Plans ▪ Implementation and Monitoring ▪ Institutional Mechanism 	Module 3 Social Impact Assessment Process <ul style="list-style-type: none"> R&R policies and procedures National & World Bank’s regulatory requirements LA process Identification of PAPs Social Entitlement Frameworks Social Impact Assessment RAP Techniques Beneficiary Assessments 	1½ days (1st, 3rd and 5th year of the project)	<ul style="list-style-type: none"> ▪ Officials of the ULBs and IAs involved in the implementation of EAPs. ▪ Officials of Statutory Boards, Public Undertakings and other monitoring agencies such as CMA, CMDA, TNPCB, Revenue Department, Department of Environment & Forests, etc. ▪ Field and supervising officials of the private operators / contracting firms / consultants.

Program -2 Workshop on Sectoral Environmental and Social Impact Assessment				
	<p>Module I - ESMF Concept TNUIFSL Concept ESMF Concept Regulatory Requirements-E&S Priority Issues Project Cycle of TNUIFSL EA/SA Process Outline Reports & Formats</p> <p>Module II - Generic Modules applicable be developed for Water Supply and Sanitation, Solid Waste Management, Transportation including urban roads and traffic management, Commercial Complexes, Non commercial/Community Amenities, Integrated area development, and Improvement / Rehabilitation of Lakes / waterways</p> <ul style="list-style-type: none"> ▪ Regulatory Requirements-E&S Priority Issues ▪ EA/SIA Process Outline ▪ Identification of Environmental Impacts ▪ Identification Mitigation Measures ▪ Formulation of Environmental Management Plan ▪ Climate Change adaptation and mitigation ▪ Implementation and Monitoring ▪ Social Entitlement Frameworks ▪ Social Impact Assessment ▪ RAP Techniques ▪ Case Studies 	<p>Module III – Open Forum Feed back and comments from the Participants.</p>	<p>1½ days (every alternate years) (Introduction will be common to all and participants will be split according to their respective sectors)</p>	<ul style="list-style-type: none"> ▪ Officials of the ULBs and IAs involved in the implementation of EAPs. ▪ Officials of Statutory Boards, Public Undertakings and other monitoring agencies such as CMA, CMDA, TNPCB, Revenue Department, Department of Environment & Forests, etc. ▪ Field and supervising officials of the private operators / contracting firms / consultants.

	Program -3 Experience Sharing		
	<p>Module – Experiences and Best Practices Experiences on implementation of ESMF in implemented projects. Best Practices Site visits to project towns/sites.</p>	<p>2 Days (3rd and 5th year of the project)</p>	<ul style="list-style-type: none"> ▪ Officials of the ULBs and IAs involved in the implementation of EAPs. ▪ Officials of Statutory Boards, Public Undertakings and other monitoring agencies such as CMA, CMDA, TNPCB, Revenue Department, Department of Environment & Forests, etc. ▪ Field and supervising officials of the private operators / contracting firms / consultants.

SECTION 6 OUTCOME OF STAKEHOLDERS' WORKSHOP AND DISCLOSURE

- 83.0 **STAKEHOLDERS' WORKSHOP:** A stakeholders' workshop on the Draft ESMF was organized by TNUIFSL on 05.12.2014. During the workshop, the stakeholders appreciated the provision of entitlement to non-title holders also and expressed their overall satisfaction on the provisions of ESMF document. The details of the consultation are provided in Annexure 1.
- 84.0 **Public Disclosure:** The Draft ESMF was disclosed in the websites of the TNUIFSL & CMA and no comments were received.

SUMMARY OF STAKEHOLDER'S WORKSHOP ON DRAFT ESMF

List of participants:

S.No	Name & Address	Designation	Organisation
1.	V.Subramanian	S.E (T&T-N),	CMWSSB
2.	M.Vaitheeswaran	AE	CMA
3.	N.Asokan	Deputy Chief Engineer	TWAD Board
4.	J.A. Mohammed Ibrahim	Deputy Chief Engineer	TWAD Board
5.	J.Babu Rajendran	CE/ Special Projects	Corporation of Chennai
6.	P. Rajendran	EE/ SWDD	Corporation of Chennai
7.	B.V.Babu	EE/ Special Projects	Corporation of Chennai
8.	S.R.Balasubramani	AEE/ Special Projects	Corporation of Chennai
9.	V. Pambarasan	AEE/ Special Projects	Corporation of Chennai
10.	G.Logeswaran	AEE/ Special Projects	Corporation of Chennai
11.	R.Selvakumar	AEE/SWD	Corporation of Chennai
12.	K.Seenuvasan	Municipal Engineer	Pallavaram Municipality
13.	A.Gurusamy	Municipal Engineer	Hosur Municipality
14.	P.Chelladurai	Work Overseer	Theni Municipality
15.	P.V.Ravichandran	Commissioner (i/c)	Pammal Municipality
16.	Vijaya.V	Social Planner	Bloom Consulting Services (Formerly SCOPE India Trust)
17.	M.Sathia Baskar	Social Specialist	Bloom Consulting Services (Formerly SCOPE India Trust)
18.	Premanjali Rao	Director	CRNEIO
19.	Premchandran	Representative	CRNEIO

The Stakeholder workshop on the Draft ESMF was organized at 4:00 PM on 5.12.2014 in TNUIFSL.

Invitation for the stakeholder workshop was sent to all the stakeholders of the proposed TNSUDP and other organisations. The participants of the workshop included representatives from the Directorate of Municipal Administration, Corporation of Chennai, Chennai Metropolitan Water Supply & Sewerage Board, TWAD Board, Urban Local Bodies, CRNEIO (Centre for Research On New International Economic Order) and various Safeguard Specialists.

During the workshop, a power point presentation was made on draft Environmental and Social Management Framework prepared exclusively for the proposed Tamil Nadu Sustainable Urban Development Project (TNSUDP), provisions made in the ESMF for addressing the environmental and social issues like screening, project categorization and

impacts, Safeguard requirements, Institutional framework including monitoring and capacity building, entitlement for the PAPs, management plans etc.

The outcomes of the workshop are as follows:

1. The participants appreciated the provision in the entitlement matrix to assist the non-title holders.
2. Participants from ULBs enquired about the sub-project categorization process, ESMF compliance requirements which were explained to them.
3. The COC suggested that the inclusion of environmental and social safeguards specialists in the PMC may be done away with since it has proposed to appoint dedicated environmental and social safeguards specialists. It was clarified that E&S specialists in the PMC are very much required since they will take care of the safeguard compliance with respect to the day to day activities pertaining to the sub-project whereas the specialists to be appointed may oversee the compliance aspects for all sub-projects of COC.

The workshop ended with Vote of Thanks to all the participants.