

**Government of Himachal Pradesh  
Himachal Pradesh Forest Department**

**INTEGRATED PROJECT FOR SOURCE SUSTAINABILITY  
AND CLIMATE RESILIENT RAIN-FED AGRICULTURE IN  
HIMACHAL PRADESH  
(World Bank Assisted)**

**Environment and Social Standards (ESS) Plans**

**Final Report  
26 December 2019**

**Himachal Pradesh Forest Department  
Project Management Unit  
Solan, Himachal Pradesh**

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## Project Description

### 1. Background

The Government of Himachal Pradesh (GoHP) is preparing the Integrated Project for Source Sustainability and Climate Resilient Rain-fed Agriculture (IP) in the selected Gram Panchayats of the State, with financing from the World Bank. IP carries forward the ideas and learnings of H.P. Mid Himalayan Watershed Development Project (HPMHWDP). The proposed IP will invest in measures in upstream catchment areas to improve sustainable land and watershed management to promote the sustainability of perennial water sources. It will also support continued diversification and commercialization of agricultural value chains in downstream areas by supporting production and value addition including the promoting efficient water use thereby increasing the productivity of water in agriculture. It will adopt a spatial approach by (i) applying a landscape approach to individual high-risk micro-watersheds within select river basins in Himachal Pradesh; and (ii) overlaying this with a cluster approach to target value chain investments in specific locations to leverage economies of scale and network externalities. In parallel, the project will develop and demonstrate the application of an analytical evidence base to inform strategic policy choices viz. the trade-offs between alternative water use and will pilot a new institutional arrangement for addressing complex multi-sectoral concepts such as sustainable landscape management that involves several sectors and multiple Government departments.

### 2. Project Description

Project Development Objective(s). The project development objective of the proposed Integrated Project for Source Sustainability and Climate Resilient Rain-fed Agriculture in Himachal Pradesh (henceforth, IP) is "To improve upstream watershed management and increase agricultural water productivity in selected Gram Panchayats in Himachal Pradesh."

Project Area. The IP will be implemented in 428 selected GPs of 32 Development Blocks that cover 10 districts of Shimla, Solan, Sirmour, Bilaspur, Hamirpur, Mandi, Kullu, Chamba, Kangra & Una. The project area shall be covering three out of the four major agro climatic zones of the State i.e. Shivalik hills, Mid-hills & the High hills.

Project Beneficiaries. The primary stakeholders and key beneficiaries of the project include farming communities/groups, Gram Panchayats, and other community based groups in the project villages, including women cultivators & Self Help Group members, nomadic/transhumant/pastoral communities, and other vulnerable/disadvantaged section of the local communities such as scheduled caste (SC), Scheduled Tribe (ST), below the poverty line (BPL) households and small and marginal farmers. These groups will benefit from improved access to irrigation water, climate smart extension services, and markets as well as the future reductions in land degradation. Women, and the community at large, will also benefit from employment opportunities in nursery and plantation activities and the development of high value agricultural value chains and Non-timber Forest Products (NTFPs). Community members will benefit from training on improved production and post-harvest practices, and basic business skills, as well as technical and financial support to invest in sustainable value chain development. Improvements in fodder availability as a result of the Component 1 investments will particularly benefit women and Scheduled Tribes, as they are most involved with livestock management. The project will also increase the skills and capacity of the HPFD

and other government departments, as well as of other agencies involved in value chains. The main implementers and beneficiaries will be HPFD staff and relevant community organizations such as sub-groups of the GP user groups set up (or strengthened, where appropriate) under the project. The component will include a combination of technical assistance (TA), investments, and partnerships with other agencies.

### 3. Project Components

Component 1: Sustainable Land and Water Resource Management: This component promotes participatory and sustainable land and water management through financing the planning and implementation of upstream investments in selected micro-catchments. Under *Subcomponent 1A (Improved planning for participatory and sustainable land and water management)*, the key interventions will be:

- a) establishment of a network of hydrological monitoring stations to monitor the quality and quantity of water on a continuous basis;
- b) preparation of GP level, site-specific, participatory resource management plans (GP-RMPs);
- c) diagnostic studies, designs, and assessments;
- d) engagement of technical and Information Technology (IT) consultants to support the design, database and mapping requirements of GP-RMP; and
- e) design and implementation of a catchment monitoring and evaluation (M&E) system that incorporates water flows and sediment loads.

The *Subcomponent 1B (Implementation of participatory and sustainable land and water management investments)* will finance implementation of activities identified in the GP-RMPs and will have the technical specifications for works and equipment supply and terms of reference for consultancy services developed at this time. These activities will be implemented by the HPFD in cooperation with the community user groups and will include the following interventions:

- a) Soil and water conservation measures including afforestation, re-forestation, grass seeding, grass turfs, brushwood, live hedges, and spurs, as well as mechanical measures, such as check dams, drop structures, wire-crate spur structures, bunds and water harvesting, and drainage line treatments, such as gully plugging.
- b) Forest management. Planting and management of trees in open and medium density forests and slopes vulnerable to soil erosion and protection of plantations.
- c) Pasture management. Introduction of rotational grazing, delineation of forest areas for the supply of fodder, and the introduction of voluntary systems to prevent livestock from grazing in young forest.
- d) Other activities at the project level rather than GP- or micro-catchment level would include: Development of high-quality seed stands. Establishment of a geo-referenced seed production system to select the best phenotypic seeds for given environmental conditions which will allow adaption to changing climatic and vegetative zones; construction of a centralized seed center to process, treat, store, and test seed; and construction of a climate-controlled seed bank.
- e) Nursery development. Procurement of works, machinery, and equipment to produce the additional seedlings of the correct quality in the right location.
- f) Forest fire prevention and suppression. Organization of community fire protection groups; provision of locally-appropriate fire fighting equipment to the HPFD offices and participating communities; and training of communities on controlled burning, and the collection and use of pine needles.

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- g) Innovative approaches to silviculture will be trialed by HPFD as simple replicated plots to determine the most appropriate and most cost-effective treatments. Potential topics for research will include size and types of seedlings, plantation spacing, and the treatment of invasive species.
  - h) establishment and financing of an operation, maintenance and investment fund (OMIF). The OMIF will be established under existing GP financial management procedures to meet the operations and maintenance (O&M) responsibilities of community infrastructure related to sustainable land and water management (SLWM) that is constructed under this project and that already existed.

*Component 2: Improved Agricultural Productivity and Value Addition.* This component will support interventions in downstream areas where the primary (existing or potential) water use is for irrigation in agriculture. It would seek to augment the use of irrigation as a principle strategy for shifting from low-value cereal production to climate resilient crop varieties, higher-value fruit and vegetable production but would do so with a focus on increasing climate resilience and water productivity to maximize the financial returns for water use. The *Subcomponent 2A (Improved water productivity)* will support investments in provision of water by investing in primary and secondary distribution infrastructure at the community level and farm-level irrigation equipment. Key interventions supported will be:

- a) water harvesting, storage, and distribution infrastructure, such as (small) pond excavation, community tank renovation, roof rain-water tank installation, strengthening of traditional irrigation channels, and gravity and lift intake and distribution structures;

The *Subcomponent 2B (Adoption of Climate Smart Technologies and Diversification into High-Value Crops)* will support wider adoption of Climate Smart Agriculture (CSA) practices in conjunction with increased access to irrigation, for existing cropping patterns and/or diversification into high-, climate-resilient crops. The key interventions will be:

- b) partnerships to finance the incremental operational costs of existing State delivery agencies, research institutions and consultancy services where complementary non-state services are required;
- c) Studies on market analysis and strategies for value addition in high value crops, including medicinal and aromatic plants;
- d) “last-mile” market access infrastructure such as footbridges and manually operated, ropeways (but not roads or investments requiring land acquisition).
- e) matching grants to individual farmers and farmer groups for essential productive assets (in addition to on-farm irrigation equipment under the previous sub-component). Private goods for individual beneficiaries will, on average, require a greater beneficiary contribution.

*Component 3: Institutional Capacity Building for Integrated Watershed Management.* This component will support adoption of a more comprehensive and holistic approach to managing the water resources in HP, along with better alignment of institutional mandates for Integrated Watershed Management (IWM). It will also strengthen HPFD’s institutional structure and capacity for improved service delivery. Under *Subcomponent 3A: Improving the governance structure for integrated watershed management*, the key activities will be

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- a) an institutional assessment of Integrated Watershed Management to inform GoHP and other state governments. This sub-component will be implemented by a consultancy company specializing in change management.

Under *Subcomponent 3B: Institutional reform and strengthening of the Himachal Pradesh Forest Department*, the key activities will be:

- a) functional review of forest institutions to inform institutional reform in HP and other states. This sub-component will also help develop an initial set of prioritized institutional governance reforms through TA;
- b) training and capacity-building activities informed by climate change perspective, CSA practices and technologies, and resource-efficient agricultural production systems in HP;
- c) Development and implementation of an IT Strategy including monitoring and evaluation;
- d) Development and delivery of new training modules required for the changing role of HPFD.

Component 4: Project Management: This component will support the project management function, including key staff and operational costs. The project management entity will be in the form of a PMU, although at least in the medium-term financing will be required for staff on secondment from other Departments and externally recruited staff in areas with skillsets outside the current bureaucratic capacity. A key example is agribusiness for which few existing staff of Departments have the required expertise. It would also support the project monitoring and evaluation functions as well as grievance redress apparatus, and project communications and outreach including the contribution to Lighthouse India by which project lessons can be shared with other States.

Implementation Agency. The Himachal Pradesh Forest Department is the main implementing agency for the HP IP project. A PMU will be established under the HPFD along with divisional offices to oversee project activities at the District level. The PMU and divisional project offices (DPOs) will include technical specialists from a range of other departments to ensure a full complement of technical competence across the range of sectors. The project will seek to leverage existing programs (e.g. KVK) and public sector providers such as the extension and research systems and agreements will be reach between agencies to this effect. Activities at the village level will be implemented by the GPs to promote direct community/ beneficiary participation. A project steering committee will be established chaired by the Additional secretary to inter alia review annual work plans and facilitate coordination across Departments.

#### **4. Present ESS Plans**

The Himachal Pradesh Forest Department has commissioned Samaj Vikas Development Support Organisation ([info@samajvikas.org](mailto:info@samajvikas.org)) to conduct the Environmental and Social Assessment of the Project and prepare the Environmental and Social Management Framework along with the Environmental and Social Management Plan and other Plans such as Labour Management Procedures, Integrated Pest & Nutrient Management (IP&NM) Plan, Community Health and Safety Guidelines, Biodiversity Management Plan, Tribal Development Framework, Gender Action Plan, Stakeholder Engagement Plan, Resettlement Policy Framework and Environmental and Social Commitment Plan. This present report is the Final Report of Environmental and Social Assessment and Environmental and Social Management Framework submitted fulfilling the requirements of the contract.

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## ESS2 Labour Management Procedures

### 1. Background

While the overall environment and social risk rating of the IP remains moderate, the Project's Environmental and Social Assessment has identified the potential for some risks and impacts associated with workers as well as community health and safety. This Labour Management Procedure (LMP) developed by Himachal Pradesh Forest Department (HPFD) aims to manage and mitigate such labour related risks and impacts. The LMP sets out the Project's approach to meeting national requirements as well as the objectives of the World Bank's Environmental and Social Framework, specifically objectives of Environmental and Social Standard 2: Labour and Working Conditions (ESS2) and Standard 4: Community Health and Safety (ESS4). The LMP applies to all full-time, part-time, temporary, seasonal or migrant workers employed by HPFD, the contractors and/or the community, and the workers employed by HPFD's primary suppliers. The LMP may be updated during project implementation, in response to changed or new labour requirements and/or risks and impacts identified.

### 2. Overview of Labour Use in the Project

Direct Workers. An estimated 450 direct workers will be employed by the Project Management Unit (PMU), District Project Officer (DPO) and Assistant Project Officer (APO) Offices. About 429 of these direct workers will be on deputation from GoHP and about 30 will be short- and long-term consultants recruited from the open market on contractual basis. Most Short-Term consultants will be engaged to undertake short period assignments such as assessments, studies and preparation of area specific mitigation plans. These consultants will be guided by specific terms of reference and contractual agreements between them and IP. These short-term consultants are expected to work against time based and output based contracts which is spelt out in their contracts. Direct Workers will be mostly technical staff with skills in forestry, agriculture, animal husbandry, engineering, financial and environmental and social fields. About 20% of direct workers are expected to be women.

Contract Workers. Community level works related to soil and water conservation, water source augmentation and distribution, forestry operations, pasture and nursery development, market access infrastructure etc. will involve engagement of contract labour. These will be small sized, low cost, construction contracts executed through local contractors. Most of these local skilled and unskilled labour will be engaged by the Contractors for carrying out the project activities. The project is expected to have about 4500 contracts in 428 GPs with each contract involving about 5-15 contract workers engaged for an average period of 10-30 days. These low-cost, small-scale, labour intensive, works are envisaged to create productive assets at community level and provide temporary employment opportunities to beneficiary households. Workers under the age of 18 will not be permitted in the implementation of the Project. Female contract workers will not be engaged under these contracts. This will be enforced through the conditions in contract documents and in orientation activities.

Community Workers: Construction, plantation and other related activities are not expected to employ workers who will be voluntarily contributing their labour to such works. However, over the period of the project, this possibility is not totally rule out. This will be purely optional and include both men and women between the age of 18 and 65. Women are not expected to work as community workers.

Migrant Workers. About 5%-10% of the total contracted workers are likely to be migrant workers from other states, mainly Bihar, as well as from Nepal. These will be all male workers.

Primary Supply Workers. Most of the construction materials like brick, cement, sand etc. will be part of the contract with the local construction contractors who will be independently procuring these materials from diverse local suppliers and utilising them in construction activities. No suppliers are currently expected to have an ongoing relationship with the HPFD for directly supplying any project goods or materials essential for the core functions of the project.

Timing of Labour Requirements: Most Direct Project workers are expected to continue throughout the project implementation period, with some intermittent short-term consultants. After the project, most of them will continue work in their parent department as they are permanent government employees. These workers follow official work timings of 8-hour days. Project execution activities are expected to start during the first quarter of the first year of the project and to be completed in the last quarter of fifth year of the project. Contracted workers will be expected to work for day shifts of 8-10 hours. Community workers are eligible to work for sixty days spread in a period of six months, not competing with agricultural peak season but during the lean season. They will be working for four hours a day with flexibility of working in the morning or afternoon.



### 3. Assessment of Key Potential Labour Risks

**Project activities:** The main types and locations of activities carried out by the project workers are summarised below;

i) *Direct Workers* will be involved in project management, implementation roll out in project GPs. capacity building and field support, monitoring and reporting of project implementation progress and studies and assessments. These will be cut across all the project components, including financial management, procurement, monitoring and evaluation, information technology and environment, and social management. Very small proportion of community and migrant workers could also be involved

ii) *Contract Workers* hired by local contractors will be primarily involved in construction/civil works, operations and maintenance works related with soil and water conservation measures (Drainage Line Treatment, contour trenching etc.), water harvesting, storage and distribution, source sustainability, plantations, forestry operations, fodder plots, Nursery establishment and support, market infrastructure, agriculture and livestock demonstrations, Fire Protection Awareness etc. Contract workers hired by consulting firms and resource agencies will be involved in participatory planning exercises, feasibility studies, monitoring and evaluation studies, thematic assessments, area specific plans, and training and capacity building.

**Key Labour Risks.** Overall, the key labour risks associated with the project are summarised below.

The possibility of such risks is too low as each of the GPRMP activities are of small and low-cost in nature.

- a) *Child and Forced Labour.* Risks of child and forced labour are low as the local contractors are registered with the HPFD and need to comply with the labor laws of the state. Incidence of child and forced labor is low in the sector, and the state of HP. Project implementation and monitoring arrangements from the HPFD and community side cover all the activities on a regular basis.
- b) *Migrant and Seasonal Labor.* About 5-10% of labor is likely to come from neighboring states such as Bihar or even from Nepal. Social and health risks related with labor influx are low, as labor influx is not expected. These labors will be working for a short duration in sites which are located away from the villages. There will be no labor camps under the project.
- c) *Hazardous Work.* The watershed, plantation and irrigation related work does not involve working with heavy machinery or working at heights or confined, dangerous places. These works also do not involve any hazardous materials
- d) *Possible accidents or emergencies.* The risks due to accidents and emergencies are low given the size of the construction work and absence of any hazardous nature of works places or materials.
- e) *Occupational health and safety.* General understanding and implementation of occupational health and safety requirements will need strengthening.
- f) *Gender based violence.* Overall GBV risks are assessed low in the context of size of contract and proactive involvement of project managers and community leaders, including

women's groups. More than 95% of the contract labor are going to be men, and women's participation as contract or community workers is going to be very low. Given the short duration, small size construction contracts, seasonal and migrant labor presence will also be low. Consultations with women and project stakeholders also do not anticipate GBV to be a major risk.

#### 4. Brief Overview of Labour Legislation: Terms and Conditions

Key aspects of the national labour legislation, with reference to terms and conditions of work, compensation and benefits are summarised below.

Labour related laws	Requirements of Terms and Conditions
<b>Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996</b>	It regulates the employment and conditions of service of building and other construction workers and provides for their safety, health and welfare. It covers Hours of work, intervals of rest payment of overtime rate, record of persons employed, deductions and overtime.
<b>Workmen Compensation Act, 1923</b>	It provides for payment of compensation by employers to their employees for injury by accident i.e. personal injury or occupational disease.
<b>Inter-state Migrant Workers Act, 1979</b>	It protects workers whose services are requisitioned outside their native states in India. A contractor who employs or who employed five or more Inter-State migrant workmen need to obtain registration under this act
<b>Child Labour (Prohibition &amp; Regulation) Act, 1986</b>	It prohibits employment of children less than 14 years of age in specified hazardous occupations and processes and regulates the working hours, labour records/registers, age certificate, safety education and working conditions in others. Also provides for safety related precautions and personal protective equipment.
<b>Minimum Wages Act, 1948</b>	Payment of minimum rate of wages as fixed and periodically revised by the State Government; no distinction between minimum wages of male or female or adult or non-adult for similar work; enhanced wage rate in scheduled tribal areas;
<b>Building and Other Construction Workers Welfare Cess Act, 1996</b>	An Act to provide for the levy and collection of a Cess on the cost of construction incurred by employers.
<b>The bonded labour system (abolition) act, 1976</b>	provides for abolition of bonded labour system along with abolition/dissolution of any bonded labor related agreements/contracts, debt, mortgaged property etc.

EMPLOYEES' PROVIDENT FUNDS & MISC. PROVISIONS ACT, 1952 & THE SCHEMES requires employers (factories, establishments, or contractors) with more than 20 or more employees, to provide terminal benefits to workers on completion of their employment, The employer shall pay the contribution payable to the EPF, DLI and Employees' Pension Fund in respect of the member of the Employees' Pension Fund employed by him directly by or through a contractor

The Building and Other Constructions Workers' (Regulation of Employment and Conditions of Service) Act, 1996 and The Inter-State Migrant Workmen (Regulation of Employment and Conditions of Service) Act, 1979 (only when the contractors bring in migrant labour) are the main legislation that guide labour practices in the project area. Terms and conditions provided

by these Acts includes prohibition of child labour, prohibition of forced labour, freedom of association, prohibition of discriminations, employment standards i.e. maximum hours of work, night work standards, right to break during working day, leave and fair terminations. The above terms and conditions apply to the long-term consultants. However, some of these terms and conditions applies to community workers i.e. prohibition of child labour, prohibition of forced labour, prohibition of discriminations and maximum hours of work.

The legislation requirements confirm to guidance provided in WB Environmental and Social Framework (ESF) and Environmental and Social Standard 2 (ESS 2). These laws include the above acts and, have relevant clauses that support ESS 2. Project workers will be provided with information that is clear and understandable regarding their terms and condition of employment.

## 5. Brief Overview of Labour Legislation: Occupational Health and Safety

The Occupational Safety, Health and Working Conditions Code, 2019, describe procedures to be followed to ensure workers safety. Furthermore, the Act make provisions on safety, health and welfare of persons in places of work. Measures relating to OHS are for protecting workers from injuries, illness or impacts associated with exposure to hazards encountered in the work place or while working. Such OHS measures include provision of PPE, awareness raising and guidance on how to prevent accidents at work place. This align with the requirements of ESS2 and National Laws on OHS and work place conditions. The Workers under the project will be provided with facilities (protective gears) appropriate to the circumstances of their work as advised by Sector Experts SMS (Social) and SMS (Environment). The project will also insist on comprehensive labour insurance for all the labour under the contracts.

Rule 39 of Himachal Pradesh Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Rules, 2008 required a project proponent to prepare a Health and Safety Policy. Himachal Pradesh Building and Other Construction Rules, 2008 specifies following requirements. It shall be the duty of the employer to maintain the latrines, urinals, washing facilities and canteen in a clean and hygienic condition. The canteen shall be located in a place away from the latrines and urinals and polluted atmosphere and at the same time be easily accessible to the building workers. where both male and female building workers are employed, there shall be displayed outside each block of latrines or urinals a notice containing therein "For Men Only" or "For Women Only", written in the language along with pictorial display understood by most of such workers;

The Trade Union Act, 1926; the act recognizes the rights of workers/ employees to assemble and form associations to put forward their concerns, problems, issues and opinions to the management. It encompasses any combination, permanent or temporary, that gets formed to regulate relationship between workmen and their employers.

The Equal Remuneration Act which stipulates that it is the duty of employer to pay equal remuneration to men and women workers for same work or work of a similar nature.

The Child Labour (Prohibition and Regulation) Act, 1986: Identifies the child as an individual who has not completed 14years of age and prohibits employment of children in certain occupation and processes. The act also specifies conditions or work for children.

Forced labour: The Constitution of India through fundamental rights Right against exploitation the (Part III, Fundamental Rights No 23), protects it citizens from exploitation and mistreatment. The Bonded Labour (Abolition) Act 1976 prohibits all forms of bonded labour

Provisions under The Buildings and Other Workers were observed to be using Personal Protection Equipment NTPGL has an incident reporting process for the construction planning process should also include AECOM Environment, Health, Safety and Social Audit Report TIDONG -1HEP 37 S No Reference/ Standard/ Requirement Legal Requirement Description of the Observation GAPS Identified Proposed Corrective Action H&S through training, documentation & reporting. Construction Workers (Regulation of Employment and Conditions of Service) Act, 1996 and Himachal Pradesh Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Rules, 2008 Rule 34. Excessive noise, vibration etc. Rule 35. Fire protection Rule 36. Emergency action plans Rule 40.

Dangerous and harmful environment Rule 43. Dust, gases, fumes etc. Rule 153. Ventilation Rule 124. Illumination. Rule 42. Drowning and falling hazards Rule 87. Prevention from drowning Rule 45. Eye Protection Rule 46. Head protection and other protective apparel Rule 54. Use of safety helmets and shoes Rule 47. Electrical hazards Rule 162. Live wire in tunnelling works Rule 119. Notification of intention to carry out excavation and tunnelling work. Rule 122. Warning signs and notices Rule 128. Trenches Rule 212. Handling of explosives. Rule 223. Medical examination of workers, etc. Rule 225. Occupational health centres Rule 227. Ambulance van Rule 229. Occupational health services for workers. Rule 243. Latrine and urinal accommodation

## 6. Responsible Staff

Deputy Director (Administration) will hold the overall responsibility for implementation, monitoring and reporting of the labour management procedures (LMP) covering project workers, contract workers, community workers and the primary supply workers (when applicable). The Deputy Director will be responsible for providing guidance and advice to the *Social, Procurement, Communication* and Environment experts in the SPMU, in implementing the LMP and complying with the applicable labour legislations. The Deputy Director will also be responsible for engagement and management of project workers, along with the HR expert.

Deputy Director (Planning, Procurement) will be responsible for engagement and management of contractors and sub-contractors and will be supported in this by the SMS (procurement) as well as SMS (Social). S/He will also be responsible for tracking and resolving workers grievances.

Social Development Expert or Subject Matter Specialist (Social) in the State Project Management Unit (SPMU) will be responsible for implementing the overall ESF Strategy of the project, including the ESMF, the ESS specific social plans and frameworks, the ESCP and the ESMPs. The SMS Social will hold the day to day operational responsibility for implementing the LMP through the field staff described below and reporting on its implementation. S/he will be preparing the necessary training modules, and organising training programs for the district and field staff as well as the contractors on implementation of the LMP. The Social Expert will work closely with the Procurement Expert and the SMS (communication, publicity and grievances) in implementing the LMP. The SMS (Social) will be assisted by a Social Extension Officer and short-term consultants and resource agencies who will be engaged for short periods of times throughout the project implementation period.

SMS (social) in close working with the SMS (*Procurement*) and SMS (*Communications and Grievance*) will prepare relevant LMP guidelines, design and delivery LMP training programs for staff and contractors, prepare and update suitable bidding documents and construction contracts. They will collaborate in building capacity of contractors and monitoring their performance. They will also collaborate on systems of monitoring labour and working conditions, conducting environmental and social audits and facilitating training for staff in the DPOs and APOs. SMS (Social) will also be responsible for training of workers and contractors on the LMP, including OHS.

SMS (communication) will be responsible for working with the SMS (Social), SMS (environment), Deputy Directors and ED to prepare and roll out information, education and communication (IEC) products and campaigns that would support all aspects of the ESF, including SEP, GRM, LMP and others.

District Project Officer (DPO). The DPOs located within the Divisional Forest Offices (DFOs) will be responsible for overall implementation and oversight of the LMP within their districts and blocks. The DPO will be supported by an assistant (APO), and a small technical staff, including district level monitoring officer. DPOs will be accountable for all activities at district and GP level. The DPO Technical Team will support APOs and UG/CAG/ Federations and Gram Panchayats (GPs) in work site management. This will entail ensuring that all workers use safety gears during execution of works. They will also be responsible for training of UG/

CAG/ Federations and GP Leadership on safety measures to avoid work place accidents, filling of forms required, prepare quarterly monitoring reports, etc. For LMP, the DPO will be responsible for organising the training of workers and workers grievance management.

Social Extension Officers (SEO). The SEO will be based in the Assistant Project Office (APO) will be directly responsible for working with the Gram Panchayats, Engineering Experts of DPOs, Construction Contractors and Labour as well as the GPs. The APO Team will support UG/CAG/ Federations and Gram Panchayats (GPs) in work site management. This will entail ensuring that all workers use safety gears during execution of works. They will also be responsible for training of UG/ CAG/ Federations and GP Leadership on safety measures to avoid work place accidents, filling of forms required, prepare quarterly monitoring reports, etc. They will also be responsible for Screening, GPRMP Preparation Support, ESMP Implementation, Community mobilization, engagement and participation, Monitoring, grievances, reporting, etc. This will entail ensuring that all workers use safety gears during execution of works. They will also be responsible for safety measures to avoid work place accidents, filling of forms required, prepare quarterly monitoring also reports, etc.

Gram Panchayats. Activities at the village level will be implemented by the GPs to promote direct community/ beneficiary participation. The UG/CAG/ Federations support Gram Panchayats (GPs) in work site management.



## 7. Policies and Procedures

Most environmental and social impacts resulting from GPRMP activities are directly under the control of contractors and will be mitigated directly by the same contractors. Therefore, ensuring that contractors effectively mitigate project activities related impacts is core to the Project's approach. IP will incorporate standardized environmental and social clauses in the tender documentation and contract documents, for potential bidders to be aware of environmental and social performance requirements that shall expected from them, are able to reflect that in their bids, and required to implement the clauses for the duration of the contract. IP will enforce compliance by contractors with these clauses.

The contractor will be required to ensure all documentation related to environmental and social management, including the LMP, is available for inspection by project staff, its consultants as well as the ESF audit consultants. The main responsibility to ensure this will be with the APOs in the block project office. A full set of contractual requirements related to environmental and social risk and impact management is provided in the Projects' Environmental and Social Impact Assessment. All environmental and social requirements will be included in the bidding documents and contracts in addition to any additional clauses, which are contained, in the Projects environmental and social instruments.

Under no circumstances will IP, the HPFD, Contractors, suppliers or sub-contractors engage forced labour. Forced labour includes bonded labour (working against an impossible debt), excessive limitations of freedom of movement, excessive notice periods, retaining the worker's identity or other government-issued documents or personal belonging, imposition of recruitment or employment fees payable at the commencement of employment, loss or delay of wages that impede the workers' right to end employment within their legal rights, substantial or inappropriate fines, physical punishment, use of security or other personnel to force or extract work from project workers, or other restrictions that compel a project worker to work in a non-voluntary basis. This will be ensured through i) inclusion of code of conduct in the contract documents; ii) ESMPs (under civil works) and iii) regular monitoring and reporting by the Social Extension Officers / Social Mobilisers of the Block Office

ESS2 requirements on Occupational Health and Safety will be complied with through a provision of Personal Protection Equipment (PPE) to every worker at all working sites. Such PPE will be identified during Micro-planning stage when GPRMP activities will be firmed up. Different PPE will be supplied and used depending on different GPRMP activities. The ESMF also covers provisions of occupational health and safety at the project sites which includes but not limited to provision of sanitary facilities, solid waste collection and disposal points, use of appropriate PPE with respect to project implemented and provision of First Aid Kit in all sites. Cost for procuring PPE will be included in the GPRMP budget. They will also maintain a stores ledger book where all tools procured will be recorded

## 8. Occupational Health and Safety

IP is committed to:

- Complying with legislation and other applicable requirements which relate to the company's occupational health and safety hazards.
- Enabling active participation in OH&S risks elimination through promotion of appropriate skills, knowledge and attitudes towards hazards.
- Continually improving the OH&S management system and performance.
- Communicating this policy statement to all persons working under the control of IP with emphasis on individual OH&S responsibilities.
- Availing this policy statement to all interested parties at all IP facilities and sites.

The contractor will be required to have a Safety, Health and Environmental Representative for the workplace or a section of the workplace for the contract period. At a minimum, the Representative must:

- Identify potential hazards;
- In collaboration with the employer, investigate the cause of accidents at the workplace;
- Inspect the workplace including plant, machinery, substance, with a view to ascertaining the safety and health of employees provided that the employer is informed about the purpose of the inspection;
- Accompany an inspector whilst that inspector is carrying out the inspector's duties in the workplace;
- Attend meetings of the safety and health committee to which that safety and health representative is a member;
- Subject to (g), make recommendations to the employer in respect of safety and health matters affecting employees, through a safety and health committee; and
- Where there is no safety and health committee, the safety and health representatives shall make recommendations directly to the employer in respect of any safety and health matters affecting the employees.

In accordance with these provisions, and to avoid work related accidents and injuries, the contractor will:

- Provide occupational health and safety training to all employees involved in works. Provide protective masks, helmet, overall and safety shoes, and safety goggles, as appropriate.
- Provide workers in high noise areas with earplugs or earmuffs.
- Ensure availability of first aid box.
- Provide employees with access to toilets and potable drinking water.
- Provide safety and occupational safety measures to workers with Personal Protection Equipment PPE to prevent accidents
- Properly dispose of solid waste at designated permitted sites landfill allocated by the local authorities and cleaning funds; and attach the receipt of waste from the relevant landfill authority.
- Carry out all procedures to prevent leakage of generator oil into the site.
- Ensure that the head of the well is covered tightly.
- Provide secondary tank for oil and grease to avoid spills.

Further to enforcing the compliance of environmental management, contractors will be responsible and liable for safety of site equipment, labours and daily workers attending to the construction site and safety of citizens for each work site, as mandatory measures.

Incidents and Accident Notifications. The field project staff will promptly notify to the PMU within 24 hours any incident or accident related or having an impact on the Project which has, or is likely to have, a significant adverse effect on the environment, tangible cultural heritage, the affected communities, the public or workers. They will provide sufficient detail regarding the incident or accident, indicating immediate measures taken to address it, and including information provided by any contractor and supervising entity. Further the PMU will appraise this to WB.

### Labour Influx and Gender Based Violence

Project interventions on soil and water conservation structures, water harvesting and conveyance channels, plantation and nursery development, weed management, as well as rural infrastructure (manually operated pulley ropeways, small footbridges) will involve small scale construction contracts which will not be requiring labor camps as most of the labor is expected to come from nearby areas. Most of these works are going to be located away from habitations. Due to the small nature of the works, and short duration of the contracts, no labor camps and labor influx are expected. Project will be utilizing largely contract workers who will be employed through small, local contractors. Less than 10% of the contract labor is anticipated from other parts of the state, as well as from Bihar and Nepal.

More than 95% of the contract labor are going to be men, and women's participation as contract labor or community labor is going to be very low. GBV risk is assessed as low based on GBV risk assessment, secondary research and stakeholder consultations. Project implementation staff has adequate capacity to address the low level of GBV risks in the context of proposed project interventions. To mitigate potential risks related to on-site safety and GBV, the PMU will a) conduct sensitization and awareness campaigns for contract workers, community workers and beneficiary communities on safety, harassment, GBV-related issues, legal recourse procedures and mitigation channels; b) Train the project staff to on GBV risk mitigation; c) strengthen the GRM mechanism by establishing multiple channels to initiate a complaint including confidential reporting in local language with safe and ethical documenting of GBV cases; d) include GBV specific commitments in the bidding documents.

Contractors will need to maintain labour relations with local communities through a code of conduct (CoC). The CoC commits all persons engaged by the contractor, including sub-contractors and suppliers, to acceptable standards of behaviour. The CoC will include sanctions for non-compliance, including non-compliance with specific policies related to gender-based violence, sexual exploitation and sexual harassment (e.g., termination). The CoC will be written in plain language and signed by each worker to indicate that they have:

- received a copy of the CoC as part of their contract;
- had the CoC explained to them as part of induction process;
- acknowledged that adherence to this CoC is a mandatory condition of employment;
- understood that violations of the CoC can result in serious consequences, up to and including dismissal, or referral to legal authorities.

## **9. Age of Employment**

The project will target eligible households having at least one adult of working age of 18 to 65 only to work in IP project interventions. However, age of participants will be verified during project interventions community based participatory planning. Such tools like Voters Registration Card (VRC), National ID will be used to verify age of participants and validated in the Village Assembly meeting. In the circumstances where these documents are not available the Affidavit of Birth will be used. Further, awareness raising sessions will be regularly conducted to the community to sensitize on prohibition and negative impacts of Child and forced Labour

The minimum age of employment for this project shall be 18 years and to ensure compliance, all employees will be required to produce Aadhar Cards as proof of their identity and age which is the national identification document required for employment.

If any contractor employs a person under the age of 18 years, that contractor's will not only be terminated by IP but also be reported to the authorities.

## 10. Terms and Conditions

There are three types of workers in the IP project:

- Civil Servants from the government
- Short Term Consultants.
- Contractors workers who will be working in the Project

The government officials are civil servants and their terms and conditions of employment are guided by National Legislations.

The contractor's workers will work on GPRMP activities. For this project, contractors will be required to provide all its employees with written of employment. Contractors will also be required to comply with the most current Regulation of Wages for the Building and Construction Industry which is issued by the Government and reviewed on a regular basis. The Minimum Wage Act specifies the minimum wages, hours of work, overtime pay, leave entitlements, travelling and Subsistence Allowances and the issue of protective clothing.

Before a contractor is awarded a public contract, that contractor is required to certify in writing that the wages, hour and conditions of work or persons to be employed by him on the contract are not less favourable than those contained in the most current wages regulation issued by the Labour Commissioner. Where a contractor fails to comply with this requirement, the contract with the contractor may be withdrawn as an approved contractor upon recommendations of the Labour Commissioner.

In ensuring full compliance with the law in this regard, contractors will be required to furnish IP with copies of the labour license and/ or copies of contract of all its workforce. Contractors will not be allowed to deploy any employee to work in the project if such copy of employment of that employee has not been handed to IP.

As a monitoring mechanism, a contractor shall not be entitled to any payment unless he has filed, together with his claim for payment, a certificate: - a) stating whether any wages due to employees are in arrears; b) stating that all employment conditions of the contract are being complied with. The IP would intervene if the contractor defaults in the payment of wages due to any of its employees by arranging for the payment of the wages to the employee out of the sum payable to the contractor. However, for this project, it will be a material term of the contract to allow IP to withhold payment from contractor should the contractor not fulfil their payment obligation to their workers.

### **Worker's Organization**

The IP provides employees with the right to join and form an organization for purpose of labour representation. These unions have the right to represent its members during hearings and to negotiate favourable terms and conditions for their members (annually) amongst other rights.

## 11. Grievance Mechanism

The Grievance Mechanism for Workers will be organised as follows.

For all worker related grievance, the Executive Director (ED), will be responsible for providing guidance and advice on all worker related grievances and their redressal, in line with the state and national legislation and the LMP.

For Project Workers, Deputy Director (Administration) will hold the overall responsibility for establishing, and implementing the GRM for project workers, and reporting on it. In this, the Deputy Director will be supported by *Social Expert and the HR expert*

For Contract Workers, Deputy Director (Planning/Procurement) will be responsible for establishing and operationalising the contract workers grievance redress mechanism, especially focusing on contract workers engaged by contractors and subcontractors and will be supported in this by the SMS (procurement) as well as SMS (Social). S/He will also be responsible for tracking and resolving workers grievances. The DPO shall maintain records where grievances and complaints, including minutes of discussions, recommendations and resolutions made, will be recorded.

The Social Development Expert in SPMU will provide overall implementation and capacity building support on resolving all workers grievances and will support the Deputy Directors and the ED in this regard. S/HE will also include workers grievance status in the half yearly progress report on ESF. The Social Expert will work closely with the Procurement Expert and the SMS (communication, publicity and grievances) in implementing the LMP. The SMS (Social) will be assisted by a Social Extension Officer and short-term consultants and resource agencies who will be engaged for short periods of times throughout the project implementation period. SMS (social) will work with the SMS (Procurement) and SMS (Communications and Grievance) in addressing workers grievance.

At the district level, the District Project Officer (DPO) will be the nodal grievance officer for workers, who will report on the status of workers grievance in their respective districts. With the support of the district level monitoring officer. The DPO will be responsible for organising the training of workers and workers grievance management. The APOs and the Social Extension Officers (SEO) will support the DPO in resolving the workers grievances and help in training the contractors in this regard.

Elected Representatives of Gram Panchayats. The Elected Representative of the GPs will be sensitized to take up any workers related Grievances with the DPO and the SPMU and support the project in monitoring the contractor's performance on OHS and labour and working conditions.

Notification about the grievance mechanism will continue to be carried out through sensitization during the community sessions for all participants and through posters placed at GP centers. Grievances will continue to be received through established communication channels, however the main channel will be the projects hotline and the DPOs phone line. Workers will also be able to submit their grievances through the district Labour Department, whose contacts will be shared with all the contractors and worksites.

## 12. Contractor Management

IP requires that contractors monitor, keep records and report on terms and conditions related to labour management. The contractor must provide workers with evidence of all payments made, including social security benefits, pension contributions or other entitlements regardless of the worker being engaged on a fixed term contract, full-time, part-time or temporarily. The application of this requirement will be proportionate to the activities and to the size of the contract, in a manner acceptable to IP and the World Bank:

Labour conditions: records of workers engaged under the Project, including contracts, registry of induction of workers including CoC, hours worked, remuneration and deductions (including overtime), collective bargaining agreements;

Safety: recordable incidents and corresponding Root Cause Analysis (lost time incidents, medical treatment cases), first aid cases, high potential near misses, and remedial and preventive activities required (for example, revised job safety analysis, new or different equipment, skills training, and so forth).

Workers: number of workers, indication of origin (local and migrant), gender, age with evidence that no child labour is involved, and skill level (unskilled, skilled, supervisory, professional, management).

Training/induction: dates, number of trainees, and topics.

Details of any security risks: details of risks the contractor may be exposed to while performing its work; the threats may come from third parties external to the project.

Worker grievances: details including occurrence date, grievance, and date submitted; actions taken and dates; resolution (if any) and date; and follow-up yet to be taken; grievances listed should include those received since the preceding report and those that were unresolved at the time of that report.

The following procedures are to be adhered for contractor management, but have been adjusted to adhere to LMP provisions:

- Ensure that Contractors have valid contracts with clearly define service level agreement in accordance with all environmental and social clauses, as applicable
- Contractor induction to IP standards and LMP
- Monthly submission of records: Contractor submission to Project Management Unit, copied to Project Management Unit. This includes, managing incidents and accidents and Contractor employees recorded
- Monthly site visits (at a minimum) and reports
- Concerns or issues tracking using monitoring register
- Evaluation of contractor requirements. This includes training, OH&S files, certifications and other.
- Training needs identification recorded in Contractor Training Schedule
- Annual Contractor Management Plans

### **13. Community Workers**

Project interventions on soil and water conservation structures, water harvesting and conveyance channels, plantation and nursery development, weed management, as well as rural infrastructure (manually operated pulley ropeways, small footbridges) will involve construction and civil works. These are going to be small scale construction contracts which will not be requiring labour camps as most of the labour is expected to come from nearby areas. Due to the small nature of the works, and short duration of the contracts, no labour camps are expected. Project will be utilizing largely contract workers who will be employed through small, local contractors. Community workers providing voluntary and unpaid labour is not expected. However, if community labour, will be utilised at a later stage, then the LMP and ESRS will be amended in line with the provisions of ESS2 for community labour (voluntariness, terms and conditions, community agreement, OHS etc.)

### **14. Primary Supply Workers**

HPFD does not have any ongoing supply relationship with a primary supplier. Most of the key materials for these small-scale civil works will be procured by the local contractors from multiple sources, and not by HPFD. So, the child and forced labor risks associated with primary supply workers are assessed as low or not applicable. For any significant changes in project strategy on procurement, this issue will be reassessed, and necessary risk assessment will be initiated to address the risks covered under ESS2, and if needed, then LMP and ESRS will be amended in line with the provisions of ESS2 for primary supply workers (including child labour, bonded labour, terms and conditions, OHS etc.)



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**ESS3 Resource Efficiency and Pollution Prevention and Management**

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**1. Objectives**

ESS 3 on Resource Efficiency and Pollution Prevention and Management aims:

- a) To promote the sustainable use of resources including energy, water and raw materials,
- b) To avoid or minimize impacts on human health and the environment by minimizing pollution from project activities,
- c) To avoid or minimize project related emissions of short and long lived climate pollutants,
- d) To avoid or minimize generation of hazardous and non-hazardous waste and to minimize and manage risks and impacts associated with pesticide use.

**1. Potential Risks related to Resource Efficiency and Pollution Prevention and Management**

The project has integrated resource efficiency through its design and interventions by focusing on water source sustainability and increased water efficiency in agricultural decision making. This is through the promotion of water efficient irrigation technologies such as drip and sprinkler and water efficient and climate smart agricultural practices, contribution to overall carbon sequestration through restoration of degraded lands and plantation activities in catchment areas. However, as per the assessment, the following risks and impacts have been identified:

1) Key sources of Green House Gas (GHG) emission under the project. This is assessed to be from the application of fertilizers, pesticides and compost. The Ex Ante Carbon Balance Tool (ExACT) tool has been applied to the project and the findings suggest that the interventions lead to no net emissions and overall, contribute positively to carbon sequestration.

2) Key sources of pollution under the project. This is assessed to be from the application of chemical pesticides, fertilizer and unmanaged manure. An Integrated Pest and Nutrient Management Plan (IPNMP) has been prepared to promote safe, effective and environmentally sound pest and nutrient management in plantation, agricultural, horticultural and animal husbandry interventions. The aim is to promote the use of biological control methods and reduce synthetic chemical pesticides with a provision to increase capacity on addressing the same. The IPNMP also provides guidance on the proper storage, handling and disposal of pesticides.

## 2. GHG Balance

Table 1 presents the impact of the project activities or interventions and including inputs in the form of fertilizer and compost on GHG balance (Emissions and Removals). The ex-ante estimation of the GHG balance using Tier 1 for the HP project is shown to be negative, leading to no net emissions and combined with forest restoration and plantation activity resulting in net carbon sequestration. The source of GHG emission in the project is due to application of fertilizer, pesticide and compost. The carbon emissions anticipated from annual cropping (agriculture) is 34,517 tCO<sub>2</sub>eq/year and from fertilizer use is 95,028 tCO<sub>2</sub>eq/year, however this is less than the emissions without the project scenario as the project will demonstrate and promote climate smart practices that reduce GHGs through reduced chemical fertilizer use. The overall GHG balance of the project is negative overall, with an estimated -87,294 tCO<sub>2</sub>eq/year sequestered because of afforestation and degraded forest restoration activities being undertaken under the project. The net GHG benefit on a per hectare basis for the project area is estimated to be 0.6 tCO<sub>2</sub>/ha/year.

**Table 1:** Greenhouse Gas benefits of project activities under the HP project according to EX-ACT Model

Project activities	GHG benefits during the entire project period of 20 years (tCO <sub>2</sub> )eq			GHG benefits per year (tCO <sub>2</sub> eq/year)		
	Without project scenario	With project scenario	Net carbon balance	Without project scenario	With project scenario	Net carbon balance
<i>Land Use Change Module</i>						
Afforestation	0	-32,09,944	-32,09,944	0	-1,60,497	-1,60,497
<i>Crop Production Module</i>						
Agriculture - Annual crops	-68,70,463	-61,80,125	6,90,338	-3,43,523	-3,09,006	34,517
<i>Management of Degradation Module</i>						
Degraded forest restoration	3,12,341	-8,14,499	-11,26,840	15,617	-40,725	-56,342
<i>Inputs and Investments Module</i>						
Fertilizers	37,00,614	56,01,176	19,00,562	1,85,031	2,80,059	95,028
<b>Total</b>						
<b>Net Total (tCO<sub>2</sub>)eq</b>	<b>-28,57,508</b>	<b>-46,03,392</b>	<b>-17,45,884</b>	<b>-1,42,875</b>	<b>-2,30,170</b>	<b>-87,294</b>
<b>Per hectare per year (tCO<sub>2</sub>eq/ha) - CO<sub>2</sub> Sequestration</b>	<b>-1.0</b>	<b>-1.6</b>	<b>-0.6</b>	<b>-1.0</b>	<b>-1.6</b>	<b>-0.6</b>

### **3. Integrated Pest and Nutrient Management Plan**

#### **3.1 Risks and Impacts from Pesticide and Fertilizer Application**

The following negative impacts are envisaged from an over-use and reliance on chemical pesticides and fertilizers:

a) The project activities on high value crops and crop diversification will involve the use of pesticides and fertilizers. The project will also involve pest management in livestock to reduce worm and pest load in livestock, these are water soluble and will have similar environmental impacts, if not managed. The impacts include:

- Runoff of pesticides leads to contamination of surface water and biota; dysfunction of ecological system in surface waters by loss of top predators due to growth inhibition and reproductive failure; public health impacts from eating contaminated fish. Pesticides are carried as dust by wind over very long distances and contaminate aquatic systems 1000s of miles away
- Runoff of nutrients (from fertilizers), especially phosphorus, leads to eutrophication and causes taste and odour in public water supply, to excess algae growth leading to deoxygenation of water and fish kills.
- Spreading of manure on frozen ground results in high levels of contamination of receiving waters by pathogens, metals, phosphorus and nitrogen leading to eutrophication and potential contamination.
- Pesticides can further lead to development of resistance in target insects/pests and they are no longer eliminated with recommended doses; resurgence of pests, as they are not wiped out and reappear time and again; destruction of useful insects that were natural predators of problem insects due to continuous use of chemical insecticides and outbreak of secondary pests due to loss of natural enemies.

#### **4. Applicability of the IPNMP to the project**

Under the project, an Integrated Pest and Nutrient Management Plan (IPNMP) has been prepared:

- a) To promote safe, effective and environmentally sound pest and nutrient management in plantation, agricultural, horticultural and livestock interventions.
- b) To promote the use of biological control methods and reduce synthetic chemical pesticides and fertilizers.
- c) To provide guidelines on the proper storage, handling and disposal of pesticides to minimize risks to humans, livestock and the environment.
- d) To increase capacity on addressing all the above.

The activities under the project the IPNMP will apply to are forestry operations including nursery development, development of high-quality seed sands, plantation activities and eradication of invasive species and climate smart agricultural (CSA) practices including high-value fruit and vegetable production, diversification of agricultural and promotion of techniques such as organic farming, zero-budget natural farming, and promotion of water-efficient and drought resistant varieties of crops. The project IPNMP covers the generic approach, tools and mitigation measures; however, crop specific Package of Practices by

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subject matter specialists will be prepared for all crops taken up and promoted under the project.

## 5. Institutional Arrangement

The IPNMP will be institutionalized within the Himachal Pradesh Forest Department (HPFD) Project Management Unit. The responsibility for applying the principles and mitigation measures will lie with the Subject Matter Specialists in Agriculture at the PMU and the 10 Agricultural Extension officers, 10 Veterinary Extension officers and forest nursery managers at the District level. Within the District Project Offices, 2 officers will have expertise in Agriculture.

At the State level, expertise and training modules on IPNMP in agriculture and horticulture is housed within the Central Integrated Pest Management Centre in Solan that disseminates this knowledge through Farmer's Field Schools and Season long Trainings; Best practices and guidelines for pest control in nurseries have been developed by ICFRE, HFRI and the Forest Department. Further on specific measures under the project, the 2 State Agriculture Universities (University of Horticulture and Forestry, Nauni, Solan and CSKHPKV, Palampur as well as the Krishi Vigyan Kendras of 10 districts will provide guidance on crop related Package of Practices integrating IPNMP measures.

## 6. Approaches to Integrated Pest and Nutrient Management (IPNM)

Integrated pest management can be defined as a mix of farmer-driven, ecologically based pest control practices that seeks to reduce reliance on synthetic chemical pesticides. It refers to an ecological approach of pest control (insects, diseases, weeds, rodents, etc.) employing all methods and techniques such as cultural, mechanical, genetic, regulatory, biological and chemical in a compatible manner to keep pest population below economic threshold level (ETL). It involves:

- Managing pests (keeping them below economically damaging levels) rather than seeking to eradicate them
- Relying, to the extent possible, on non-chemical measures to keep pest populations low; and
- Selecting and applying pesticides, when they have to be used, in a way that minimizes adverse effects on beneficial organisms, humans, and the environment.

Currently, the major thrust areas of plant protection in India are promotion of Integrated Pest and Nutrient Management (IPNM), ensuring availability of safe and quality pesticides, streamlining the quarantine measures and for human resource development including empowerment of women in plant protection skills

The Key Components of IPNM are:

- Identification of major pests & diseases for the crop in the area
- Identification of the minor pests & diseases for the crop in the area
- Assessment of Economic Threshold Limit (ETL) for major pests /diseases
- Pest monitoring based on Agro Ecosystem Analysis (AESAs) and conjunctive use of pheromone traps, sticky traps, etc.

## 7. IPNM Tools

IPNM involves a range of methods to control pests that can be undertaken both proactively and reactively

### Use of Pest Resistant Varieties

Breeding for pest resistance is a continuous process. At the same time the pests also, particularly the plant pathogens, co-evolve with their hosts. Thus, gene transfer technology is useful in developing cultivars resistant to insects, plant pathogens and herbicides. An example of this is the incorporation of genetic material from *Bacillus Thuringensis* (Bt), a naturally occurring bacterium, in cotton, corn, and potatoes, which makes the plant tissues toxic to the insect pests. Scientific community is impressed by its huge potential in managing the pests, but is also concerned about the possibility of increased selection pressure for resistance against it and its effects on non-target natural fauna.

### Cultural pest control

It includes crop production practices that make crop environment less susceptible to pests. Crop rotation, fallowing, manipulation of planting and harvesting dates, manipulation of plant and row spacing, and destruction of old crop debris are a few examples of cultural methods that are used to manage the pests. Planting of cover crops, nectar producing plants and inter-planting of different crops to provide habitat diversity to beneficial insects are important management techniques. Cover crops, often legume or grass species, prevent soil erosion and suppress weeds. A cover crop can also be used as a green manure, which is incorporated in the soil to provide nitrogen and organic matter to the subsequent crop. Cultural controls are selected based on knowledge of pest biology and development.

### Physical or Mechanical controls

These are based on the knowledge of pest behaviour. Placing plastic lined trenches in potato fields to trap migrating Colorado potato beetles is one example of the physical control. Hand picking of insect pests is perhaps the simplest pest control method. Installation of dead as well as live bird perches in cotton and chickpea fields has proved effective in checking the bollworm infestation. Using mulches to smother weeds and providing row covers to protect plants from insects are other examples.

### Biological controls

These include augmentation and conservation of natural enemies of pests such as insect predators, parasitoids, parasitic nematodes, fungi and bacteria. In IPNM programs, native natural enemy populations are conserved, and non-native agents may be released with utmost caution. *Trichogramma* spp. is the most popular parasitoids being applied on a number of host crops. A number of microorganisms such as *Trichoderma* spp., *Verticillium* spp., *Aspergillus* spp., *Bacillus* spp. and *Pseudomonas* spp. that attack and suppress the plant pathogens have been exploited as biological control agents.

### Chemical controls

Pesticides are used to keep the pest populations below economically damaging levels when the pests cannot be controlled by other means. Pesticides include both the synthetic pesticides and plant derived pesticides. Synthetic pesticides include a wide range of man-made chemicals. These are easy to use, fast-acting and relatively inexpensive. Ideally, pesticides should be used as a last resort in IPM programs because of their potential negative effect on the environment. Pesticides with the least negative impacts on non-target organisms and the environment are most useful. Fortunately, new generation pesticides with novel modes of action and low environmental effects are being developed and registered for use. Pesticides that are short-lived or act on one or a few specific organisms fall in this class.

#### Assessment of Economic Threshold Level

This is based on the concept that most plants can tolerate at least some pest damage. In an IPNM program where the economic threshold is known, chemical controls are applied only when the pest's damaging capacity is approaching the threshold, despite application of other alternative management practices.

#### Use of Botanical Pesticides

These can be prepared in various ways. They can be as simple as raw crushed plant leaves, extracts of plant parts or as complex as chemicals purified from the plants. Pyrethrum, neem, tobacco, garlic, and pongamia formulations are some examples of botanicals. Some botanicals are broad spectrum pesticides. Botanicals are generally less harmful to the environment, because of their quick degrading property. They are less hazardous to transport. The major advantage is that these can be formulated on-farm by the farmers themselves.

### **8. Criteria for Pesticide Selection and Use**

The procurement of any pesticide in a Bank financed project is contingent on an assessment of the nature and degree of associated risks, taking into account the proposed use and the intended users. With respect to the classification of pesticides and their specific formulations, in reference to the World Health Organization's Recommended Classification of Pesticides by Hazard and Guidelines to Classification. The following criteria apply to the selection and use of pesticides in,

- They must have negligible adverse human health effects.
- They must be shown to be effective against the target species.
- They must have minimal effect on non-target species and the natural environment.
- The methods, timing, and frequency of pesticide application are aimed to minimize damage to natural enemies. Pesticides used in public health programs must be demonstrated to be safe for inhabitants and domestic animals in the treated areas, as well as for personnel applying them.
- Their use must take into account the need to prevent the development of resistance in pests.

It is required that any pesticides be manufactured, packaged, labelled, handled, stored, disposed of, and applied according to standards acceptable to the WHO. Formulated products that fall in WHO classes IA and IB, or formulations of products in Class II, if (a) lacks of restrictions on their distribution and use; or (b) they are likely to be used by, or be

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accessible to, lay personnel, farmers, or others without training, equipment, and facilities to handle, store and apply these products properly are not permissible in the project.

### Operational Aspects of IPNM

- Growing a healthy crop involves the right varieties selection; appropriate seed bed management, plant nutrition, and plant physiology, and water and weed management.
- Optimize natural enemies recognize beneficial insects in the field, learning insect population dynamics, life cycles, and food webs; understanding the effects of pesticides on beneficial populations, promoting survivorship of predators through habitat management and making local reference collections.
- Observe fields weekly for damage symptoms, changes in insect populations, to evaluate plant growth and physiology, relationship between plant stages and insect populations, effects of weather conditions, and water and nutrient management.
- Farmers as experts: agro-system analysis and decision making based on information directly observed and collected leads to farmers to make sound conclusions crop management decisions.

### The World Bank Operational Guidelines

The World Bank & IFC Pesticide guidelines aims to ensure that the pesticide

- Must have negligible adverse human health effects
- Should be effective against target pests and minimal effect on non target species
- Development of pest resistance to be kept in view
- Public health pesticides must be safe for inhabitants and animals

Integrated pesticide management specifically identifies the following as the key in pest control.

- A categorical preference for bio control methods along with institutional and capacity building for the same.
- Reducing reliance on synthetic chemical pesticides and only if approved by IPNM approach.
- Does not permit under any circumstance the use IA, IB and II classified pesticides. Listing of these chemicals and provided by the World Health Organization is given at the end of the report.
- Recommends the use of Participatory IPNM along with specific investment components for the same.
- Permits category III type chemicals and these are listed at the end of the report. But even these must be used as part of the IPNM strategy. No to all chemical Pesticides if it is likely to be used without training and safety.

### Pesticide Management in water

Drift of pesticides must be avoided when spraying. They should not be applied when rain is imminent and the users should follow the direction given in the container for pesticide handling safety precautions, application rates and proper disposal. To reduce contamination of surface water and ground water from pesticides:

Evaluate the pest problems, previous pest control measures, and cropping history; Use integrated pest management (IPNM) strategies that:

- Apply pesticides only when an economic benefit to the producer will be achieved
- Apply pesticides efficiently and at times when runoff losses are unlikely
- When pesticide applications are necessary and a choice of registered materials exists, consider the persistence, toxicity, runoff potential, and leaching potential of products in making a selection
- No use of pesticide belonging to category 1 &2 as classified in the pesticide code

The goal of this management measure is to reduce contamination of surface water and ground water from pesticides. The basic concept of the pesticide management measure is to foster effective and safe use of pesticides without causing degradation to the environment. Pesticide Management Plans (PMP's) identify:

- Identify areas vulnerable to pesticides;
- Monitor source water for pesticide contamination;
- Prevent pesticides from reaching ground water;
- Respond to pesticide detection.

#### Use of Plastic

- To minimize the use of pesticides as seed treatment to reduce the incidence of disease in nurseries, use of specific plastic sheet can be recommended for soil solarization.
- Plastic sheets will also be helpful in moisture conservation as mulch.
- Use of plastic in the form of poly tunnels and poly houses under adverse climatic conditions. This will also help in growing insect and disease free seedlings, off season vegetables and flowers to improve the economy of farmers, thus minimizing the pesticide application.

### **9. Nutrient Management in Agriculture/ Horticulture**

#### 9.1 The need for Nutrient Management

Integrated plant nutrient management also contributes to pest management. Stressed crops are more susceptible to disease and to the effects of pest attacks. Crops growing in poorly structured soil, under low or unbalanced nutrient conditions or with inadequate water supply will be stressed. Responding to disease or pest attacks by applying pesticides is a costly symptomatic approach to a syndrome which is better addressed by improving the ecological conditions and systems within which the crops are cultivated. In addition, agricultural products with less pesticides residues are less risky to consume, and healthy plants with a properly balanced nutrient supply provide better quality feed and food, improving animal and human health.

An Attempt will be made to improve production efficiencies through integrated nutrient management practices promoting combined use of inorganic, organic and biological resources in a reasonable way to balance efficient use of limited resources and ensure ecosystem sustainability. Efficient fertilizer use will be promoted with application of appropriate



quantities and method of application to minimize losses. Rather than broadcasting, project will educate farmers to apply fertilizer into the soil directly. Plant nutrient status during the growing season will be monitored using leaf-colour charts and managing fertilizer application accordingly.

Focus on Nutrient cycles and IPM are also linked to the 'climate smart agriculture' component in the project that will look at practices such as 'Zero-budget natural farming', 'organic farming' and other best practices to minimize soil disturbance, improve intercropping and crop rotation with nitrogen fixing plants to reduce dependence on fertilizers. The application of fertilizers may increase the occurrence of harmful weeds, the project will promote "Integrated Weed Management" by improving the timing, dosing and application method of nutrients and thus minimizing the potential impact on weed growth. The project will also promote crop-livestock system, as a part of nutrient management.

## 9.2 Nutrient Management at Farm Level

Farmers can get higher benefit from the supply of additional plant nutrients, in the form of organic/ inorganic fertilizer, only after they have made improvement in the biological, physical and hydrological properties of their soil. At the farm level, integrated and synergistic approach will be adopted under IPNM, involving the following:

1. Matching the land use requirements with the land qualities present in the area, i.e., the biological, chemical and physical properties of the soil, and the local climatic conditions (temperature, rainfall etc.);
2. Seeking to improve yield by identifying and overcoming the most limiting factors that influence yield;
3. Better plant management, i.e., (i) planting at the beginning of the rain to increase protective ground cover to enhance infiltration and biological activity and (ii) timely weeding to reduce crop yield losses;
4. Promotion of complementary crop, livestock and land husbandry practices in combination to maximize addition of organic materials and recycle farm wastes, so as to maintain and enhance soil organic matter levels;
5. Land management practices that ensure favorable soil moisture conditions for the proposed land use (e.g. moisture conservation in low rainfall areas, drainage in high rainfall areas);
6. The replenishment of soil nutrients through an integrated plant nutrition management approach like organic manuring, application of crop residues, rhizoidal N-fixation, Phosphorous and other nutrient uptake;
7. Combinations of crop, livestock and land husbandry practices that reduce rainfall impact, improve surface infiltration, and reduce the velocity of surface run-off thereby ensuring soil loss below the 'tolerable' level;
8. Conservation tillage, crop rotation, agro-forestry and soil restorative practices that maintain and enhance the soils physical properties thereby encouraging root development and rainfall infiltration;
9. Promotion of crop-livestock system in project clusters as a part of integrated nutrient management strategy;
10. Nutrient monitoring during growing stage by using colour chart and application of nutrients accordingly.
11. Apart from IPNM, details on Integrated Pest Management (IPM) are outlined in this report.

## 10. Awareness building

Awareness building on safe use among farmers and horticulture/ agriculture workers is another instrument that must be used for implementing the PMP in the project. The highest exposure to pesticides is compelled by poverty to work in unsafe conditions.

All supports to pesticide sprayers and equipment must include making available a protective gear. Pamphlets and posters on safe use of pesticides which deal from purchase, transport, storage, application to disposal must be provided to village organizations. In high pesticide use areas, cultural expressions like folk songs must be provided to village organizations.

A major impact of pesticide usage is on water. Reducing pesticide usage by adopting IPNM and permitting only class III pesticides, while substantially reducing pesticide usage, the threat to water contamination reduction is possible. Educating the community not to spray pesticides during or just before a rain must be included in the awareness material. Monitoring the health on the people, especially workers, on a sample basis in high pesticide use area would be another task taken up by the project.

A multimedia approach that includes Kiosks, Print and e-media, Manuals, pamphlets, brochure, SMS over Mobile phones and Farmers fairs/group discussions would be used to create awareness about IPNM in each of the districts.

- Each village in a cluster would have a Master Farmer on whose plot the entire package of practices for a crop, including IPNM would be demonstrated.
- Groups of about 20 farmers (both men and women) would be attached to each such Master Farmer and his/her plot for meeting regularly and learning by observation and experimentation.
- At every stage of the crop cycle the FFS groups would meet to observe and evaluate the impact of certain crop management decisions. For example, in IPNM, they would observe the relationship between climate and pest incidence, extent of pest attack and economic damage, etc.
- A Field Day would be organized at the time of harvest for the FFS group to evaluate the success of the package of practices, including IPNM.
- Based on the success, each FFS group member would be encouraged to adopt the entire package on their own plots and conduct FFS with a set of 20 farmers each.

### Teaching IPNM to Farmers – FFS Way

The Farmer Field School is a form of adult education, which evolved from the concept that farmers learn optimally from field observation and experimentation.

It was developed to help farmers tailor their Integrated Pest and Nutrient Management (IPNM) practices to diverse and dynamic ecological conditions.

In regular sessions from planting till harvest, groups of neighbouring farmers observe and discuss dynamics of the crop's ecosystem.

Simple experimentation helps farmers further improve their understanding of functional relationships (e.g. pests-natural enemy population dynamics and crop damage-yield relationships).

In this cyclical learning process, farmers develop the expertise that enables them to make their own crop management decisions.

Special group activities encourage learning from peers, and strengthen communicative skills and group building.

- Thus, a network of FFS plots and trainers would be created which would ensure that there is farmer-to-farmer dissemination of IPNM.
- IP through Agriculture and Horticulture Departments would provide the technical backstopping as well as by providing input incentives to FFS farmers. It would also assist the FFS farmers in procuring inputs needed for implementing IPNM.

## 11. Monitoring

Crop monitoring, that keeps track of the pests and their potential damage, is the foundation of IPNM. This provides knowledge about the current pests and crop situation and is helpful in selecting the best possible combinations of the pest management methods. Pheromone traps have an advantage over other monitoring tools such as light and sticky traps; being selective to specific pests, they have proven their usefulness in large scale IPNM validations.

### 11.1 Monitoring protocol

IP will develop a protocol in co-ordination with Agriculture and Horticulture Departments. The following protocol model is proposed:

Monitoring	Responsibility	Methodology	Strategy
Whether banned list of pesticides and insecticides are circulated in vernacular language to all	IP: DPO and APO Agriculture and Horticulture Dept.s UG/ CAG/ Federations	Periodic Field Visits to the villages and checking for the lists from villagers	If not circulated ask concerned to circulate with the help of UG/ CAG/ Federations to all GPs.
Purchasing of insecticides and pesticides	IP: DPO and APO Agriculture and Horticulture Dept.s UG/ CAG/ Federations	From which source they are being purchased, quantity of purchase, etc.	To educate the villages about the need to reduce the consumption of pesticide/insecticide
Use of Bio-fertilizers and bio-pesticides vermi-compost/ bio-compost	IP: DPO and APO Agriculture and Horticulture Dept.s UG/ CAG/ Federations	How many villages are using them, which are the villages not using them, etc. Data collected through field visits to villages	Declare all villages as bio villages in a phased manner but slowly and judiciously Provide training in bio composting vermi-compost
Training and Awareness creation	IP: DPO and APO Agriculture and Horticulture Dept.s UG/ CAG/ Federations	Collect data of untrained persons	A constant monitoring training tie up and exposure visits

## **11.2 Constraints in Implementing IPNM**

Despite the plans for implementing IPNM, several constraints exist. The table below summarizes the constraints in promoting IPNM on a large scale.

Table 2: Constraints in implementing IPNM

<b>Constraint/Risks</b>	<b>Mitigation</b>
Availability of selective pesticides, effective against crop pests but not against natural enemies of pests is a problem.	Make available selective bio-pesticides to farmers, as per their requirements.
One of the basic points of IPNM is ETL, which have not been worked out for all the pests and combination of pests for different varieties and regions.	Support participatory research programs with farmers and research organizations to work out ETL for various pests within different project districts
Potential of bio-control agents has not been evaluated fully for many agents.	Do not introduce bio-control agents that have not been worked out in detail and are still in study stage. Use only ready to release and duly approved bio-control agents.
Techniques of mass rearing of several bio-agents are still not well developed.	Ensure timely breeding and supply of predators to farmers; improve linkages with relevant line departments and other institutions.
Farmers in many cases are aware of new technologies but are unable to access it leading to disillusionment and consequently non-adoption of the technology.	Ensure that demonstrations are alongside awareness building and that there is no gap between demonstration and supply of new technology, lest people lose interest.
Lack of adequate trained manpower at the field level to work with farmers to help them learn IPNM.	Ensure that a cadre of IPNM resource persons are created in every district, especially in the UG/ CAG/ Federation. Ensure that regular trainings and refresher courses are conducted for IPNM resource persons before the beginning of each crop season. Organizations such as Agri Man Ecology (AME) Foundation, PRADAN, FES, ASA may be contacted to develop appropriate training manuals

## 12. List of pesticides banned by Government of India

**Table 3: List of pesticides banned by Government of India**

A. Pesticides Banned for manufacture, import and use (28 Nos.)	
1.	Aldrin
2.	Benzene Hexachloride
3.	Calcium Cyanide
4.	Chlordane
5.	Copper Acetoarsenite
6.	Cibromochloropropane
7.	Endrin
8.	Ethyl Mercury Chloride
9.	Ethyl Parathion
10.	Heptachlor
11.	Menazone
12.	Nitrofen
13.	Paraquat Dimethyl Sulphate
14.	Pentachloro Nitrobenzene
15.	Pentachlorophenol
16.	Phenyl Mercury Acetate
17.	Sodium Methane Arsonate
18.	Tetradifon
19.	Toxafen
20.	Aldicarb
21.	Chlorobenzilate
22.	Dieldrine
23.	Maleic Hydrazide
24.	Ethylene Dibromide
25.	TCA (Trichloro acetic acid)
26.	Metoxuron
27.	Chlorofenvinphos
28.	Lindane (Banned vide Gazette Notification No S.O. 637(E) Dated 25/03/2011)-Banned for Manufacture, Import or Formulate w.e.f. 25th March,2011 and banned for use w.e.f.
B. Pesticide / Pesticide formulations banned for use but their manufacture is allowed for export	
29.	Nicotin Sulfate
30.	Captafol 80% Powder
C. Pesticide formulations banned for import, manufacture and use (4 Nos)	
1.	Methomyl 24% L
2.	Methomyl 12.5% L
3.	Phosphamidon 85% SL

	4.	Carbofuron 50% SP
D.	Pesticide Withdrawn(7 Nos)	
	1.	Dalapon
	2.	Ferbam
	3.	Formothion
	4.	Nickel Chloride
	5.	Paradichlorobenzene (PDCB)
	6.	Simazine
	7.	Warfarin

### 13. List of Pesticides Refused Registration

S. No.	Name of Pesticides
1.	Calcium Arsonate
2.	EPM
3.	Azinphos Methyl
4.	Lead Arsonate
5.	Mevinphos (Phosdrin)
6.	2,4, 5-T
7.	Carbophenothion
8.	Vamidothion
9.	Mephosfolan
10.	Azinphos Ethyl
11.	Binapacryl
12.	Dicrotophos
13.	Thiodemeton / Disulfoton
14.	Fentin Acetate
15.	Fentin Hydroxide
16.	Chinomethionate (Morestan)
17.	Ammonium Sulphamate
18.	Leptophos (Phosvel)

### 14. Pesticides Restricted For Use in India

S. No.	Name of Pesticides
1.	Aluminium Phosphide
2.	DDT
3.	Lindane
4.	Methyl Bromide
5.	Methyl Parathion
6.	Sodium Cyanide
7.	Methoxy Ethyl Mercuric Chloride (MEMC)
8.	Monocrotophos
9.	Endosulfan

10.	Fenitrothion
11.	Diazinon
12.	Fenthion
13.	Dazomet

### 15. List of pesticides not permissible (WHO classes Ia, Ib and II)

#### 1. Extremely hazardous (Class Ia):

Common name	
Aldicarb	Ethoprophos
Brodifacoum	Flocoumafen
Bromadiolone	Hexachlorobenzene
Bromethalin	Mercuric chloride
Calcium cyanide	Mevinphos
Captafol	Parathion
Chlorethoxyfos	Parathion-methyl
Chlormephos	Phenylmercury acetate
Chlorophacinone	Phorate
Difenacoum	Phosphamidon
Difethialone	Sodium fluoroacetate
Diphacinone	Sulfotep
Disulfoton	Tebupirimfos
EPN	Terbufos

#### 2. Highly hazardous (Class Ib):

Common name	
Acrolein	Oxydemeton-methyl
Allyl alcohol	Paris green
Azinphos-ethyl	Pentachlorophenol
Azinphos-methyl	Propetamphos
Blasticidin-S	Sodium arsenite
Butocarboxim	Sodium cyanide
Butoxycarboxim	Strychnine
Cadusafos	Tefluthrin
Calcium arsenate	Thallium sulfate
Carbofuran	Thiofanox
Chlorfenvinphos	Thiometon
3-Chloro-1,2-propanediol	Triazophos
Coumaphos	Vamidothion

Coumatetralyl	Warfarin
Zeta-cypermethrin	Zinc phosphide
Demeton-S-methyl	Famphur
Dichlorvos	Fenamiphos
Dicrotophos	Flucythrinate
Dinoterb	Fluoroacetamide
DNOC	Formetanate
Edifenphos	Furathiocarb
Ethiofencarb	Heptenophos
Isoxathion	Methiocarb
Lead arsenate	Methomyl
Mecarbam	Monocrotophos
Mercuric oxide	Nicotine
Methamidophos	Omethoate
Methidathion	Oxamyl

### 3. Moderately hazardous (Class II):

Common name	
Alanycarb	Endosulfan
Anilofos	Endothal-sodium
Azaconazole	EPTC
Azocyclotin	Esfenvalerate
Bendiocarb	Ethion
Benfuracarb	Fenazaquin
Bensulide	Fenitrothion
Bifenthrin	Fenobucarb
Bilanafos	Fenpropidin
Bioallethrin	Fenpropathrin
Bromoxynil	Fenthion
Bromuconazole	Fentin acetate
Bronopol	Fentin hydroxide
Butamifos	Fenvalerate
Butylamine	Fipronil
Carbaryl	Fluxofenim
Carbosulfan	Fuberidazole
Cartap	Gamma-HCH , Lindane



Chloralose	Guazatine
Chlorfenapyr	Haloxypop
Chlordane	HCH
Chlorphonium chloride	Imazalil
Chlorpyrifos	Imidacloprid
Clomazone	Iminoctadine
Copper sulfate	Ioxynil
Cuprous oxide	Ioxynil octanoate
Cyanazine	Isoprocab
Cyanophos	Lambda-cyhalothrin
Cyfluthrin	Mercurous chloride
Beta-cyfluthrin	Metaldehyde
Cyhalothrin	Metam-sodium
Cypermethrin	Methacrifos
Alpha-cypermethrin	Methasulfocarb
Cyphenothrin [(1R)-isomers]	Methyl isothiocyanate
2,4-D	Metolcarb
DDT	Metribuzin
Deltamethrin	Molinate
Diazinon	Nabam
Difenzoquat	Naled
Dimethoate	Paraquat
Dinobuton	Pebulate
Diquat	Permethrin
Phenthoate	Quizalofop-p-tefuryl
Phosalone	Rotenone
Phosmet	Spiroxamine
Phoxim	TCA [ISO] (acid)
Piperophos	Terbumeton
Pirimicarb	Tetraconazole
Prallethrin	Thiacloprid
Profenofos	Thiobencarb
Propiconazole	Thiocyclam
Propoxur	Thiodicarb
Prosulfocarb	Tralomethrin
Prothiofos	Triazamate
Pyraclofos	Trichlorfon

Pyrazophos	Tricyclazole
Pyrethrins	Tridemorph
Pyroquilon	Xylylcarb
Quinalphos	

## 16. Guidance on Proper Storage, Handling and Disposal of Pesticides

Exposure to pesticides may occur when handling and spraying pesticides. The exposures to pesticides may occur in following situations:

- When handling the pesticides product during opening of the package, mixing and preparation of the spray.
  - When spraying the pesticides.
  - When disposing the pesticides solution and containers
- General precautions:
1. The operator should also wear a protective hat and face shield or goggles.
  2. Do not eat, drink or smoke while working.
  3. Wash hands and face with soap and water after spraying and before eating, smoking or drinking.
  4. Shower or bath at the end of every day's work and wear new clean clothes.
  5. Wash overalls and other protective clothing at the end of every working day in soap and water and keep them separate from the rest of the family's clothes.
  6. If the insecticide touches the skin, wash off immediately with soap and water.
  7. Change clothes immediately if they become contaminated with pesticides.
  8. Inform the supervisor immediately if one feels unwell.

### Protective clothing and equipment

Absorption of pesticides occurs mainly through the skin, lungs and mouth. Specific protective clothing and equipment given below must be worn in accordance with the safety instructions on the product label.

- Broad-rimmed hat (protects head, face and neck from spray droplets).
- Face-shield or goggles (protects face and eyes against spray fall-out).
- Face mask (protects nose and mouth from airborne particles).
- Long-sleeved overalls (worn outside of boots).
- Rubber gloves.
- Boots

### Storage

1. Pesticides storehouses must be located away from areas where people or animals are housed and away from water sources, wells, and canals.
2. They should be located on high ground and fenced, with access only for authorized persons. However, there should be easy access for pesticides delivery vehicles and, ideally access on at least three sides of the building for fire-fighting vehicles and equipment in case of emergency.
3. Pesticides must NOT be kept where they would be exposed to sunlight, water, or moisture which could affect their stability.

4. Storehouses should be secure and well ventilated.
5. Containers, bags or boxes should be well stacked to avoid possibility of spillage. The principle of .first expiry first out. should be followed.
6. Stock and issue registers should be kept upto date. Access to the pesticides should be limited to authorized personnel only.
7. The store room should have a prominently displayed mark of caution used for poisonous or hazardous substances. It should be kept locked.
8. Containers should be arranged to minimize handling and thus avoid mechanical damage which could give rise to leaks. Containers and cartons should be stacked safely, with the height of stacks limited to ensure stability.

#### Transportation

1. Pesticides should be transported in well sealed and labeled containers, boxes or bags.
2. Pesticides should be transported separately. It should NOT be transported in the same vehicle as items such as agricultural produce, food, clothing, drugs, toys, and cosmetics that could become hazardous if contaminated.
3. Pesticides containers should be loaded in such a way that they will not be damaged during transport, their labels will not be rubbed off and they will not shift and fall off the transport vehicle onto rough road surfaces.
4. Vehicles transporting pesticides should carry prominently displayed warning notices.
5. The pesticides load should be checked at intervals during transportation, and any leaks, spills, or other contamination should be cleaned up immediately using accepted standard procedures. In the event of leakage while the transport vehicle is moving, the vehicle should be brought to a halt immediately so that the leak can be stopped and the leaked product cleaned up. Containers should be inspected upon arrival at the receiving station. There should be official reports to the national level and follow-up enquiries in the event of fires, spills, poisonings, and other hazardous events.

#### Disposal of remains of pesticides and empty packaging

1. At the end of the day's work during IRS activities, the inside of the spray pump should be washed and any residual pesticides should be flushed from the lance and nozzle.
2. The rinsing water should be collected and carefully contained in clearly marked drums with a tightly fitted lid. This should be used to dilute the next day's tank loads or disposed properly by the supervisor at disposal sites like pits or digs.
3. Never pour the remaining pesticides into rivers, pools or drinking-water sources.
4. Decontaminate containers where possible. For glass, plastic or metal containers this can be achieved by triple rinsing, i.e. part-filling the empty container with water three times and emptying into a bucket or sprayer for the next application.
5. All empty packaging should be returned to the supervisor for safe disposal according to national guidelines.
6. Never re-use empty insecticide containers.
7. It shall be the duty of manufacturers, formulators of pesticides and operators to dispose packages or surplus materials and washing in a safe manner so as to prevent environmental or water pollution.
8. The used packages shall not be left outside to prevent their re-use.
9. The packages shall be broken and buried away from habitation.

#### Disposal of Expired Pesticides

1. Adequate measures should be undertaken to avoid expiry of stocks in storehouses.
2. First Expiry First Out. principle should be strictly followed during stock movements.
3. The expired stock should be returned to manufacturer for disposal as per guidelines preferably through incineration process.
4. The chemical efficacy should be tested before disposal of expired pesticides to find out possibility of usage. The efficacy and active ingredient percentage of pesticides is tested and certified by the authorized testing laboratory.

#### Health Monitoring

1. In case of accidental exposures or appearances of symptoms of poisoning, medical advice must be sought immediately.
2. In case of organophosphorus (Malathion), regular monitoring of cholinesterase (CHE) level should be carried out and spraymen showing decline in CHE to 50% should be withdrawn and given rest and if needed medical aid

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## ESS4 Community Health and Safety Guidelines

### 1. Objectives

In line with the requirements of ESS4, these Community Health and Safety Guidelines address the health, safety, and security risks and impacts of project interventions on the communities in project villages who may be affected by project interventions. The guidelines set out the responsibility of the Himachal Pradesh Forest Department (HPFD) to avoid or minimize such risks and impacts, while paying attention to people who may be more vulnerable due to their circumstances. The main objectives of these guidelines are:

- a) To anticipate and avoid adverse impacts on the health and safety of project-affected communities during the project life cycle;
- b) To promote quality, safety and climate change considerations in the design and construction of infrastructure;
- c) To avoid or minimize community exposure to project-related traffic and road safety risks, diseases and hazardous materials;
- d) To set out effective measures to address any emergency events;

The requirements and strategies to ensure the occupational health and safety (OHS) for project workers are set out separately in the Labour Management Procedures (ESS2), and measures to avoid or minimize impacts on human health and the environment due to existing or potential pollution are set out in the Integrated Pest and Nutrient Management Plan (ESS3).

### 2. Potential Risks related to Community Health and Safety

Project interventions do not anticipate any significant community health and safety risks from usage of security personnel, project related vehicular traffic, construction of dams as well as handling and usage of hazardous material. The main risks and potential impacts are summarized below

- a) Construction and Civil Works. Most infrastructure works will be small scale, with short construction periods requiring 5-15 construction labour for 10-20 days and will take place in adjoining agricultural or forest land at some distance from the villages and habitations. No deep excavations and risky structures that increase the risk of falling and entrapment are planned. Community tanks may involve some risks related with accidental trespassing and personal injury for humans and livestock, including children.
- b) Hazardous material. No hazardous materials will be used by the project activities and risks related to contact of hazardous material with communities, workers and soil and water are very low. Some of the infrastructure works such as Community Tanks and Irrigation Systems and Market Access Infrastructure will be nearer to the communities. However, no adverse impacts are foreseen for the communities and workers. Adverse impacts from Noise and Dust are not expected to be significant. Project interventions in high value and climate resilient agriculture may increase the usage of chemical pesticides and fertilizers, and these will be mitigated and minimized through the risk mitigation measures set out in the Integrated Pest and Nutrient Management Plan (IPNM)
- c) Traffic and Road Safety. Construction activities for soil and water conservation, source upgradation, small water distribution systems and market infrastructure will not require movement of heavy vehicles for transporting construction materials or equipment. The risk of traffic-related accidents and injuries to workers and local communities is very low.
- d) Public Health. Public health Risks typically associated with large development projects and construction sites with poor sanitation and living conditions, labor influx and

mobility are not applicable. Health risks from increased labor influx and mobility are low given that most of the construction labor will be locals, and a very small share of construction labor will be from outside the state or from Nepal. Risks from stagnant water will have to be managed to reduce risks from vector borne diseases.

- e) Ecosystem Services. The project interventions on forests, watersheds, water harvesting, land management and climate resilient agriculture are likely to enhance the ecosystem services and not affect them adversely.
- f) Security Personnel. No security personnel will be hired to safeguard any project interventions and assets
- g) Dams. No dams are anticipated in the project.
- h) Stagnant Water. The project ESMF and construction related ESMP carry guidelines to avoid stagnant water.
- i) Safety of water harvesting structures. The project ESMP on water harvesting structures carry guidelines on ensuring safety through fencing including social fencing and bio-fencing

### 3. Mitigation Measures

HPFD will implement specific risk mitigation measures to protect the project affected communities from potential risks and hazards that impact the community health and safety. The specific mitigation measures related to community health and safety especially for i) water quality and availability, disease prevention and communicable diseases; ii) general work site related hazards on dust, sound and debris; iii) fencing of water impounding structures and other construction areas, especially those closer to habitations. These mitigation measures are included in LMP, IPNMP and Community Health and Safety Guidelines.

#### Construction, Infrastructure Design, Equipment's.

- a) Design and construction of civil works/structures will be done by competent professionals, and certified or approved by competent authorities or professionals.
- b) For structures that would be accessed by communities and public, the design will factor in risks of accidents or natural hazards, including extreme weather events,
- c) Structural design will consider climate change considerations, as appropriate.
- d) Where relevant and feasible, the structural design of civil works will ensure unhindered access for beneficiaries of all ages and abilities;
- e) Restricting access to specific sites and situations, including community tanks through fencing, signage, and communication of risks to the local community;
- f) Design and construction of water Harvesting Structures will factor in community access and safety aspects.
- g) Maintenance of structures to ensure elimination of unusable impounded water/ stagnant water and ensure increase in water velocity in natural and artificial channels
- h) Health awareness and education initiatives will be undertaken among the project communities

#### Safety of Services.

- a) Where the project involves provision of services to communities, appropriate quality management systems will be established to anticipate and minimize risks and impacts that such services may have on community health and safety.

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### Traffic and road safety

- a) Suitable Road safety measures will be undertaken, when project activities are found to increase the movement of heavy vehicles and equipment and increase the road safety risks of workers, road users and affected communities.

### Ecosystem Services

While the overall project impact on ecosystem services is assessed to be positive, where appropriate and feasible, potential risks and impacts on ecosystem services will be monitored.

- a) Project activities involving diversion or impoundment of water should prevent adverse impacts to the quality and availability of groundwater and surface water resources.
- b) Protection of drinking water sources so that they meet or exceed applicable national acceptability standards or in their absence the current edition of WHO Guidelines for Drinking Water Quality.
- c) Any dependency factors associated with the delivery of water to the local community should be planned for and managed to ensure the sustainability of the water supply by involving the community in its management to minimize the dependency in the long-term.
- d) Groundwater or surface water abstraction for project activities should be properly assessed through a combination of field testing and modeling techniques, accounting for seasonal variability and projected changes in demand in the project area.

### Community Exposure to Health Issues

- a) When justified, community exposure and vulnerability to water-related, vector-borne and communicable and non-communicable diseases will be monitored.
- b) Where specific diseases are endemic in communities in the project area, opportunities during the project life cycle will be explored to improve environmental conditions that could help minimize their incidence.
- c) Suitable measures will be undertaken to avoid or minimize any disease and health risks associated with the temporary or permanent project labor.

### Management of Hazardous Materials

- a) Safety guidelines for storage, transport, and distribution of pesticides will be followed to minimize the potential for misuse, spills, and accidental human exposure;
- b) Any potential exposure of communities to hazardous material will be avoided or minimized with suitable measures to control the delivery, storage, usage, transportation and disposal of such materials and wastes.

### Emergency preparedness and response

- a) Suitable emergency response and preparedness procedures and measures will be formalized to deal with any unanticipated incident, typically in the form of fire, explosions, leaks or spills, that may affect the health and safety of the community

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## ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

### Resettlement Policy Framework

#### 1. Summary of Project Intervention

Component 1 (*Sustainable land and water management*) will support a) establishment hydrological monitoring stations; b) preparation of Gram Panchayat Resource Management Plans (GP-RMPs); c) Soil and water conservation measures including afforestation, check dams, bunds water harvesting structures, drainage line treatments, gully plugging; d) Plantations, e) *Pasture* management with rotational grazing, fodder delineated forest, introduction of voluntary systems of rotational grazing in young forest; e) Development of high-quality seed stands f) construction of centralized seed center and climate-controlled seed bank; g) Nursery development h) Forest fire prevention and suppression measures. i) Innovative silviculture pilots and j) operation, maintenance and investment fund (OMIF). Component 2 (*Improved Agricultural Productivity and Value Addition*) will support interventions on a) water harvesting, storage, and distribution infrastructure, small pond excavation, community tank renovation, roof rain-water tanks, traditional irrigation channels, and gravity and lift intake and distribution structures; b) on farm adoption of Climate Smart Technologies; c) “last-mile” market access infrastructure such as footbridges and manually operated, ropeways (but not roads or investments requiring land acquisition); d) matching grants to individual farmers and farmer groups for essential productive assets. Component 3 (*Institutional Capacity Building for Integrated Watershed Management*) will support institutional assessments, functional reviews, institutional strengthening, institutional reforms, change management, capacity building interventions that would enable adoption of more holistic approach towards integrated watershed management, climate change, climate resilient and resource efficient agriculture, including information technology strategy. Component 4 (project management) will support key project staff, monitoring and evaluation, grievance redress mechanisms, ESF implementation, overall capacity building, project communication etc.

#### 2. Scope for Involuntary Resettlement Impacts

Under ESS5, “Land Acquisition” refers to all methods of obtaining land for project purposes, which may include outright purchase, expropriation of property and acquisition of access rights, such as easements or rights of way. Land acquisition also includes: (a) acquisition of unoccupied or unutilized land whether the landholder relies upon such land for income or livelihood purposes; (b) repossession of public land that is used or occupied by individuals or households; and (c) project impacts that result in land being submerged or otherwise rendered unusable or inaccessible. “Land” includes anything growing on or permanently affixed to land, such as crops, buildings and other improvements, and appurtenant water bodies.

Infrastructure related with i) water harvesting, storage and distribution; ii) market access such as footbridges, manually operated pulley-based ropeways; iii) seed collection centres and iv) other infrastructure supported under the OMIF and Matching Grants will be relying on donation of land from either the GP/Departments (through transfer) or from private citizens (through donation). Such lands will need to be screened for their potential to create adverse impacts on the lives, lands and livelihoods of peoples, especially vulnerable social groups.



Such land transfers and donations will have to follow the principles, guidelines and mitigation measures provided in ESS5

The land requirement for these structures will vary, depending on their type and size and locations. However, some typical requirements of some of the activities that require land are given below:

Type of Structure	Average Size	Unit Cost (Rs. Thousands)	Likely Ownership of Land
Check Dams, etc.			
Dry Stone Check Dam	3.5 X 0.75 M (3 Sq. m)	14.5	Government
Cement Concrete (CC) Check Dam	5 X 1 M (5 Sq., m)	38	Government
Crate Wire Check Dam	6 X 1 M (6 Sq. m)	31.4	Government
Pond (Manual Excavation)	20 X 15 X 1.5 M (300 Sq. m)	141	Government/ Private
Pond (Mechanical Excavation)	20 X 15 X 1.5 M (300 Sq. m)	68.7	Government/ Private
Spring Source Development (Bouries)	3 X 3 M (9 Sq. m)	125.7	Government/ Private
Roof Rain Water Harvesting Tanks (RRWHT) (Individual)	2.5 X 2.5 X 1.5 M (7 Sq. m)	81	Private
RRWHT (Community)	6 X 4 X 1.5 M (24 Sq. m)	229.1	Government/ Private
Water Harvesting, Storage and Distribution - Gravity			
Intake Structure + Tank + Pipe	Varies	550	Government/ Private
Check Dam (Earthen/ CC/ Masonry) +Tank+ Pipe	Varies	100	Government
Water Harvesting, Storage and Distribution - Lift			
Intake Structure + Pump + Tank + Pipe	Varies	750	Government
Check Cam (Earthen/ CC/ Masonry) + Pipe + Pump + Tank	Varies	1200	Government
Strengthening of Kunal (Irrigation Channel) (500 M)	0.25 X 0.175 X 500 M (22 Sq. m)	238.5	Government

As can be seen from the table above, most of these structures are going to be small structures cases.

Project interventions related to forestry plantations, nurseries, fodder plots/pasture lands and community tanks are likely to involve voluntary, community adopted restrictions of access and usage (such as rotational grazing or social fencing). Such interventions will have to be screened for any potential 'restriction impacts' on the lives and livelihoods of potentially affected peoples, and these interventions will have to follow the principles, guidelines and mitigation measures provided in ESS5

### 3. Resettlement Planning Framework: Need and Objectives.

Given that the locations of the infrastructure works requiring land and the sites involving temporary, voluntary restrictions will only be known during project implementation (preparation of the GP-RMP), and only after that the requirement for a small scale, resettlement plan or social mitigation plan would be known, an RPF is required to guide this process. Once the project interventions or individual project components are defined and the necessary information becomes available, such a framework will be expanded into a specific plan proportionate to potential risks and impacts. Project activities that will cause physical and/or economic displacement will not commence until such specific plans have been finalized and approved by the Bank. The purpose of the resettlement framework is to clarify the resettlement principles, organizational arrangements, and design criteria to be applied to project interventions or project interventions that are to be prepared during project implementation.

The main objectives of the RPF are to avoid and minimize any involuntary resettlement impacts, and to i) prevent forced eviction, forced land donation, forced restrictions on access and usage of common resources; ii) ensure that any land donation/transfer follows the principles and due diligence provided in the RPF; iii) mitigate any adverse impacts arising from possible restrictions on seasonal access to forest and common resources for transhumant and other communities in project villages iv) mitigate any unavoidable adverse social and economic impacts from land donation/transfer by providing timely mitigation measures; v) encourage community participation in planning and implementing resettlement and rehabilitation measures, and provide assistance to affected people.

This Resettlement Policy Framework for this Project is drawn in accordance with ESS 5 of the World Bank and with generally accepted and practiced principles of resettlement and rehabilitation. This framework will act as guide for mitigating the social impacts that could be triggered by any interventions under Project and that are currently foreseen to be related to adverse

### 4. Principles for Resettlement Preparation and Implementation;

- a) Negative List. IP will not take up Project interventions a) which require statutory acquisition of private land by the government; b) which require physical displacement and relocation of project communities; c) require government imposed restrictions on land access and use that cause economic displacement (loss of land, assets or access to assets, leading to loss of income sources or other means of livelihood), or both;
- b) Government or Common Land. Public and common land will be prioritized over requirements of voluntary donation of private land. For any requirement of land for project interventions under IP, the Project will use mostly government land, which is free of encroachments and disputes. Land under court cases and under the purview of FRA (unsettled claims) will not be used. All such lands will be screened
- c) Privately owned land. Project investments on water harvesting, storage and distribution systems will be made on government as well as private land that will be donated voluntarily to the GP, following the due diligence is provided under ESS5. When private land is required the concerned Gram Panchayat will get it through land donation using

the guidelines given under this framework; if this is not possible the project interventions location will be shifted to another suitable place.

## 5. Voluntary Land Donation – Guidelines

- a) The Titleholder/ Encroacher should not belong to the vulnerable sections/ BPL category. The following categories shall be eligible for recognition as vulnerable groups: BPL households (with a valid proof), BPL households without a proof of the same and belonging to the following social categories Women headed households, Scheduled Castes, Scheduled Tribes, Handicapped persons, Transhumant. The project provides for targeted support/ assistance to the vulnerable groups.
- b) Whenever there is land requirement, the Project will interact with the land owners and facilitate voluntary donation of land required for taking up project interventions under the project.
- c) This use of voluntary donation option will be limited to small parcels of land for project facilities. The impacts must be minor. The donor should be holding more than minimum prescribed land, i.e., half hectare of wetland (irrigated land) and one hectare of dry land (unirrigated land) after donation, as much. The land donated should not be more than 1 acre in case of dry land, 0.5 acre in case of wet land and 0.25 acre in case of commercial/ residential. The voluntary donation should not be more than 10 percent of the total land holding of the Titleholder/ Encroacher in that category of land (dry, wet or commercial/ residential).
- d) This should not require any physical relocation of the Titleholder/ Encroacher.
- e) Under no circumstances, the titleholder/ encroacher will be subjected to any pressure, directly or indirectly, to part with the land. These actions are expected to minimize adverse impacts on the local population and help in project benefits reaching all sections of community.
- f) The Project will ensure that the process of voluntary donation of land will be meticulously documented at all levels to avoid confusions, misunderstandings, litigations, etc. at a later stage. A suggested format for this purpose is enclosed. Original copies of all documentation of voluntary donation of land will be kept with the Block Development Officer with copies at GP. Complete documentation along with a copy of the final document will be sent to PMU for records and for inspection later.
- g) Tripartite Agreement. The land must be jointly identified by the GP, APO and PMU/ DPO representative or other implementing agencies or project authorities. However, the project technical authorities should ensure that the land is appropriate for interventions purposes and that the interventions will not invite any adverse social, health, environmental, safety, etc. related impacts by procuring this land.
- h) Encumbrance Free. The land in question must be free of squatters, encroachers, or other claims or encumbrances.
- i) Buildings/ structures on the land donated are not accepted as donation. Land having any assets fixed to it will not be acceptable for donation.

- j) Verification of the voluntary nature of land donations must be obtained from each of the persons donating land. This should be in the form of notarized witnessed statements.
- k) In case of any small-scale loss of income, verification of voluntary acceptance of community devised mitigation measures must be obtained from those expected to be adversely affected.
- l) The land will be donated to the Gram Panchayat and appropriate guarantees of uninterrupted public access and non-interference in benefit sharing mechanisms will be taken by the private titleholder.
- m) The Titleholder/ Encroacher donating land should be provided access on priority basis, subject to eligibility, to the Government housing/ poverty reduction/ livelihoods/ etc. programs operating in the area.
- n) The Titleholder/ Encroacher donating land should made to understand that they will have equal access to the infrastructure built on the donated land like any other community member and that they cannot claim for any priority treatment.
- o) Grievance Redress Mechanism must be available.
- p) The donations and the process followed is documented, monitored and reflected in the monitoring reports.
- q) All expenses incurred in the course of voluntary donation including any fees will be borne by the beneficiary group with possible support from project, in case of disadvantaged and vulnerable households.
- r) Voluntary Land Donors and any other project affected persons will need to be among the direct beneficiary of the concerned project intervention.

## 6. Restrictions on access and usage of common resources.

- a) Investments in new grazing pastures, fodder plots, new plantations may involve HPFD or community-imposed use restrictions that may restrict traditional usage, and adversely affect the most vulnerable households. Such investment project interventions will be screened for adverse impacts on traditional use and customary rights, and when needed suitable mitigation action plans will be prepared and implemented by the beneficiary groups, GPs and HPFD.
- b) Any restrictions such as a) keeping people and cattle to specified linear routes, b) requiring people and cattle to enter only at specified points, c) imposing timings for entry of people and cattle, d) imposing specific restrictions on what can be done when on the land, e) excluding public access completely, etc. need to be framed by the communities duly taking into consideration the following guidelines, as required.
- c) All restrictions will need to be dissolved such as a) the purpose of restrictions, b) nature of restrictions, c) duration for which the restrictions will apply, etc.
- d) Any restrictions imposed, need to recognize and build on customary property rights regime.

- e) The restrictions have to be flexible to suit different context and different needs that could be adaptable to local ecological, social, cultural, economic, and political contexts.
- f) Provide incentives for sustainable management of Natural Resources to UG/ CAG.
- g) Pay attention to duration of restrictions.
- h) Avoid reduction or elimination of property rights, as this will have enormous potential for creating poverty, livelihood insecurity, and conflict.

## 7. Legal Framework

When required and justified, the land title will be transferred legally. The Transfer of Property Act, 1882 (Section 123) provides that for making the gift of immovable property, the transfer must be affected by a registered instrument signed by the donor and attested by at least two witnesses. The transfer or handover may be made in the same way as goods sold may be delivered. Section 128 highlights that where gift consists of the donor's whole property, the donor is personally liable for all the debts due by and liabilities of the donor at the time of the gift to the extent of property comprised therein. When required, a deed of gift of an immovable property will be registered as provided under the Registration Act signed by or on behalf of the donor and attested by at least two witnesses. The title cannot pass without there being a registered deed of gift under the Registration Act, 1908.

## 8. Organizational Procedures and Implementation Arrangements

- a) All land sites will be screened for adverse environment and social impacts, and when adverse impacts are found, suitable mitigation plans will be prepared and implemented by beneficiary groups.
- b) Social Extension Officer will be doing the screening with support of GP members, and these will be approved by the DPO
- c) Mitigation Plans will be prepared by the Beneficiary Group, in consultation with the voluntary land donor.
- d) The Social Mitigation Plans will be made an integral part of the technical and operational design of the concerned project intervention and will be implemented as part of the project interventions. Any beneficiary group identified mitigation measures will be part of the cost of the concerned interventions.
- e) All such sites involving either common or private land will need to be screened based on a screening checklist.

## 9. Grievance Redress Mechanism

The Project will establish a Grievance Redress Mechanism (GRM) which will be implemented with the aim to respond to queries or clarifications about the project, resolve problems with implementation and addressing complaints and grievances. The GRM will focus on corrective actions that can be implemented quickly and at a relatively low cost to resolve identified implementation concerns, before they escalate to the point of harm or conflict. GRM will serve as a channel for early warning, helping to target supervision to where it is most needed and identify systemic issues. The institutional arrangement for the GRM will be established as following:

- a) Project Grievance Officer. The Executive Director of the HPFD will be the ex-officio, senior most official to act as the Grievance Officer for the whole project. The ED will hold quarterly reviews of the functioning of the GRM.

- b) State level Grievance Officer. The Social Expert in SPMU will be the Grievance Officer for the Project at the State Level.
- c) District level Grievance Officer. The District Project Officer (DPO) will be the nodal Grievance Officer at the District Level responsible for receiving, tracking and resolving grievances from the stakeholders

HPFD will be issuing an office order and necessary notifications to establish and operationalize the GRM for the project.

Grievance Channels. Project beneficiaries and stakeholders will be able to submit their grievances, feedback and inquiries to the Project through multiple channels that are summarized below.

- a) State Government Portal. The existing mechanism of State Government portal for citizen's grievances and enquires will also cover the Project. HPFD receives regular inputs from this portal on grievances that are to be addressed by the HPFD.
- b) Project specific Portal. Project will maintain a portal with dedicated mechanisms for receiving stakeholder grievances. All grievances, feedback and queries received through the project portal will be collated and compiled by the State Social Expert and included in the progress report. The portal will also provide relevant information on the multiple channels that can be used for submitting grievances to the project.
- c) Grievance Registers. Grievance Registers will be maintained at District/Block levels to record, track and report on the inflow of stakeholder grievances, enquiries and feedback. The Grievance Registers will help with monitoring and evaluation of the functioning of GRMS.
- d) Status of Grievances received and resolved will be track through the project MIS as well as monthly progress reports from the Districts and Blocks.

Grievance Process. All grievances, enquiries and feedback received through the multiple channels will be tracked through a grievance log that would be maintained through the MIS. Grievances will be directed to the competent nodal grievance officer at the state, district, and block levels for resolution, with recommended timelines. The concerned Grievance Officer will be responding to the grievance/query through phone calls, meetings and letters, in order to resolve the issues. If needed site visits will be undertaken to appraise the exact nature of the stakeholder concerns. The Complainant will be made part of the grievance resolution process and kept updated of the resolution process through phone calls and formal letters. Information material on GRM will also inform the stakeholders about grievance escalation hierarchy that would help the complainant to escalate any unresolved issues to higher level officers, as well as the existing state level GRM channels of government portal and grievance committee chaired by the district collectors. The grievance redress process will be a continuous, transparent and participatory process that would be an integral part of the project's accountability and governance agenda.

GRM Monitoring and Reporting. The functioning of the GRM will be monitored by the Social Expert in the SPMU and the ED. Status and function of the GRM will be documented and shared by the Social Expert in the SPMU through periodic reports and review meetings. GRMs will also be tracked through the project MIS. Regular GRM Review Meetings will held chaired by the ED and convened by the Social Expert of the SPMU. The Social Expert will be responsible for presenting status of all matters/ grievances received during the last quarter/month, and the action taken to resolve them. The GRM mechanism will be notified to the public and stakeholders within the 1st 6 months of project effectiveness. The project website will be posting the status of the GRM status periodically on the website of the project.

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

#### **10. Consultation and Participation, with affected persons.**

The Project will ensure regular consultations with and participation of any affected households and community groups, including transhumant, through periodic consultations for planning and monitoring project activities. Consultations will be held at regular intervals with beneficiary groups in the project villages, including any, women’s federations, farmer groups, UGs/ CAGs/ Federations Members GP members, Women, members of tribal households, NTFP collectors, transhumant communities, PAPs etc.

Within the project design, participation of affected community will be ensured through strengthening of community institutions and creating awareness among them regarding rights, entitlements and concessions available to them with respect to forests, simplification of procedures for accessing to forest resources and supporting participation of local communities.

#### **11. Monitoring and Audit**

The concurrent internal social monitoring will be done as part of the regular monitoring by the PMU and DPO and APO level implementing agencies. PMU will prepare a report of the environmental and social safeguards status in the project districts including data and analysis of relevant parameters, including reporting results of screening and implementation of any social mitigation plans. However, project will appoint Independent Environmental and Social Monitoring and Audit Consultants to do the half-yearly environmental and social monitoring and audit of sampled project interventions for safeguards compliance. This will start from the 3<sup>rd</sup> year of project implementation and will happen twice during the project implementation period.

**Annexure 1: Draft Format for Voluntary Land Donation**

1. This deed of voluntary donation is made and executed on ..... day of ..... between Sri/Smt .....S/o W/o..... Age..... Occupation ..... resident of ..... herein after called the “Title holder / Encroacher” on one part. This expression shall mean and include his legal representatives, successors – in-interest, heirs, assignees, nominees etc.

AND

The Gram Panchayat ..... of District ..... represented by Pradhan on the GP .....

2. Whereas, the details of the Location of the, land are given below:

Location Details	
Village	
Gram Panchayat	
Block	
District	
Title Holder/ Encroacher Details	
Name of Title Holder/Encroacher	
Father/ Husband’s Name of Title Holder/Encroacher	
Status:	Title Holder/ Encroacher
Age:      occupation:	Residence:
Gender:	
Schedule -Land Details/Structure	
Land in Question	
Area	
Location	
North Boundary	
East Boundary	
West Boundary	
South Boundary	

Note: Detailed Map to the scale is appended.

3. Whereas the Title Holder is presently using/ holds the transferable right of the above mentioned piece of land in the village mentioned above. Whereas the Encroacher does not hold any transferable rights of the above mentioned piece of land in the village mentioned above but has been a long standing encroacher dependent on its usufruct hereditarily.
4. Whereas the Title Holder/Encroacher testifies that the land is free of encumbrances and not subject to other claims/ claimants.
5. Whereas the Title Holder/Encroacher hereby voluntarily surrenders the land/structure without any type of pressure, influence or coercion what so ever directly or indirectly and hereby surrender all his/her subsisting rights in the said land with free will and intention.



6. Whereas the Recipient shall construct and develop infrastructure facilities under the project, and take all possible precautions to avoid damage to adjacent land/structure/other assets.
7. Whereas both the parties agree that the infrastructure so constructed/developed shall be for the public purpose.
8. Whereas the provisions of this agreement will come into force from the date of signing of this agreement.

Signature of Title Holder/Encroacher		Signature of Pradhan GP	
Name of Title Holder/Encroacher		Name of Pradhan GP	
Date		Date	
Identified by			
1. Name:	Signature:		
2. Name:	Signature:		
Witnesses			
Signature of Pradhan, Gram Panchayat			
Name of Pradhan, Gram Panchayat			
Signature of GP Secretary			
Name of GP Secretary			
Signature of APO Representative			
Name of APO Representative			
Designation of APO Representative			

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## **ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources (Biodiversity Management Plan)**

### **1. Objectives**

Himachal Pradesh is bestowed with distinctive floral and faunal biodiversity having aesthetic, cultural, commercial and genetic values. 95 percent of the floral and faunal species available in the State are endemic. The State has an extensive network of protected areas and wildlife sanctuaries for the protection of biodiversity, as well as internationally recognised sites of biodiversity such as RAMSAR wetlands, a UNESCO Natural World Heritage Site and Endemic Bird Areas and Important Bird Areas. Further, the state has a rich wealth of traditional knowledge and physical cultural heritage within its large number of sacred groves. The objectives of ESS 6 are particularly significant in the state and aim:

- a) To protect and conserve biodiversity and habitats.
- b) To apply the mitigation hierarchy and the precautionary approach in the design and implementation of projects that could have an impact on biodiversity.
- c) To promote the sustainable management of living natural resources.
- d) To support livelihoods of local communities, including Indigenous Peoples, and inclusive economic development, through the adoption of practices that integrate conservation needs and development priorities.

### **2. Potential Risks and Impacts**

Under the project, potential risks that could result in a loss of biodiversity and ecosystem services could arise from:

- a) unmanaged chemical pesticide and fertilizer use and agricultural run-off
- b) use of non-native varieties and replacement of local varieties with hybrid or exotic trees, plants, and animal species
- c) habitat and land-use conversion
- d) un-sustainable and un-scientific harvesting of NTFPs and
- e) unmanaged grazing

### **3. Biodiversity Management Plan (BMP)**

The (BMP) has been prepared with key strategies for biodiversity conservation that include: i) site screening for avoiding critical natural habitats; ii) promotion of indigenous species in plantations, fodder plots and nurseries and avoidance of exotic, invasive species; iii) adoption of sustainable harvesting and production of NTFP; iv) updating of peoples biodiversity registers in recently denotified wildlife panchayats and community capacity building; v) negative list to ensure biodiversity conservation, prevent forest fires, habitat fragmentation, land use modifications, and prevent felling of trees. The ESMF includes screening and eligibility checklists to ensure exclusion of activities that would adversely affect biodiversity such as felling of trees, activities causing irreversible impacts to critical and natural habitats, activities causing forest fires, felling of trees without a permit, and activities that are inconsistent with forest working plans or Catchment Area Treatment (CAT) plans.

#### **3.1 Site Screening**

## 3.1.1 Identification of Critical Habitats and No-Go Zones

**The project will not finance activities in identified critical habitats of the state, unless they are activities explicitly designed to conserve biodiversity and consistent with existing conservation and management plans of these identified habitats. The designated projected areas of the state include all internationally recognised sites of biodiversity including the UNESCO World Heritage Site, RAMSAR Wetlands and Important Bird Areas (IBAs).**

**Protected Areas of HP**

Sl. No.	Protected Areas	Notification Date	Area (sq. km)	District (s)	Fauna
<b>National Parks</b>					
1	Great Himalayan National Park	1984	905.4	Kullu	Blue sheep, snowleopard, Himalayan brown bear, Himalayantahr, andMuskdeer
2	PinValley National Park	1987	675.00	Lahul &Spiti	RedIndian Fox, Tibetan Gazelle, Wooley Hare, Snow Leopard, HimalayanMarmot, Himalayan Mouse-hare, IndianHodgson'sPorcupine, Blue SheepandWolf
3	Khirganga	2010	705	Kullu	Snow Leopards, Wild bears, Himalayan brown bear, Himalayantahr, andMuskdeer
4	Inderkila	2010	94	Kullu	Tigers, Leopards, Deer
5	Simbalbara	2010	27.88	Sirmour	Leopard, Sambhar, Ghoral, Barking Deer, Jackal, Spotted Deer, Wild Boar & Blue Bull. Hornbill, Peafowl, Red Jungle Fowl, Khaleej Pheasant
<b>Wildlife Sanctuaries</b>					
1	Bandli WLS	1962	32.11	Mandi	HimalayanBlack Bear, commonPalm Civet, BarkingDeer, Goral, Indian hare,Rhesus Macaque.
2	Chail WLS	1976	16	Solan	Sambar, Goral, HimalayanBlack Bear, Red Deer, Silver-WhiteOak,BarkingDeer, Common Langur, Leopard, RhesusMacaque, Himalayan Yellow Throated Marten, IndianPorcupine, Giant and Kashmiri Flying Squirrel.
3	Chandratal WLS	2007	38.56	Lahul &Spiti	IbexandSnowleopard
4	Churdhar WLS	1985	55.52	Sirmaur	HimalayanBlack Bear, BarkingDeer, Musk Deer, CommonLangur andLeopards
5	Daranghati WLS	1962	171.50	Shimla	HimalayanBlack Bear, BrownBear, Himalayan Palm

Sl. No.	Protected Areas	Notification Date	Area (sq. km)	District (s)	Fauna
					Civet, BarkingDeer, Musk Deer, Flying Fox, Goral, IndianHare, StrippedHyena, HimalayanIbex, Leopard, Himalayanyellow throatedMarten, Serow, Blue Sheep, Common giant flyingSquirrel andHimalayanWeasel
6	Dhauladhar WLS	1994	982.86	Kangra	Nilgai, Sambar, BarkingDeer, WildBuar, ClawlessOtter, andLeapord
7	Gamgul Siyabehi WLS	1962	108.40	Chamba	Ibex, bear, langur, leopard, muskdeer, Himalayantahr, Himalayanfox, Himalayan shrew, rhesusmacaque, common giant flying squirrel, Indianbushrate, jackal, barking deer
8	Kais WLS	1954	12.61	Kullu	Serow, blueSheep, red Fox, musk deer, Goral, ibex, Leopard, snow Leopard, brownBear, Himalayan black Bear
9	Kalatop-Khajjar WLS	1958	17.17	Chamba	Ibex, deer, black bearsandleopards
10	Kanawar WLS	1954	107.29	Kullu	Serow, blueSheep, red Fox, musk deer, Goral, ibex, Leopard, snow Leopard, brownBear, Himalayan black Bear
11	Khokhan WLS	1954	14.94	Kullu	Serow, blueSheep, red Fox, musk deer, Goral, ibex, Leopard, snow Leopard, brownBear, Himalayan black Bear
12	Kibber WLS	1992	2220.12	Lahul & Spiti	IbexandSnowleopard
13	Kugti WLS	1962	405.49	Chamba	Brown bear, Asiaticblackbear, Leopard, HimalayanTahr, Himalayanibex, Goral, CommonLangur, Porcupine
14	Lippa Asrang WLS	1692	31	Kinnaur	Yak, Ibex, Leopard, Goral, Blue Sheep, Brown Bear, Musk Deer, Himalayan black Bear
15	Majathal WLS	1954	30.86	Solan	Deer, Bear, Cheer pheasant
16	Manali WLS	1954	29	Kullu	HimalayanBlack Bear, HimalayanPalm Civet, BarkingDeer, Flying Fox, Goral,

Sl. No.	Protected Areas	Notification Date	Area (sq. km)	District (s)	Fauna
					IndianHare, StrippedHyena, Leopard, Himalayanyellow throatedMarten, Serow, Kashmirflying Squirrel andHimalayanTahr.
17	Nargu WLS	1962	132.37	Mandi	Black Bear, Brown Bear, Himalayan Palm Civent, barking Deer, Indian Hare, common Langur, Leopard, RhesusMacaque, Himalayan yellow throated stone Marten, Indian Porcupine, common giant flying Squirrel, Himalayan Weasel
18	Pong Dam Lake WLS	1982	207.59	Kangra	Nilgai, Sambar, BarkingDeer, WildBuar, ClawlessOtter, andLeapord
19	Rakchham-Chitkul WLS	2013	304	Kinnaur	Leopard, Blue Sheep, Goral, Musk Deer, Himalayan and Black Bear
20	Renuka WLS	2013	4	Sirmaur	Asiaticlions, spotted deer, liontailed macaques, peacocks, nilgai or large grey Indian antelope, barkingdeer andHimalayan black bears.
21	Rupi Bhaba WLS	1982	503	Kinnaur	Serow, blueSheep, red Fox, musk deer, Goral, ibex, Leopard, snow Leopard, brownBear, Himalayan black Bear
22	Sech Tuan Nala WLS	1962	390.29	Chamba	Ibex, bear, langur, leopard, muskdeer, Himalayantahr, Himalayanfox, Himalayan shrew, Rhesusmacaque, common giant flying squirrel, Indianbushrate, Jackal, barking deer
23	Shikari Devi WLS	1962	29.94	Mandi	Himalayan palm civet, barkingdeer, marten, Indianporcupine, Kashmiri flying squirrel, musk deer, commonlangur, leopard, the common Squirrel,
24	Shimla Water Catchment WLS	1958	10	Shimla	Flying Squirrel, commonlangur, Serow, Porcupine, Sambar
25	Talra WLS	1962	46.48	Shimla	Flying Squirrel, commonlangur, Serow, Porcupine, Sambar

Sl. No.	Protected Areas	Notification Date	Area (sq. km)	District (s)	Fauna
26	Tundah WLS	1962	64	Chamba	Ibex, bear, langur, leopard, muskdeer, Himalayantahr, Himalayanfox, Himalayan shrew, rhesusmacaque, common giant flying squirrel, Indianbushrate, jackal, barking deer
<b>Conservation Reserves</b>					
1	Shilli Conservation Reserve	1999	1.49	Solan	Black bear, Panther, Barking Deer
2	Shri Naina Devi Conservation Reserve	1999	17	Bilaspur	Leopards, Rhesus, Himalayan Yellow Throated Marten, Serow, Porcupine, Sambar and Common Giant Flying Squirrel
3	Darlaghat Conservation Reserve		0.67	Solan	Sambar, wild boar, black bears, Jungle fowls

### 3.2 Screening for Critically Endangered Species

Further, the project will assess the presence of critically endangered species in the project Area to ensure that the project does not finance any activities in habitats where the following critically endangered species of the state are found, even if they are outside the boundaries of the network of protected areas and wildlife sanctuaries. The collection and use of these species, living or dead, is prohibited under the Wildlife Protection Act, 1972 unless it is for research, propagation or scientific investigation with the approval of the State Biodiversity Board. As per the Biological Diversity Act, the Ministry of Environment & Forests and Climate Change, Govt. of India in consultation with the Govt. of Himachal Pradesh, has notified eight species of plants and ten species of animals which are on the verge of extinction. These are as follows:

#### Plants

1. *Aconitum deinorrhizum* Stapf - Mohra - Ranunculaceae
2. *Aconitum heterophyllum* Wall - Atis - Ranunculaceae
3. *Aconitum violaceum* Jacq. Ex Stapf
4. *Eremostachys superba* Royle ex Benth - Gajar Mula - Lamiaceae
5. *Jasminum parkeri* Dunn - Dwarf Jasmine - Oleaceae
6. *Nardostachys grandiflora* DC - Jatamansi - Boraginaceae
7. *Dactylorhiza hatagirea* D. Don - Salam panja - Orchidaceae
8. *Taxus wallichiana* Zucc Synonym: *Taxus contorta* Griff. - Rakhal/Birmi - Taxaceae

#### Animals

9. *Murina grisea* Peters, 1872
10. *Cervus duvaucelii* (Cuvier, 1823)
11. *Capra faconeri* (Wagner)

12. *Moschus chrysogaster* (Hodgson, 2839)
13. *Gyps bengalensis* Gmelin - White-rumped vulture - Accipitridae
14. *Gyps tenuirostris* - Gray Slender billed vulture - Accipitridae
15. *Sarcogyps calvus* Scopoli - Red-headed vulture - Accipitridae
16. *Vanellus gregarious* (Pallas, 1771)
17. *Cervus elaphus hanguli*
18. *Capricornis sumatraensis*

### 3.3 Screening for Sacred Groves

The project will undertake a screening to ascertain if the project Gram Panchayat has any Sacred Groves in its vicinity. The project will not finance any activities within the Sacred Groves of the State unless they are activities explicitly designed to conserve biodiversity and traditional knowledge and consistent with existing rules and in consultation with the local community including the temple committee, usually in charge of the management of these sacred groves. The State has approximately 350 sacred groves documented through various initiatives. An initiative by HP State Biodiversity Board has detailed records of 253 sacred groves in the districts of Shimla and Kullu. These groves are locally named *Dev Van* or *Devta Ka Jungle* and have rules such as a prohibition on cutting trees or carrying dry leaves outside the area. These groves, as documented possess a great heritage of diverse gene pool of many forest species with socio religious attachment and play an important role in water conservation.

### 3.4 Promotion of Native Species

In its plantation activities, the project will promote Mixed Broad Leaved Native Species of the state as follows:

1. *Toona ciliata*
2. *Dendrocalamus strictus*
3. *Salix alba*
4. *Morus alba*
5. *Syzygium cumini*
6. *Melia azederach*
7. *Terminalia arjuna*
8. *Emblica officianalis*
9. *Bombax ceiba*
10. *Albizia stipulata*
11. *Tectona grandis*
12. *Acacia catechu*
13. *Sapindus mukorossii*
14. *Dalbegia sissoo*
15. *Quercus* spp.
16. *Agave* spp.

### 3.5 Sustainable Harvesting of NTFPs

The project will promote forest nurseries and plantation activities that will include strategies and best practices for the conservation and sustainable/ scientific harvesting of Non-Timber Forest products including fuelwood and fodder species. Strategies should include:

1. Avoid/ Prohibit any project activities that disturb habitats containing critically endangered or threatened NTFP species, unless they are designed with the sole purpose of conserving these species.
2. Inclusion of Non Timber Forest Product (NTFP) species, including for fuel wood, fodder, wild fruit and Medicinal and Aromatic Plants (MAPs) in seed stands, forest nurseries and plantation activity
3. Awareness generation and trainings on conservation, protection and scientific harvesting of NTFP species including conservation of the wild gene pool and promotion of best practices to ensure survival of saplings, plantation and adherence to forest working plans.

### **3.6 Peoples Biodiversity Register (PBR)**

The project includes several Gram Panchayats (33+) that were de-notified from Wild Life Sanctuaries / Protected Areas about 5 years ago, and are now administratively designated revenue villages. These Gram Panchayats could have ecologically unique features and the potential to leverage biodiversity linked livelihood activities. Apart from the screening procedures, the project will support the preparation of Peoples Biodiversity Registers in these panchayats in collaboration with the State Biodiversity Board. This involves the formation of a Biodiversity Management Committee (BMC), constituted by local government institutions, within their area of jurisdiction, for the purpose of promoting conservation, sustainable use and documentation of biological diversity including preservation of habitats, conservation of land races, folk varieties and cultivars, domesticated stocks and breeds of animals and micro-organisms and chronicling of knowledge relating to biological diversity.

People's Biodiversity Registers (PBR) is a participatory process that involves community consultations towards documenting folk knowledge of status, uses, history, ongoing changes and forces driving changes in biodiversity resources, gainers and losers in these processes and people's perceptions of how these resources should be managed. The documents bring together important locality specific information on biodiversity resources and ecological processes affecting them. The main function of the BMC is to prepare People's Biodiversity Register in consultation with local people. The Register shall contain comprehensive information on availability and knowledge of local biological resources, their medicinal or any other use or any other traditional knowledge associated with them.



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**ESS7 Tribal Development Framework** (*Indigenous Peoples Planning Framework*)

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## 1. Background

The Government of Himachal Pradesh (GoHP) is preparing the Integrated Project for Source Sustainability and Climate Resilient Rain-fed Agriculture (IP) in the selected Gram Panchayats of the State, with financing from the World Bank. IP carries forward the ideas and learnings of H.P. Mid Himalayan Watershed Development Project (HPMHWDP). The proposed IP will invest in measures in upstream catchment areas to improve sustainable land and watershed management to promote the sustainability of perennial water sources. It will also support continued diversification and commercialization of agricultural value chains in downstream areas by supporting production and value addition including the promoting efficient water use thereby increasing the productivity of water in agriculture. It will adopt a spatial approach by (i) applying a landscape approach to individual high-risk micro-watersheds within select river basins in Himachal Pradesh; and (ii) overlaying this with a cluster approach to target value chain investments in specific locations to leverage economies of scale and network externalities. In parallel, the project will develop and demonstrate the application of an analytical evidence base to inform strategic policy choices viz. the trade-offs between alternative water use and will pilot a new institutional arrangement for addressing complex multi-sectoral concepts such as sustainable landscape management that involves several sectors and multiple Government departments.

## 2. Summary of Proposed Project Interventions

The project development objective of the proposed Integrated Project for Source Sustainability and Climate Resilient Rain-fed Agriculture (IP) is “To improve upstream watershed management and increase agricultural water productivity in selected Gram Panchayats in Himachal Pradesh.”

The proposed project interventions and its four main components are provided below.

Component 1 (Sustainable land and water management) will support a) establishment hydrological monitoring stations; b) preparation of Gram Panchayat Resource Management Plans (GP-RMPs); c) Soil and water conservation measures including afforestation, check dams, bunds water harvesting structures, drainage line treatments, gully plugging; d) Plantations, e) Pasture management with rotational grazing, fodder delineated forest, introduction of voluntary systems of rotational grazing in young forest; e) Development of high-quality seed stands f) construction of centralized seed center and climate-controlled seed bank; g) Nursery development h) Forest fire prevention and suppression measures. i) Innovative silviculture pilots and j) operation, maintenance and investment fund (OMIF).

Component 2 (Improved Agricultural Productivity and Value Addition) will support interventions on a) water harvesting, storage, and distribution infrastructure, small pond excavation, community tank renovation, roof rain-water tanks, traditional irrigation channels, and gravity and lift intake and distribution structures; b) on farm adoption of Climate Smart Technologies; c) “last-mile” market access infrastructure such as footbridges and manually operated, ropeways (but not roads or investments requiring land acquisition); d) matching grants to individual farmers and farmer groups for essential productive assets.

Component 3 (Institutional Capacity Building for Integrated Watershed Management) will support institutional assessments, functional reviews, institutional strengthening, institutional reforms, change management, capacity building interventions that would enable adoption of

more holistic approach towards integrated watershed management, climate change, climate resilient and resource efficient agriculture, including information technology strategy

Component 4 (project management) will support key project staff, monitoring and evaluation, grievance redress mechanisms, Environment and Social Framework (ESF) implementation, overall capacity building, project communication etc.

### 3. Potential Impacts on Tribal Communities and Applicability of ESS7

Implementation Area. The project will be implemented in 428 Gram Panchayats (GPs) of 32 Development Blocks covering 10 out of 12 districts of Himachal Pradesh. These districts are Shimla, Solan, Sirmour, Bilaspur, Hamirpur, Mandi, Kullu, Chamba, Kangra & Una. The high mountain districts of Kinnaur and Lahaul and Spiti are not included in the Project. About 111 GPs officially designated as ‘backward’ GPs on the basis of remoteness, infrastructure and access to services. Further, 33 GPs included under the project were de-notified from Wild Life Sanctuaries / Protected Areas about 5 years ago and are now revenue villages.

While the Constitutionally notified schedule V areas, with significant tribal populations, are not part of the project, Indigenous Peoples (henceforth the Scheduled Tribes) are dispersed throughout the project districts and project GPs in varying numbers. Their share in the project areas ranges from 1-25%, however they are largely concentrated around the project districts of Chamba and Kangra. Many of project GPs have physical presence of the nomadic transhumant tribes, mainly Gaddis and Gujjars.

Positive Impacts. The Scheduled Tribes or Tribal Groups in the project GPs, will be positively impacted by the project interventions. Tribals communities, with other key stakeholders, will be among the primary beneficiaries of the project. These communities will benefit from improved access to irrigation water, climate smart agriculture extension services, individual and common productive infrastructure, better quality production inputs, as well as market access infrastructure. Tribal households will especially benefit from employment opportunities in nursery and plantation activities and the development of agricultural value chains and Non-timber Forest Products (NTFPs). Community members will benefit from training on improved production and post-harvest practices. Improvements in fodder availability and good livestock rearing practices, will particularly benefit the transhumant nomadic tribes especially *Gaddis & Gujjars* who dependent on livestock rearing for their livelihoods.

Potential for adverse impacts on Tribal Groups. No land acquisition, physical displacement or relocation or involuntary resettlement impacts are anticipated under the project, and no adverse impacts on tribal lands, resources and livelihoods are envisaged. Any project activity requiring acquisition of private land and/or physical relocation will fall under the negative list. All project interventions in forestry plantations, nurseries, water harvesting, storage and distribution systems will be made on government as well as private land that will be donated voluntarily to the GP, following the due diligence provided under ESS5. All project interventions on forest, common and private lands will be screened for any adverse physical and economic impacts, including forest rights, loses of access to customary grazing areas and routes and loss of customary use rights. Forest lands with unsettled Forest Rights will not be selected for any project investments and intervention.

Project interventions related to plantations, nurseries, fodder plots/pasture lands, community tanks are likely to involve voluntary, community adopted restrictions of access and usage (such as rotational or seasonal grazing or social fencing) in some cases. This may adversely

affect some tribal groups. To mitigate any potential adverse impacts, such interventions will be screened for any potential ‘restriction impacts’ on the lives and livelihoods of potentially affected peoples, especially tribal groups, and these interventions will have to follow the principles, guidelines and mitigation measures provided in the resettlement policy framework and the IPPF.

#### **4. Summary of Stakeholder Consultations, including with Tribal Groups**

As part of the Environment and Social Assessment, HPFD through its field staff and consultants engaged with rural communities and potential project participants in 20 GPs of 8 districts. This included dedicated consultations and engagement with tribal communities and their community leaders, largely in Chamba and Mandi districts. In addition, more focused consultations were also held with the nomadic, transhumant tribes, mainly *Gaddis* and *Gujjars*.

The main feedback from consultations with the tribal communities has been around the need for more information on Project activities, specially opportunities for benefits for the tribal communities around irrigation, horticulture, fodder development and livestock production and health services. Many of the tribal areas are situated in geographically difficult terrain with extreme climate. As a result, communities suffer from isolation and inhospitable living conditions due to lack of basic amenities. Due to this, tribal areas also face problems in communication, transport and access to educational, health and irrigation facilities. Increase in livestock herd size with transhumant also results in grazing issues, and resource conflict among communities.

Limitations of grazing areas force the transhumant communities to depend on panchayat or private lands for grazing. Absence of knowledge and facilities on value addition of agriculture and forest produce also limits income opportunities. Lack of non-farm employment opportunities perpetuates the dependence on seasonal, rain-fed agriculture. This also results in seasonal outmigration for jobs and livelihoods. Greater convergence with other government projects/ programs for skill development of tribal youth in the project area. There is little awareness about climate change, its impacts and adoption measures at the community level. There is a need to orient the tribal communities towards adopting climate change adaptation measures.

Other issues, concerns and needs raised during the village consultations were related to: protective fencing from wild animals, access pathways and bridges over the drains and nullahs, check dams and ponds for irrigation, plantations for stabilizing mountain slopes and preventing landslides, preventive measures for forest fires, more planting of medicinal fruit and fodder rich plants, development of pastures for providing fodder to livestock, opportunities for local employment in project activities, village camps on horticulture and veterinary services as well as on forest rights.

HPFD has also conducted extensive consultations with tribal communities as part of preparation for the Forests for Prosperity Project (FPP), which has also informed the preparation of this TDF.

## 5. Tribal Development Framework: Rationale, Objectives and Principles

Given the potential for positive and negative impacts on tribal groups, the World Bank's Environment and Social Standard ESS7 on Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities is applicable. The Indigenous Peoples Planning Framework (IPPF) is required, as the Gram Panchayat resource management plans (GP RMPs) will be prepared during project implementation, and the exact scope, size and location of the specific interventions and investments, as well as the socioeconomic profile of the GPs will be known at that stage.

The main objective of the IPPF/ TDF is to establish the requirements of ESS7, organizational arrangements, and design criteria that is to be applied to the GPRMPs that would be prepared during project implementation where tribal groups may be present in, or have collective attachment to, the project area. Following finalization of the GPRMPs, and their individual interventions and investments, area - specific tribal development plans (TDPs), proportionate to the potential risks and impacts, will be prepared and implemented. The TDF provides guidance and establishes requirements for screening, consultations and preparation of TDPs.

The objective of this Tribal Development Framework is to ensure that the proposed project investments are planned and implemented in socially and culturally meaningful and respectful ways, with free, prior and informed process of consultation so that their meaningful participation in preparation, planning and implementation is assured, and tribal communities derive full benefits of the project investments in a culturally appropriate and equitable manner. The TDF also provides guidance on avoiding or minimizing and/or mitigating any potential adverse impacts on tribal households and their livelihoods. The TDF also establishes appropriate strategies for information sharing, communication and capacity building of tribal stakeholders at all stages of the project and proposes additional interventions/ investments that may be required to enhance project benefits and their outreach/ access to the tribal communities.

The TDF will cover all activities under the project and would focus on creating an 'enabling environment' through intensive and extensive awareness creation among community members, mandating their participation in planning, management and operations, ensuring equity in all project interventions and equities. The objectives of TDF are to:

- avoid or minimize any kind of adverse impact on the tribal community and to suggest appropriate mitigation measures;
- ensure that the project engages in free, prior and informed consultation with tribal people in the entire process of planning, implementation and monitoring of project;
- identify the views of tribal people regarding the proposed project and ascertain broad community support for the project;
- ensure that project benefits are accessible to the tribal communities living in the project area;

## **6. Framework for Meaningful Consultations, and Free, Prior and Informed Consent (FPIC), when necessary**

ESS7 requires the HPFD to obtain Free, Prior and Informed Consent (FPIC) for any project interventions that are likely to cause:

- a) adverse impacts on land and natural resources subject to traditional ownership or under customary use or occupation;
- b) cause physical relocation of tribal communities from their land and natural resources subject to traditional ownership or under customary use or occupation; or
- c) significant impacts on the cultural, spiritual, natural and or religious heritage of the tribal communities;

Given that all project interventions and investments will be identified and prioritized by the Communities, included in the GP-RMPs, and then endorsed by the GP, the likelihood of any externally imposed activities and interventions are very low. Moreover, interventions causing physical relocation, externally imposed restrictions on use and access to land and natural resources, and significant impacts on cultural heritage have been put in the negative list.

The PMU will develop GP-RMPs through a participatory process led jointly by the HPFD, Gram Panchayats and community user groups and which will ensure the active inclusion of tribal communities, women farmers and leaders and other disadvantaged groups. Agriculture extension officers and social extension officers will undergo training to effectively understand and adapt the specific needs of women cultivators and tribal communities in GP-RMPs. As a part of the participatory rural appraisal (PRA) exercise, the preparation of GP-RMPs will take active steps to include interventions suggested by women’s federations and community-based organizations with active participation from women.

The process for preparing the GP-RMP Given that all project interventions and investments will be identified and prioritized by the Communities, included in their GP-RMP, and then endorsed by the GP. Tribal communities will be involved in the GP RMP planning and will be actively engaged in the investment planning, implementation and monitoring process.

A Stakeholder Engagement Plan (SEP) has been prepared with the objectives of i) systematic approach to stakeholder engagement and information disclosure; ii) maintenance of positive relationships with them; iii) monitoring of stakeholder interests and feedback. The SEP includes a grievance redress mechanism, drawing on systems established under the previous project as well as the existing government systems. Local level project implementation units will be supported to effectively engage with primary stakeholders throughout project implementation. The Stakeholder Engagement Plan (SEP) will ensure that the tribal groups are able to engage with the project in socially and culturally meaningful way/language on queries, information disclosure, and grievances. Other project-related information will be shared with the primary stakeholders in locally understood languages where necessary. All ESS plans and documents will be disclosed locally. ESMF and all project interventions specific safeguard documents will be disclosed in country as well as on Bank’s website in English and local language.

<b>Implementation Stages</b>	<b>Framework for Social Assessment, Meaningful Consultations and Stakeholder Engagement in Tribal Area</b>
	<b>Steps Involved</b>
<b>Pre - Implementation Capacity Building</b>	<ul style="list-style-type: none"> <li>▪ Development of culturally appropriate IEC materials for dissemination in the project areas with ST population;</li> <li>▪ Capacity building of PMU, DPO and APO staff on ESF, ESS, ESMP, TDF and Gender;</li> <li>▪ Identification of tribal clusters within project GPs for focused implementation of TDF and preparation of TDPs;</li> </ul>
<b>Pre-planning Community Orientation and Information Dissemination</b>	<ul style="list-style-type: none"> <li>▪ Orientation of tribal communities on project objectives, interventions and implementation processes through use of culturally appropriate IEC materials;</li> <li>▪ Disclosure of TDF and project information</li> <li>▪ Mobilising tribal households for proposed interventions through local tribal language speaking Facilitators</li> <li>▪ Screening for presence of tribal communities in project villages;</li> </ul>
<b>Social Assessment and Consultations during GP RMP Preparation</b>	<ul style="list-style-type: none"> <li>▪ Preparation of socioeconomic baseline of GPRMP, including profiling of tribal communities in GPs;</li> <li>▪ Participatory Rural Appraisal Exercises and Consultations with tribal communities, community groups and leaders in local language, including women.</li> </ul>
<b>Consultations and participation during ESF Screening and ESMP Implementation</b>	<ul style="list-style-type: none"> <li>▪ All GPRMPs will be subject to ESF screening, based on participation of the project communities including ST HH;</li> <li>▪ The ESF screening checklist will profile the positive and potential adverse impacts on STs and other vulnerable groups.</li> <li>▪ Suitable mitigation plans will be prepared and implemented by the communities with support from the project.</li> <li>▪ Hold regular, periodic consultations with affected and benefitted tribal communities during planning and implementation stage to seek broad community support and participation.</li> </ul>
<b>Inclusion, Representation and Participation during GP-RMP Implementation</b>	<ul style="list-style-type: none"> <li>▪ Ensure adequate representation of tribal households in project supported beneficiary groups related with watersheds, forestry, irrigation, NTFFP, microcredit, livestock and agriculture;</li> <li>▪ Inclusion of Tribal households among direct project beneficiaries of individual assets, common assets and livelihood support services related with irrigation, pastures, agriculture, horticultural and veterinary activities, value addition &amp; enterprise development</li> <li>▪ Inclusion of Tribal Households in any training, exposure visits, consultations, awareness programs, etc.</li> <li>▪ Regular consultations meetings and stakeholder engagement events within tribal clusters;</li> <li>▪ Regular, periodic consultations with affected and benefitted tribal communities during planning and implementation stage to ensure broad community support and participation and citizen’s satisfaction.</li> </ul>
Targeted Engagement with Transhumant nomadic tribes	<ul style="list-style-type: none"> <li>▪ The livestock interventions will be provided to targeted project benefits to the transhumant nomadic tribes that are traditionally dependent on grazing and common pastures.</li> <li>▪ About 10% of the budget of interventions will be spent on ST households.</li> </ul>

<b>Convergence with other relevant government schemes during GP-RMP implementation</b>	<ul style="list-style-type: none"> <li>▪ Identify schemes that promote social and economic empowerment of tribal communities with which project activities can be converged and promote them in project villages through camps.</li> <li>▪ Hold consultations with other departments and facilitate convergence through support from the project.</li> </ul>
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## 7. Plan for Preparing area specific Tribal Development Plans (TDPs)

Following this TDF, the Project will prepare area specific tribal development plans (TDPs), which will include targeted social assessment, meaningful consultations, as well as specific measures to ensure culturally appropriate social and economic benefits, social mitigation plans when needed, and accessible grievance redressal mechanisms. Depending on the presence of tribal people and their socioeconomic vulnerability and cultural distinctiveness the, TDPs will be prepared at district or sub district levels. The TDPs will follow the outline presented below

- a) A summary of Targeted Social Assessment, including the applicable legal and institutional framework and
- b) baseline socioeconomic data that profiles occupations, land-holdings, agricultural and horticultural operations, animal husbandry, household incomes, existing customary usufruct rights over forest resources, participation in project operations as well as community institutions to assess impact
- c) A summary of the results of the meaningful consultation;
- d) Specific Measures for ensuring culturally appropriate social and economic benefits for tribal communities;
- e) Specific Measures to avoid, minimize, mitigate, or compensate for any potential adverse impacts identified.
- f) Details of cost estimates, financing plan, schedule, and implementation arrangements;
- g) Accessible grievance redressal procedures
- h) Project Monitoring and Reporting Mechanisms
- i) Disclosure arrangements

## 8. Implementation Arrangements

The TDP implementation responsibility will be in sync with the overall implementation strategy of the project, with the SMS (Social) at the PMU being responsible for its implementation under the overall guidance provided by the Chief Project Director (CPD) and Executive Director, PMU. The SMS (Social) will also be responsible for coordinating with other line departments, CSOs and other institutional stakeholders for seeking convergence and necessary support from them, provide requisite support from the state level to the External Consultant-TDF for organizing community consultations, data collection and provide oversight from the DPOs on the process of preparation and quality of the TDF. The SMS (Social) will be guided by the Executive and will report to the Executive Director directly. The role and responsibilities of the SMS (Social) include;

1. Support the implementing entities in preparation and finalization of tribal plans for their greater inclusion.

2. Over all planning, designing, guiding, implementing and coordinating institutional development and capacity building strategies proposed for tribals and institutions existing in scheduled areas.
3. Identify resource agencies, partners for the project for capacity building,;
4. Ensure strengthening of community-based institutions, and women; develop a plan for their effective governance and monitoring with special focus in scheduled areas;
5. Identifying stakeholders and ensuring their participation;
6. Monitoring implementation of the framework by different implementing entities as per TDF;
7. Designing the community manual and guidelines for the support organization and developing training modules / manuals / IEC materials;
8. Monitoring the activities of the unit;
9. Ensuring timely implementation of capacity building measures, taking in to account specific needs of the tribals.

The SMS (Social) will be the responsible person to guide the overall process related to tribal inclusion and their greater participation in the development process. The DPOs and APOs will execute and monitor the TDF actions in consultation with the SMS (Social). The APOs will be associated in the screening process of such activities that require greater involvement of tribals and/or need special focus on tribal involvement. She/he will monitor the processes followed in execution of the planned activities and realization of the tribal inclusion parameters.

In the field, the DPOs and SEOs deployed at the field level (approx. 38) will be responsible for mobilizing the community for organizing consultations, creating awareness about the project and likely interventions, mobilizing tribal communities on proposed project activities, for understanding and documenting the community needs /priorities, and supporting preparation and implementation of the TDPs.

In additional, an external consultant will be hired for preparation of the tribal development plans with support from the APOs and the field offices located in the project area. The consultant support screening of tribal communities residing in different locations, holding consultations with tribal communities/ households in the project areas- including those with transhumant, developing awareness generation strategy, dissemination material and organizing awareness generation programs, data collection for creation of the socio-economic baseline with support from the field staff, training of project staff, including the tribal facilitators.

## 9. Grievance Redressal Mechanism

Institutional Structure. The Project will establish a Grievance Redress Mechanism (GRM) with the aim to respond to queries or clarifications or complaints about the project and address complaints/concerns and grievances of the stakeholders. The GRM will focus on corrective actions that can be implemented quickly and at a relatively low cost to resolve identified implementation concerns, GRM will also serve as a channel for early warning, helping to target supervision to where it is most needed and identify systemic issues.

The institutional arrangement for the GRM will be established as following:

- d) Project Grievance Officer. The Executive Director of the HPFD will be the ex-officio, senior most official to act as the Grievance Officer for the whole project. The ED will hold quarterly reviews of the functioning of the GRM.
- e) State level Grievance Officer. Social Expert.



- f) District level Grievance Officer. The District Project Officer (DPO) will be the nodal Grievance Officer at the District Level responsible for receiving, tracking and resolving grievances from the stakeholders
- g) Status of Grievances received and resolved will be track through the project MIS as well as monthly progress reports from the Districts and Blocks.
- h) HPFD will be issuing an office order and necessary notifications to establish and operationalize the GRM for the project.

Grievance Channels. Project beneficiaries and stakeholders will be able to submit their grievances, feedback and inquiries to the Project through multiple channels summarized below, that will be customized appropriately for tribal communities.

- e) State Government Portal. The existing mechanism of State Government portal for citizen’s grievances and enquires will also cover the Project. HPFD receives regular inputs from this portal on grievances that are to be addressed by the HPFD.
- f) Project specific Portal. Project will maintain a portal with dedicated mechanisms for receiving stakeholder grievances. All grievances, feedback and queries received through the project portal will be collated and compiled by the State Social Expert and included in the progress report. The portal will also provide relevant information on the multiple channels that can be used for submitting grievances to the project.
- g) Grievance Registers. Grievance Registers will be maintained at District/Block levels to record, track and report on the inflow of stakeholder grievances, enquiries and feedback. The Grievance Registers will help with monitoring and evaluation of the functioning of GRMS.
- h) Information on GRM will be disseminated among the tribal communities through local facilitators and IEC material in local languages.

Grievance Process. All grievances, enquiries and feedback received through the multiple channels will be tracked through a grievance log that would be maintained through the MIS. Grievances will be directed to the competent nodal grievance officer at the state, district, and block levels for resolution, with recommended timelines. The concerned Grievance Officer will be responding to the grievance/query through phone calls, meetings and letters, in order to resolve the issues. If needed site visits will be undertaken to appraise the exact nature of the stakeholder concerns. The Complainant will be made part of the grievance resolution process and kept updated of the resolution process through phone calls and formal letters. Information material on GRM will also inform the stakeholders about grievance escalation hierarchy that would help the complainant to escalate any unresolved issues to higher level officers, as well as the existing state level GRM channels of government portal and grievance committee chaired by the district collectors. The grievance redress process will be a continuous, transparent and participatory process that would be an integral part of the project’s accountability and governance agenda.

GRM Monitoring and Reporting. The functioning of the GRM will be monitored by the Social Expert in the SPMU and the ED. Status and function of the GRM will be documented and shared by the Social Expert in the SPMU through periodic reports and review meetings. GRMs will also be tracked through the project MIS. Regular GRM Review Meetings will held chaired by the ED and convened by the Social Expert of the SPMU. The Social Expert will be responsible for presenting status of all matters/ grievances received during the last quarter/month, and the action taken to resolve them. The GRM mechanism will be notified to the public and stakeholders within the 1st 6 months of project effectiveness. The project website will be posting the status of the GRM status periodically on the website of the project.

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

## 10. Monitoring and Evaluation

The overall M&E framework of the project will be adhered to and would be applicable for the M&E of the inclusion and development of tribals in project activities. However, care will be taken to integrate the inclusion indicators in the overall monitoring and evaluation framework of the project. Key indicators to be taken up that are relevant to ensure inclusion of tribal in the overall project are like;

1. Coverage of tribal households in different activities implemented under the project
2. Benefits rendered to and accessed by the tribal households
3. Overall growth in production and productivity of tribal farmers
4. land of tribal households covered under project
5. Access to market and benefits of forward linkages
6. Value addition benefits availed by tribal households / communities
7. Farm technology/ Animal husbandry practices adoption
8. Number of tribal families selected under capacity building activities
9. Number of tribal family members having job card engaged in civil constructions;
10. Association of tribal families/ women members in processing and value addition; etc.

At the PMU level, the SMS (Social) will be looking after the overall monitoring and evaluation of the project. The concurrent internal environmental and social monitoring will be done as part of the regular monitoring by the PMU and DPO and APO level implementing agencies.

However, project will appoint Independent Environmental and Social Monitoring and Audit Consultants to do the half-yearly environmental and social monitoring and audit of sampled project interventions for safeguards compliance. This will start from the 3<sup>rd</sup> year of project implementation till completion. PMU will prepare a report of the environmental and social safeguards status in the project districts including data and analysis of relevant parameters.

- Monitoring would be consistent with the overall M&E proposed under Component 4 on Project Management
- The overall responsibility for monitoring the implementation would lie with the PMU at the State Level
- Oversight of its implementation will also be done through regular field visits by the SMS (Social) and DPOs and APOs.
- Progress will be periodically tracked against the baseline data collected during preparation of the TDP

- Constraints and challenges identified during TDP implementation will be escalated to Executive Director, PMU and Chief Project Director, PMU for modifications (if found necessary) in the project implementation strategy.

The SMS (Social), will be reporting directly to the Executive Director at the PMU level. The PMU will prepare periodic reports, preferably quarterly report, on progress of environmental and social parameters for onward sharing with the World Bank. The implementing institutions/ agencies associated in the implementation process will also prepare their reports, covering tribal inclusion and benefit aspects as per TDF, and submit to the SMS (Social).

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## Annex 1: Scheduled Tribes of Himachal Pradesh

### 1. Introduction

Out of total 55673 square kilometer geographical area of H.P. about 23,655 square kilometer area falls under Scheduled V, which constitutes 42.49 percent of the total area of the state. The total population living in the Scheduled Area is 173,661 of which 123,585 are tribals which constitute nearly 71.16 percent of the total population living in this area. Out of total ST population in the state 68.51 percent resides outside the Scheduled Areas while the rest is dispersed in other districts and regions of the state<sup>1</sup>.

As per the Socio-Economic Caste Census of 2011, tribals of HP are better off among Scheduled Tribe (ST) households in the rural areas of India. Nearly 21.37 percent ST rural households have an income of more than Rs 10,000 per month and as many as 42.76 percent tribal households own irrigated agricultural land. Among salaried government jobs too, HP tribals are ahead of other states with 23.72 percent such households with at least one member in a government job.

However, this does not represent the complete picture of the scheduled tribes in Himachal. The state's tribal areas have a lower literacy rate at 73.64 percent against the state average of 82.80 percent<sup>2</sup>. Owing to their present in the remote and geographically challenging areas (Lahaul, Spiti, Kinnaur and Chamba districts) their access to health services is low, which reflects in the poor health infrastructure in tribal areas as well as low health attainments. The average landholding size in tribal areas is around 1.16 hectares but over the years the cropping intensity of these farms has fallen from 136 to 124 percent due to water scarcity and low availability of irrigation facilities.

The remoteness of tribal habitations, while creating barriers in mobility, also pose challenges in the provisioning of basic public services like - primary and secondary health services, school and higher education, banking services- apart from low access to established markets. The state statistical profile of tribal areas vis-à-vis Himachal Pradesh for the year 2014-15 is annexed to this report.

The official list of scheduled tribes in Himachal Pradesh includes a) Gaddis, b) Gujjars, c) Kinnara or Kinnauras, d) Lahaulas and e) Pangwalas apart from some other smaller tribes groups like Bhot/Bodh, Beda, Jad/Lamba/ Khampa, and Swangla. The Himachal tribes generally have their abode in the upper and middle level of the hills. It is believed that most of the tribal groups of Himachal migrated from plains and adjoining areas from time to time.

### 2. Gaddis

Of the various hill tribes of Himachal Pradesh, the Gaddi is the most dominant tribe. As compared to the other tribes the Gaddis are most populous. The language of Gaddis is Gadi. The major part of the life of a Gaddi is spent in rearing the sheep and goats which is their main profession, The financial condition of the Gaddis is better than that of their counterparts in other states (Socio-Economic Caste Census, 2011) but since a majority of them lead semi-

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<sup>1</sup> Source: Directory of Villages with ST concentration, Tribal Development Department, GoHP

<sup>2</sup> Annual Tribal Sub-Plan 2017-18, GoHP

nomadic, pastoral life practicing transhumance, their standard of living has not improved over time. Maintenance of large herds of sheep and goats and to provide fodder for their cattle is the major occupation of this tribe.

### **3. Gujjars**

The Gujjar tribe in Himachal Pradesh falls in Hindu community as well as in Muslim community. A majority of this tribe leads nomadic life and are also a transhumant community. However, some of them have also settled down at different locations and live in a joint family system. The main occupation of this tribe like the Gaddis, is rearing of cattle which is also their main source of livelihood.

### **4. Kinners or Kinnauras**

The Kinnara or Kinnaura tribe lives in the border district of Kinnaur. The main sources of the income of Kinnaura's are trade, horticulture and agriculture. The other professions of this tribe are settled animal husbandry, weaving, and work as silversmiths, blacksmiths and wood sculptors.

### **5. Lahulas**

The tribal inhabitants of Lahaul & Spiti district of Himachal Pradesh are known as Lahaulas. The main sources of the Lahuala's economy are agriculture, trade, horticulture, animal husbandry and various other crafts.

### **6. Pangwals**

The people of Pangwal tribe inhabit the snowbound areas of the Chamba district of Himachal Pradesh. The main sources of their economy are agriculture, animal husbandry and village crafts.

**Annexure 2: Baseline****1. ST Population in HP**

Scheduled Tribes population comprises of 6% of total population of the state. However, the ST population is quite dominant in Lahul & Spiti and Kinnaur – two rural districts of the state, where the ST population is 81% and 58% of the total population of the districts respectively. Among the rest of the districts, ST population in Chamba is 26% of the total district population. The following tables gives the population of Scheduled Tribes in the districts of Himachal Pradesh.

Table 9: District-wise Scheduled Tribe Population in Himachal Pradesh-2011 Census

DISTRICT	Total ('000)				ST Population								
					Rural			Urban			Total		
	HH	POP	M	F	POP	M	F	POP	M	F	POP	M	F
<b>Bilaspur</b>	80	382	193	189	3%	3%	3%	1%	1%	1%	3%	3%	3%
<b>Chamba</b>	102	519	261	258	28%	28%	28%	7%	7%	8%	26%	26%	26%
<b>Hamirpur</b>	106	455	217	238	1%	1%	1%	1%	1%	1%	1%	1%	1%
<b>Kangra</b>	339	1,510	751	759	6%	6%	6%	5%	5%	5%	6%	6%	6%
<b>Kinnaur</b>	20	84	46	38	58%	51%	66%	-	-	-	58%	51%	66%
<b>Kullu</b>	95	438	225	212	3%	3%	3%	11%	10%	11%	4%	4%	4%
<b>Lahul &amp; Spiti</b>	7	32	16	15	81%	77%	87%	-	-	-	81%	77%	87%
<b>Mandi</b>	219	1000	498	501	1%	1%	1%	1%	1%	1%	1%	1%	1%
<b>Shimla</b>	184	814	425	388	1%	1%	1%	2%	2%	2%	1%	1%	1%
<b>Sirmaur</b>	98	530	276	253	2%	2%	2%	1%	1%	1%	2%	2%	2%
<b>Solan</b>	122	580	309	271	5%	5%	5%	2%	1%	2%	4%	4%	5%
<b>Una</b>	110	521	264	257	2%	2%	2%	0.3%	0.3%	0.3%	2%	2%	2%
<b>HIMACHAL PRADESH ('000)</b>	<b>1,483</b>	<b>6,864</b>	<b>3,481</b>	<b>3,382</b>	<b>374.4</b>	<b>186.9</b>	<b>187.5</b>	<b>17.7</b>	<b>9.2</b>	<b>8.5</b>	<b>392.1</b>	<b>196.1</b>	<b>196.0</b>
<b>% of Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>6%</b>	<b>6%</b>	<b>6%</b>	<b>3%</b>	<b>2%</b>	<b>3%</b>	<b>6%</b>	<b>6%</b>	<b>6%</b>

Source: Census of India-2011.

**2. Education**

In 2011, the overall literacy rate was about 82% with male literacy rate of 89% and female literacy rate 75%. Literacy percentage among Scheduled Tribes has increased from 65.5% in 2001 to 73.64% in 2011- the male literacy rate was 83.17% and females literacy rate stood at 64.20% in 2011, which is still well below the state average and far less than that of their male counterparts.

Table 10: Literacy Percentage among ST Population in HP

District	2011 Census		
	Male	Female	Total
1.	5.	6.	7.
<b>Bilaspur</b>	84.6	66.0	75.5
<b>Chamba</b>	80.3	58.0	69.1
<b>Hamirpur</b>	92.6	78.2	85.4
<b>Kangra</b>	82.8	65.7	74.1
<b>Kinnaur</b>	89.2	71.5	80.0
<b>Kullu</b>	90.2	76.0	83.2

District	2011 Census		
	Male	Female	Total
Lahul & Spiti	86.9	67.2	76.9
Mandi	83.8	68.2	75.9
Shimla	79.8	70.8	75.5
Sirmaur	69.7	48.7	59.7
Solan	82.5	63.0	73.1
Una	87.8	71.8	80.0
HP	83.2	64.2	73.6

Source: Census of India 2001& 2011.

### 3. Infrastructure - Roads

As shared in below table, poor road connectivity in predominantly tribal areas, primarily owing to difficult and challenging topography creates geographical isolation, restricts access to basic public goods and services, markets and creates high dependence on natural resources for their livelihood.

Table 11: District-wise Road Length

District	2014-15	
	Metaled, Km	Un- Metaled, Km
Bilaspur	1346	336
Chamba	1288	1050
Hamirpur	1636	237
Kangra	5149	733
Kinnaur	484	316
Kullu	959	866
Lahul & Spiti	593	645
Mandi	2763	2466
Shimla	2625	2695
Sirmaur	1380	1594
Solan	1734	1138
Una	1735	147
HP	21692	12223

Note:-Road Length includes National Highways and Border roads. Source: Public Works Department, H.P

### **Annex 3: Legal and Institutional Framework**

Out of total 55673 square kilometer geographical area of H.P. about 23,655 square kilometer area falls under Scheduled V, which constitutes 42.49 percent of the total area of the state. The total population living in the Scheduled Area is 173,661 of which 123,585 are tribals which constitute nearly 71.16 percent of the total population living in this area. Out of total ST population in the state 68.51 percent resides outside the Scheduled Areas while the rest is dispersed in other districts and regions of the state<sup>3</sup>.

As per the Socio-Economic Caste Census of 2011, tribals of HP are better off among Scheduled Tribe (ST) households in the rural areas of India. Nearly 21.37 percent ST rural households have an income of more than Rs 10,000 per month and as many as 42.76 percent tribal households own irrigated agricultural land. Among salaried government jobs too, HP tribals are ahead of other states with 23.72 percent such households with at least one member in a government job.

However, this does not represent the complete picture of the scheduled tribes in Himachal. The state's tribal areas have a lower literacy rate at 73.64 percent against the state average of 82.80 percent<sup>4</sup>. Owing to their present in the remote and geographically challenging areas (Lahaul, Spiti, Kinnaur and Chamba districts) their access to health services is low, which reflects in the poor health infrastructure in tribal areas as well as low health attainments. The average landholding size in tribal areas is around 1.16 hectares but over the years the cropping intensity of these farms has fallen from 136 to 124 percent due to water scarcity and low availability of irrigation facilities.

The remoteness of tribal habitations, while creating barriers in mobility, also pose challenges in the provisioning of basic public services like - primary and secondary health services, school and higher education, banking services- apart from low access to established markets.

#### **1. Constitutional Safeguards**

The Constitution of India has made the provisions for Scheduled Tribes in the country considering the challenges faced by them and lack of access to development facilities in the geographic regions where they reside. The main safeguards include promotion of educational and economic interests and their protection from injustices and all forms of exploitation. The constitution also safeguards the indigenous communities from the general rights of all Indian citizens to move freely, settle anywhere and acquire property by posing certain restrictions on it, largely to conserve the customs and traditions of these communities. It also permits the States to make reservation in public services in case of inadequate representation and requiring them to consider their claims in appointments to public services.

The constitution provides setting up of separate departments in the States and National Commission at the Centre to promote tribal welfare and safeguard their interests (Art. 224, fifth and Sixth Schedules) and grant-in-aid are provided to the States to meet the cost of such

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<sup>3</sup> Source: Directory of Villages with ST concentration, Tribal Development Department, GoHP

<sup>4</sup> Annual Tribal Sub-Plan 2017-18, GoHP



development schemes to be undertaken for prompting the welfare of Schedule Tribes or raising the level of development in the Schedule Areas (Art. 275 (1)). The constitutional safeguards related to tribals are:

- i. Article 14, related to equal rights and opportunities;
- ii. Article 15, prohibits discrimination on grounds of sex, religion, race, caste etc.;
- iii. Article 15 (4), enjoins upon the state to make special provisions for the STs;
- iv. Article 16 (3), empowers states to make special provisions for reservation in appointments or posts in favour of STs;
- v. Article 46, enjoins upon states to promote with special care educational and economic interests of STs, protection from social injustice and exploitation;
- vi. Article 275 (I), grant-in-aid for promoting the welfare of STs;
- vii. Article 330, 332, 335, related to the reservation of seats for STs in Lok Sabha and State Assemblies; and
- viii. Article 339, 340, related to Control of the Union over the Welfare of STs and powers to investigations thereof. One of the important Acts which ensures Social Safeguards of the STs is "Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Act, 1989.

These provisions create safeguards for the protection of tribal communities while creating an environment for affirmative action to support the mainstreaming of tribal communities and for bringing them at par with the other social communities. Through these provisions the constitution also creates a separate institutional set-up and parallel budgetary arrangements (through a tribal sub-plan) for ensuring availability of adequate finances (in proportion to the tribal population) and dedicated cadres for implementing certain programs for tribal development and providing oversight/ monitoring of schemes and programs implemented by other departments.

## **2. The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006**

This Act recognizes and vests forest rights and occupation on forest land in forest dwellings to scheduled tribes and other traditional forest dwellers who have been residing in such forests for generations but whose rights could not be recorded. The Act provides for a framework for recording the forest rights so vested and the nature of evidence required for such recognition and vesting in respect of forest land.

The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest s) Act, 2006 also known as the Forest Rights Act recognizes the 'rights' of the forest dwellers (mainly scheduled tribes) to access and use the forest and its resources by providing legal sanctity to that rights and also vests these forest dependent communities with the responsibility to sustainably use, conserve and manage these forest resources and contribute towards strengthening the conservation of these vital natural resources. . The Act recognizes the following rights of the ST and Other Traditional Forest Dwellers (OTFDs):

- i. Right to hold and live on the forest land under individual or collective occupation for habitation or for self-cultivation for livelihood by ST or OTFD member or members;
- ii. Community rights over forest resources
- iii. Right of ownership, access to collect, use, and dispose of minor forest produce which has been traditionally collected within or outside village boundaries;

- iv. Other community rights of uses or entitlements such as fish and other products of water bodies, grazing (both settled or transhumant) and traditional seasonal resource access of nomadic or pastoralist communities;
- v. Rights, including community tenures of habitat and habitation for primitive tribal groups agricultural communities;
- vi. Right of access to biodiversity and community right to intellectual property and traditional knowledge related to biodiversity and cultural diversity;
- vii. Any other traditional right customarily enjoyed by the forest dwelling Scheduled Tribes or other traditional forest dwellers

Forest Rights Act, 2006 (FRA) gives the right of ownership, access to collect; use and dispose of minor forest produce which has been traditionally collected within or outside village boundaries. The Act also recognizes the development rights of communities residing within the forests or on forest fringe by providing smooth, encumbrance free access to development facilities in their habitations.

Based on the provisions of the Act, so far 17,503 Forest Rights Committees, 76 Sub Division Level Committees and 19 District Level Committees have been constituted in the state to manage the implementation of the Act. As of July 2017, titles for 7 Community rights and 53 (OTFD) Individual rights over land measuring 1890.11 Hectare and 0.4289 Hectare respectively have been recognized and vested. While the matter was debated for a long time, the state has decided that since community rights in Himachal Pradesh have already been defined in the Record of Rights they will be settled in accordance with the existing 'Record of Rights<sup>5</sup>.

The social impact screening checklist for the project will ensure that the project will not be implemented in areas where community forest rights claims have been filed but not settled.

### **3. The Scheduled Castes and Scheduled Tribes: (Prevention of Atrocities) Rules, 1995**

This Act provides for specific provisions to prevent atrocities on the Scheduled Castes and the Scheduled Tribes and suggests State Governments to frame rules for the same. These include identification of areas where atrocity may take place or there is an apprehension of re-occurrence of an offence under the Act. The State Government is required to set up a "Scheduled Castes and the Scheduled Tribes Protection Cell" at the state headquarters headed by the Director of Police, Inspector-General of Police. This Cell is responsible for:

- conducting survey of the identified area;
- maintaining public order and tranquility in the identified area;
- recommending deployment of special police or establishment of special police post in the identified area; and
- Restoring the feeling of security amongst the members of the Scheduled Castes and the Scheduled Tribes.

The protective provisions safeguard tribal people from social injustices and all forms of exploitation, while the developmental provisions promote special care for the educational and economic interests of the weaker sections like the STs and SCs. Further, administrative provisions under the Fifth and Sixth Schedules give special powers to the state for the

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<sup>5</sup> Minutes of 12th State Level Monitoring Committee (SLMC) Meeting 25 July 2017

protection and governance of tribal areas and the reservation provisions ensure due representation in legislative bodies and government jobs.

#### **4. Protective and Anti-exploitative Measures**

##### **Land Alienation**

Provision under The Himachal Pradesh Transfer of Land (Regulation) Act, 1968 states that no person belonging to Scheduled Tribe shall transfer his interest in any land including any constructed premises by way of sale, mortgage, lease, gift or otherwise to any person not belonging to such tribes except with the previous permission in writing of the State Govt. This has been done to prevent land alienation of vulnerable tribal communities through exploitative transactions with money lenders and other vested interests.

#### **5. Money lending, debt relief and Bonded Labour**

Himachal Pradesh Registration of Money Lender Act, 1976 regulates money lending in the State which prescribes registration of money lenders and procuring of licenses for doing money lending business.

Himachal Pradesh Relief of Agricultural Indebtedness Act, 1976 also provides relief from indebtedness to certain farmers, landless agricultural labourers and rural Artisans of the State. The Act has also put to an end Bonded Labour and any custom/ traditions similar in arrangement.

#### **6. Agriculture and Forest Sector**

Himachal Pradesh Tenancy and Land Reform Act, 1972 has put an end to all forms of tenancy except under certain legal disabilities and the law provides Suo-moto conferment of propriety rights on such tenants and they are not required to apply for the same. The system of share-cropping is also non-existent. There are no forest villages in the State and minor forest produce exploitation is nationalized. The tribals have recorded rights to collect minor forest produce for their own consumption or sale thereof. Co-operative marketing societies also undertake sale of such forest produce.

#### **7. Excise Policy**

The local population is allowed to manufacture country fermented liquor for home consumption and use on special occasions or to distil liquor from fruits and grains for home consumption but only after a license to this effect is obtained beforehand. This facility is available in all tribal areas except Bharmour.

#### **8. Provision of Scheduled Areas under Fifth Schedule of Constitution**

In order to protect the interests of the Scheduled tribes, the provision of "Fifth Schedule" is enshrined in the Constitution under article 244 (2) which identifies certain areas with predominant tribal population that require special protection and measures for conserving their population and culture and provides an administrative arrangement to implement development programs in those areas. The criteria for declaring any area as a "Scheduled Area" under the Fifth Schedule are:

- Preponderance of tribal population,
- Compactness and reasonable size of the area,
- Available administrative entity such as district, block or taluk, and
- Economic backwardness of the area as compared to neighboring areas.

## 9. Scheduled Areas of HP

The details of notified FSA areas in the State of Himachal Pradesh are as under:

- Schedule V District (Fully &Partly covered) – 3
  - Schedule V District (Fully covered) – 2  
(Lahaul & Spiti, and Kinnaur)
  - Schedule V District (Partly covered) – 1  
(Chamba)
- Blocks in Schedule V area: 7
- No of Gram Panchayats in Schedule V area – 151
- No of Revenue Villages in Schedule V area – 806

## 10. Fifth Schedule Areas

The Kinnaur and Lahaul-Spiti districts, in their entirety, and Pangti and Bharmour (now tehsil Bharmour and sub-tehsil Holi) Sub-Divisions of Chamba district constitute the Scheduled Areas in the State, fulfilling the minimum criterion of 50% ST population concentration in a CD Block.

These are situated in the north and north-east part of the state forming a contiguous belt in the far hinterland behind High Mountain passes with average an altitude of 3281 metre above the mean sea-level. The district of Kinnaur Lahaul-Spiti , Pangti Sub-Division of Chamba district and the Bharmour sub- division of this district form the schedule V area of the state and are characterized by snow glaciers, high altitudes and highly rugged terrain, criss-crossed by fast flowing rivers and their tributaries The most distinguishing mark of the tribal areas in the State is that they are very vast in area but with low population density with the result that per unit cost of infrastructure development is very exorbitant. These areas were declared as Schedule Areas by the President of India as per the Schedule Area (Himachal Pradesh) Order, 1975 (CO 102) and Integrated Tribal Development Projects (ITDFs) were created to manage them. These five ITDFs are Kinnaur, Lahaul, Spiti, Pangti and Bharmour. Except Kinnaur which is spread over 3 Community Development Blocks, rest of the ITDFs comprise one block each.

## 11. Pockets of Tribal Concentration

Tribal development envisaged a two- pronged strategy to cover both the concentrated and dispersed tribals. The areas of tribal concentration with 50% or above tribal population were taken up through the setting up of ITDFs. For dispersed tribal groups, Modified Area Development Approach (MADA) was devised to cover such pockets of tribal concentration which had a population threshold of 10,000 in contiguous areas, of which 50 percent or more were tribals. In Himachal Pradesh, two such pockets Chamba and Bhatiyat Blocks were identified in Chamba district covering an area of 881.47 Sq.Km. and population of 29455 (7.51%) of Scheduled Tribes as per 2011 census. Coupled with tribal areas, 100% of ST population was covered under Sub-Plan treatment.

## 12. Dispersed Tribes in Non-Scheduled Areas

To ensure 100% coverage of ST population under its treatment, Tribal Affairs Ministry came out with the SCA supplementation for such dispersed tribes in 1986-87 but because of late receipt of guidelines, the actual adoption was deferred to 1987-88 and in this way, 100% ST population in the State come under sub-plan ambit.

### **13. Purpose and Advantage of Scheduled Areas**

Scheduled Areas have certain distinct provisions meant to protect and benefit tribal people in a State:

- The Governor of a State which has Scheduled Areas is empowered to make regulations in respect of
  - prohibit or restrict transfer of land from tribals;
  - regulate the business of money lending to the members of STs.
- In making any such regulation, the Governor may repeal or amend any Act of Parliament or of the Legislature of the State, which is applicable to the area in question.
- The Governor may by public notification direct that any Act of Parliament or Legislature of the State shall not apply to a Scheduled Area or any part thereof in the State or shall apply to such area subject to such expectations and modifications as may be specified.
- Tribes Advisory Council [TAC] shall be established in States having Scheduled Areas. The TAC may also be established in any State having Scheduled Tribes but not Scheduled Areas on the direction of the President of India.

### **14. Modified Area Development Approach (MADA) Pockets and Clusters**

Since the 8th Five Year Plan (1992-97), the concept of TSP has been modified by extending the coverage to the entire ST population outside the scheduled areas but including those who live in contiguous areas. Three criteria are laid down for identification of tribal pockets under MADA approach. These include:

- A minimum population of 10,000
- 50% of ST population in the pockets
- Contiguity of villages in the pockets.

### **15. Devolution of power and system of local self-governance**

In 1992, the Government of India enacted the Constitution's 73rd and 74th Amendment Acts to strengthen democratic institutions at the grassroots level and empower the people for effective participation in local governance. Under the Act, a three tier PRI system has been introduced viz. Zilla Parishad at the district level, Panchayat Samiti at the Block level and Gram Sabha at the Gram Panchayat level.

### **16. HP Panchayat Raj Act, 1994**

The Act provides for the constitution of Panchayat Raj in the state of Himachal Pradesh in a 3-tier system for local governance. The State Panchayati Raj Act has vested Gram Panchayat, Panchayat Samitis and Zilla Parishads with rights to minor water bodies, minor forest produces and management of local markets. The Act also provides for representation of women and members of tribal communities in all the 3-tiers based on proportion of tribal population.

**Table 12: PRI Constitution**

Level	PRI Body	Constitution
District Level	Zilla Parishad	Head Zilla Parishad. Zilla Parishad Upadhyaksh, ZP Members
Block Level	Panchayat Samiti	Pramukh, Up-Pramukh Panchayat Samiti members
Village Level	Gram Panchayat	Pradhan, Up-Pradhan, Ward members

### 17. Panchayat Extension to Scheduled Areas (PESA) Act

Pursuant to the Constitution (73rd Amendment) Act, the State of Himachal Pradesh passed a Panchayati Raj Act in 1994 (HPPRA). Since provision of the PESA did not extend to the state, in 1997, in accordance with the PESA its provisions were through an amendment in the State Panchayati Raj Act to bring into effect PESA to the Scheduled Areas of H.P through “The H.P. Panchayati Raj (Second Amendment) Act, 1997”. The Act was promulgated to protect the customs, rights and livelihoods of tribal communities through people-centric governance, planning & implementation, and control over resources.

With the strength and support of PESA Act, 1996 the PRI bodies at the district and village level have been vested special functional powers and responsibilities to ensure effective participation of tribal people in their own development and to preserve and conserve their traditional rights over natural resources. The Act recognizes the customary institutions and practices of the indigenous communities and vests in the Gram Sabha (village assembly) the power to be consulted and sought consent for any development project proposed for the area, consultation before any land acquisition or resettlement, power to manage village markets, restrict operations of money lenders, own and manage minor forest produce and also prepare plans, at an appropriate level, for their development. A brief summary of powers given to PRIs under PESA Act is given below

**Table 13: Powers given to Gram Sabha under PESA Act**

Gram Sabha	Gram Panchayat	Block Panchayat	Zilla Parishad
<ul style="list-style-type: none"> <li>▪ Listing of development projects for execution through GP.</li> <li>▪ Identification and recommendation of beneficiaries under poverty alleviation programs.</li> <li>▪ Any proposal/ plan presented by the GP needs prior consultation and approval with the Gram Sabha.</li> <li>▪ Prior approval for collection of taxes. Wherever necessary asking for information from GP.</li> <li>▪ Intervene in conflict resolution through traditional and customary traditional methods if required.</li> <li>▪ Gram Sabha has power to safeguard the cultural identity, community resources and dispute</li> </ul>	<ul style="list-style-type: none"> <li>▪ Enforcement of prohibition of regulation or restriction of the sale and consumption of any intoxicant.</li> <li>▪ The ownership of Minor Forest Produce. Prevention of alienation of land and restoration of any unlawful land of a Scheduled Tribe.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The powers of control and supervision of activities of various organizations and individuals and their office bearers engaged in social work</li> <li>▪ Consulting the Gram Sabha wherever necessary.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Approval to obtain concession for raising minor minerals, lease and licenses for mining activities or auctioning of minor mineral products.</li> <li>▪ Prior approval of Zilla Parishad, for land acquisition or rehabilitation of affected people with or without</li> </ul>

Gram Sabha	Gram Panchayat	Block Panchayat	Zilla Parishad
<p>resolution per traditional customs and regulations.</p> <ul style="list-style-type: none"> <li>▪ Control and supervision of functions and powers of GP.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Control over the money lending to the Scheduled Tribe.</li> </ul>		<p>consultation with the Gram Sabha.</p> <ul style="list-style-type: none"> <li>▪ Planning and management of minor water bodies.</li> </ul>

## 18. The National Forest Policy 1988

The National Forest Policy 1988 of the Government of India envisages people's involvement in conservation, protection and management of forest. It emphasized that forest produce must go first to the people living in and around forests. Further, in June 1990 a Government resolution supported involvement of non-governmental organizations and the creation of village level institutions in forest management.

### State Strategy for Tribal Development

Coupled with tribal areas, 100% of ST population was covered under Sub-Plan treatment. For equitable flow of funds to the 5 ITDFs, the State has evolved an objective formula based on a weightage of 40% to population, 20% to area under Schedule V and 40% to relative economic backwardness of each ITDF. Based on this formula, the share of each ITDF is as under: -

Kinnaur	30%
Lahaul	18%
Spiti	16%
Pangi	17%
Bharmour	19%

## 19. Department of Tribal Development

The department works with the objective of providing special attention to the social and economic upliftment of Scheduled Tribes of the state. The mandate of the department includes<sup>6</sup>:

- All matters relating to planning generally e.g. assessment of resources, formulation of plans, laying down of targets and physical aspects and co-ordination in relation to matters affecting tribal areas and the members of Scheduled Tribes of the State.
- Periodical assessment and evaluation of Tribal Sub-Plan activities in relation to matters affecting tribal areas and members of Scheduled Tribes of the State.
- All policy matters including introduction of new schemes affecting tribal areas
- Tendering advice to other departments on proposals and in relation to all matters affecting Tribal areas and members of Scheduled tribe.
- Overall co-ordination and evaluation of all activities of other departments in relation to matters affecting tribal areas and Scheduled Tribes.
- Providing managerial support to the functioning of Tribal Advisory Council.

<sup>6</sup> Source: Tribal Development Department website:  
<http://admis.hp.nic.in/himachal/tribal/introduction.htm>

- Administration and management of all Integrated Tribal Development Projects- ITDFs in the state.

## 20. Relevant Schemes of Scheduled Tribes Development Department

The major function of the department is to promote and protect rights of tribal communities, implement programs for educational and economic development, prepare tribal sub- plan of the state, act as the channelizing agency of funds, coordinate and monitor use of funds by various line departments in tribal areas and implement works in the ITDFs.

**Table 14: Schemes implemented in the ITDFs**

Scheme/ Fund	Objective
Special Central Assistance to Tribal Sub- Plan	SCA to TSP is a 100 percent grant from GoI to be utilized for the economic development of ITDF, ITDA, MADA, Clusters and dispersed tribal populations. The objective is to invest in the human resource development of tribal communities to enhance their access to education and health; provide basic amenities in tribal areas; reduce poverty and unemployment by creation of productive assets and income generating opportunities; and to protect them against exploitation.
Grants in Aid under Article 275 (1)	Grants-in-aid under Article 275(1) are 100 percent annual grants from GoI to be utilised for socio economic development of ITDF, MADA, & Clusters. The objective is the same as that provided for SCA to TSP, but prioritises the use of funds in following areas a) Education - 40 - 50 percent, b) Health - 10 - 15 percent, c) Agriculture and allied sector 20 - 30 percent d) Other income generating schemes to augment Tribal economy 10-15 percent
Skill Development for Tribal Communities	The scheme uses Conservation cum Development Plan funds for livelihood improvement by promoting skill development in agriculture, horticulture, livestock, fisheries, non-farm enterprises, forestry, etc., creating employment/ self-employment opportunities (through establishment of micro-enterprises) and providing market linkages. Scheme covers modern as well as traditional skills.
Vocational Training in Tribal Areas (VTC)	The scheme is to upgrade the skills of tribal youth in various traditional / modern vocations depending upon their educational qualification, market trends and potential- to enable them to be gainfully employed. One-third seats are reserved for tribal girls.
Mechanism for Marketing of Minor Forest Produce (MFP) through Minimum Support Price (MSP) and Development of Value Chain for MFP	This centrally sponsored scheme provides social safety to MFP gatherers who are mostly Scheduled Tribes. The scheme seeks to ensure fair monetary returns for their collection, processing, storage, packaging, and transportation efforts and share revenue from the sale proceeds with them. The scheme also aims to work on medium- & long-term measures like sustainable collection, value addition, infrastructure development, knowledge expansion on MFP, development of market intelligence, strengthening the bargaining power of village institutions- Gram Sabha and Panchayats.



	The state has recently launched a scheme -Van Samridhhi Jan Samridhhi Yojana- anchored on this scheme to maximize economic returns for households (tribal as well as non-tribal) engaged in collection and sales of NTFPs and Medicinal and Aromatic Plants (MAPs) through formation and strengthening of local collectives- Community User Groups (CUGs).
Institutional Support for Development and Marketing of Tribal Products / Produce	To give comprehensive support on the entire range of production, product development, preservation of traditional heritage, support to both forest and agricultural produce and support is provided to institutions to carry these activities. This includes support for improvement of infrastructure, development of designs, dissemination of information about prices and procurement agencies, support to government agencies for sustainable marketing and for ensuring remunerative prices, hand holding Gram Panchayats and Gram Sabha through information dissemination and awareness generation
Tribal Cooperative Marketing Development Federation of India Limited (TRIFED)	TRIFED functions both as a service provider as well as market maker for tribal products, including MFPs. It also imparts training and capacity building support to ST Artisans and tribal MFP gatherers on sustainable harvest techniques, primary processing and marketing.

## 21. Scheduled Caste/Scheduled Tribe Development Corporation

The Corporation works for the economic empowerment of the tribal communities by identifying opportunities for self-employment and income generation for tribals, extending skill upgradation, institutional and marketing support for them to enter those vocations or improve them and most importantly provide concessional finance for viable income generation schemes through SCAs and other schemes.

**Table 15: Schemes implemented by SC/ST Development Corporation**

Scheme	Details
Term Loan scheme	Under this scheme term loan is provided for viable schemes costing up to Rs. 25 lakhs for up to 90% of the project cost for tribal entrepreneurs
Adivasi Mahila Sashaktikaran Yojana	This scheme for the economic development of Scheduled Tribe women offers loan up to 90% for scheme costing up to Rs 1 lakh at highly concessional interest rate
Micro Credit Scheme	This scheme exclusively for Self Help Groups is for meeting small loan requirement of ST members. Under the scheme, the Corporation provides loans up to Rs 50,000/- per member and Rs 5 lakh per SHG for meeting their micro- credit requirements.
Tribal Forest Dwellers Empowerment Scheme	The scheme is for generating awareness, providing training to beneficiaries, and concessional financial assistance, apart from assistance in developing market linkages to the Scheduled Tribes forest dwellers vested land rights under Forest Rights Act, 2006. Under the scheme, loan up to 90% for schemes costing up to Rs 1 lakh

	is provides at concessional interest rate to the right-holders.
Financial assistance for Skill and entrepreneurial development Programme	This assistance is provided as grant to create opportunities for Self-employment / employment, through skill and entrepreneurial development
Financial assistance for Marketing Support	The Corporation provides financial assistance as grant to meet the working capital requirements of agencies engaged in procurement and marketing of Minor Forest Produce (MFP) and other tribal products.

## 22. Forest Department and Programs for Tribal Development

The tribal people participate in raising plantations on forest land and have the right to collect fuel and fodder from the plantations so raised. The local communities, including tribal, have the right to extract NTFP and receive timber from the government owned forests. These forests have come under heavy pressure for meeting the demand of timber for the ever - increasing population.

People in these areas rear large herds of animal population for meeting their requirement of wool, meat and milch etc. These animals are grazed in the forests and on the government owned pasture lands. Some pastures and forests are also visited by the migratory grazers or transhumant.

## 23. Objectives of Forest Department aimed at Tribal Development

- To raise plantations of fuel, fodder and small timber species including sea buckthorn with involvement of people.
- To improve the existing pastures.
- To introduce economically important species.
- To prolong life of reservoirs of River Valley Projects by taking up soil conservation measures.
- To carry out survey of medicinal and aromatic herbs to conserve and develop them further.

Apart from this other activity of the forest department that directly as well as indirectly have an impact on the local communities, including the indigenous communities include the following:

- a. Improvement of forests, tree cover and compensatory afforestation and plantation through Participatory Forest Management.
- b. Sustainable management of natural resources and wildlife including man- animal interface/ conflict outside the protected area
- c. Reduction of silt load in catchments through Catchment Area Treatment Plans and Externally Aided Watershed Projects (Mid Himalayan and Swan projects).
- d. Preparation of forest working plans.
- e. Capacity building of community institutions created around forest management including JFMCs and VFDCs.
- f. Creating awareness about forests, forestry and bio - diversity.

- g. Forest Conservation and Development- implementing schemes for forest protection to counter the increasing biotic pressure and takes measures for protection of forests. Social & Farm Forestry- development of pastures and grazing land and making them available to tribal communities that have dependence on forest resources for meeting their year-round as well as seasonal fodder needs. Under this scheme, high altitude pastures as well as grazing lands adjoining villages are taken care of, by introducing better grasses, raising fodder trees and taking up fodder plantations around villages with concentration of cattle population.
- h. The National Afforestation Program (NAP) is being implemented to improve tree cover and involves a) Afforestation- to cover blank areas and bringing them under tree cover to achieve optimal land use. Both conifer and broad-leafed species of indigenous as well as tried and tested species of exotic origin, suitable to the site are planted.
- i. Activities under the program include- Physical and social Fencing of areas, and complementary soil and moisture conservation measures, planting and bush cutting; b) Enrichment plantings for densification of existing forests to improve their stocking and productivity through activities similar to those done under NAP) re- afforestation of scrub areas- to convert areas under scrub including those covered by bushes and weeds into productive forests/plantations by introducing suitable species of indigenous and exotic origin, through social and physical fencing, soil and moisture conservation measure and weed removal, bush cutting and planting.
- j. Raising Nurseries for Public distribution-raise genetically superior and healthy plants in departmental nurseries for planting activities and for distribution to public to achieve the right mix of suitable species (both conifer and broad leafed).
- k. Intensification of Forest Management - Forests are exposed to dangers of fire, illicit felling and encroachments. For better prevention and management check posts are established at suitable places to curb illicit timber trade and providing firefighting equipment and techniques in forest divisions where fire is a major source of forest destruction.
- l. Augmentation of Minor Forest Produce- Regeneration of Chilgoza Pine by raising their nurseries and plantations of in Kinnaur District since it is an important minor forest produce and tribals supplement their incomes by collection and sale of Chilgoza<sup>7</sup>.

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<sup>7</sup> Apart from these departments, the Cooperative Department of the state also offers schemes and financial support for creating **marketing and rural godowns** by offering subsidy on construction of marketing outlets and rural godowns and a **price fluctuation fund** to support communities for marketing of agriculture /horticulture /minor forest produce in tribal areas, which are mostly in the hands of private traders. Under the latter, emphasis is laid on participation of marketing co-operative societies in outright purchase of produce and an incentive of 5 percent of the total annual turnover is provided to them.

**Annexure 4: Schedule Caste and Schedule Tribe in Rural Population in Project Blocks (2011 Census):**

<b>SC Population</b>				
<b>S. No.</b>	<b>District</b>	<b>Block</b>	<b>SC Population</b>	<b>% age</b>
1	Mandi	Balh	49279	17.56
2	Solan	Nalagarh	44558	29.94
3	Mandi	Sundarnagar	38107	13.58
4	Sirmour	Paonta Sahib	36757	24.55
5	Kullu	Kullu	34760	30.09
6	Solan	Dharampur	34667	23.30
7	Bilaspur	Jhanduta	32617	34.82
8	Sirmour	Sangrah	29990	20.03
9	Solan	Solan	28846	19.39
10	Kangra	Pragpur	28828	9.46
11	Kangra	Dehra	27040	8.87
12	Shimla	Chaupal	25230	14.08
13	Mandi	Seraj	24188	8.62
14	Bilaspur	Ghumarwin	24177	25.81
15	Kangra	Panchrukhi	23977	7.87
16	Sirmour	Nahan	23007	15.37
17	Una	Una	22946	21.24
18	Kangra	Bajjnath	22472	7.37
19	Hamirpur	Bhoranj	22388	21.62
20	Kullu	Naggar	22371	19.37
21	Chamba	Chamba	22365	21.17
22	Shimla	Theog	22013	12.28
23	Hamirpur	Bijri	21637	20.90
24	Sirmour	Pachhad	20734	13.85
25	Una	Bangana	20626	19.09
26	Sirmour	Rajgarh	20587	13.75
27	Chamba	Bhatiyat	17616	16.68
28	Kullu	Banjar	17255	14.94
29	Mandi	Drang	15727	5.61
30	Solan	Kandaghat	14996	10.08
31	Kangra	Sulah	13220	4.34
32	Kangra	Nagrota Bagwan	8395	2.75
		<b>Total</b>	<b>811376</b>	

<b>Scheduled Tribes in Rural Population under HP IP Project-2011 Census</b>				
<b>S No.</b>	<b>District</b>	<b>Block</b>	<b>ST Population</b>	<b>% age</b>
1	Chamba	Bhatiyat	33617	25.29
2	Solan	Nalagarh	20467	85.01
3	Chamba	Chamba	16474	12.40
4	Kangra	Bajjnath	12468	15.54
5	Kullu	Naggur	8764	70.32
6	Sirmour	Nahan	6467	59.25
7	Sirmour	Paonta Sahib	4123	37.77
8	Mandi	Drang	3627	29.35
9	Kangra	Panchrukhi	3388	4.22
10	Kullu	Kullu	3193	25.62
11	Solan	Dharampur	2736	11.36
12	Bilaspur	Jhanduta	2691	26.04
13	Kangra	Nagrota Bagwan	2023	2.52
14	Kangra	Sulah	1825	2.27
15	Mandi	Balh	1806	14.61
16	Shimla	Chaupal	1789	33.14
17	Kangra	Dehra	1750	2.18
18	Bilaspur	Ghumarwin	1204	11.65
19	Mandi	Sundarnagar	1039	8.41
20	Una	Bangana	864	10.22
21	Kangra	Pragpur	857	1.07
22	Hamirpur	Bhoranj	611	21.81
23	Solan	Solan	395	1.64
24	Hamirpur	Bijri	362	12.92
25	Una	Una	247	2.92
26	Kullu	Banjar	169	1.36
27	Sirmour	Rajgarh	136	1.25
28	Solan	Kandaghat	118	0.49
29	Sirmour	Pachhad	96	0.88
30	Sirmour	Sangrah	63	0.58
31	Shimla	Theog	53	0.98
32	Mandi	Seraj	11	0.09
		<b>Total</b>	<b>133433</b>	

Annexure 5: Statistical Profile of Tribal Areas of Himachal Pradesh 2014-15										
S. No.	Item	Unit	Year	Tribal Areas					Total	H.P. Total
				Kinnaur	Lahaul	Spiti	Pangi	Bharmour		
1	2	3	4	5	6	7	8	9	10	11
1	Population	No.	2011	84121	19107	12457	18868	39108	173661	6864602
	Male	No.	2011	46249	9897	6691	9579	20109	92525	3481873
	Female	No.	2011	37872	9210	5766	9289	18999	81136	3382729
2	Scheduled Tribes	No.	2011	48746	15163	10544	17016	32116	123585	392126
3	Scheduled Caste	No.	2011	14750	1699	536	1246	4560	22791	1729252
4	Geographical Areas	Sq.Km	2011	6401	6250	7591	1595	1818	23655	55673
5	Density of Population per sq.km. area	No.	2011	13	3	2	12	22	7	123
6	Percentage of ST population to total population	%age	2011	57.95	79.36	84.64	90.18	82.12	71.16	5.71
7	%age of SC population to total population	%age	2011	17.53	8.89	4.30	6.60	11.66	13.12	25.19
8	Percentage of ST population to total tribal population	%age	2011	12.43	3.87	2.69	4.34	8.19	31.52	
9	Decennial population growth rate	%age	2001-2011	7.39	-15.25	16.65	7.00	4.99	4.36	12.94
10	Sex Ratio	No. of females per '000 males	2011 Census	819	916	862	969	945	877	972
	Sex Ratio (ST)	,-do-	"	1065	1021	1010	993	964	1018	999
	Sex Ratio (SC)		"	984	992	781	1029	944	974	973
	Sex Ratio (SC+ST)		"	1045	1018	997	995	961	1011	978
11	Literacy:		"							
	a) Persons	%	"	80.00	86.97	79.76	71.02	73.85	77.10	82.80
	b) Males	%	"	87.27	86.5	87.37	82.52	82.55	85.50	89.53
	c) Females	%	"	70.96	64.50	70.74	59.27	64.67	67.41	75.93
12	No. Of Households:	No.	"	19976	4091	2583	3952	8169	38771	1483280

13	No. of villages:		"							
	a) Total No.	No.		660	290	231	106	252	1539	20690
	b) Inhabited	No.	"	241	185	82	60	96	664	17882
	c) Un-inhabited	No.	"	419	92	149	46	156	862	2808
14	No. of Towns	No.	"	-			-	.		
a)	Land ownership	'000 Hect								
b)	Forests	"		38.580	137.376	0.482	139.352	24.191	339.981	
c)	Barren and uncultivable lands	"		132.419	0.204	541.109	1.316	0.529	675.577	
d)	Land put to non-agricultural " uses			117.892	1328	15.529	0.192	3.121	1464.734	
e)	Permanent pasture and other Grazing Lands	"		322.047	60.24	151.208	16.859	148.592	698.946	
f)	Land under misc. tree " crops and groves not included in area shown			0.101	65	0.046	0.348	0.206	65.701	
g)	Cultivable waste "			3.311	170	0.396	0.108	0.538	174.353	
h)	Other fallow land "			0.082	0.001	0.001	0.240	0.082	0.406	
i)	Current fallows "			1.477	0.014	0.126	0.007	0.250	1.874	
j)	Net area sown "			8.395	2.203	1.214	1.978	4.327	18.117	
k)	Area sown more than once "			1.299	45	0	0.579	1.902	48.78	
l)	Total cropped area "			9.694	2.203	1.214	2.557	6.229	21.897	
15	Intensity of cropping %			115.47	100.00	100.00	129.27	143.96	120.86	
16	Net irrigated Area '000 Hect			5.554	2.203	1.214	1.301	0.000	10.272	
17	Percentage of cropped area %			57.29	100.00	100.00	50.88	0.00	46.91	
18	Gross irrigated area '000 Hect.			4.943	2.203	1.230	0.045	0.680	9.101	
19	Percentage of gross % irrigation area to cropped area			50.99	100.00	101.32	1.76	10.92	41.56	

20	Area under forests (Forest 000 Hect. Dept.)		509.261	613.6 91	399.6 00	121.678	135.756	1779.986	
21	Percentage of 27 to % geographical area		79.55	98.1 9	52.64	76.47	74.60	75.55	
22	Forest Produce: a) Major Produce								
	i) Quantity Lots		937				37.81	975	
	ii) Value Rs in Lakh		5.64				27.66	33	
23	No. of Gram panchayats No.	Nov., 2011	65	28	13	16	29	151	
24	No. of Banking Institutions No	"	38	15	4	2	11	70	
25	Banking Institutions per Lakh of population	"	45	78	32	11	28	40	
26	<b>a) Educational Institutions:</b>								
	i) Primary Units	Nos.	303.15	190	134	69	66	126	585
	ii) Middle Units	Nos.		36	19	16	14	16	101
	iii) High Schools	Nos.		19	4	6	8	10	47
	iv) Sr. Sec. School	Nos.		31	18	9	6	11	75
	v) Navodaya Schools	Nos.		1		1	-	0	2
	vi) Kendriya Vidyalaya	Nos.		1	1		0	0	2
	vii) Degree Colleges	Nos.		1	1		1	1	4
	viii) I.T.I			2	1	1	1	1	6
27	<b>Medical institutions: i) Allopathy:</b>	Nos.							
	a) Civil Hospital	Nos.		2	1	-	0	-	3
	b) PHCs	Nos.		21	11	5	4	2	43
	c) CHCs/Rural Hospitals	Nos.		4	2	1	1	2	10
	d) Civil Dispensaries	Nos.					-	0	0
	e) Sub-Centres	Nos.		33	26	10	16	19	104
28	<b>Availability of Beds in Hospitals:</b>	Nos.		24 6	136	42	54	62	540
29	Livestock population	Nos.	2012 census	12584 5	4179 9	19723	46194	145142	378703
30	Of Sheep and Goats	Nos.		9983 6	3256 9	11641	35001	123576	302623
31	<b>Veterinary Institutions:</b>								
	i) Hospitals	Nos.		20	9	5	5	8	47
	ii) Dispensaries	Nos.		40	25	18	15	19	117
	iii) Mobile Dispensaries	Nos.		-	0	-		-	0
	iv) Sheep/wool ext. centres	Nos.		2	1	1	-	2	6
32	<b>Electricity:</b>	Nos.							



	i) Installed Capacity	MW		20.13 9	4.50 0	2.000	1.500	8.865	37.004
	ii) Villages Electrified	%		100 %	100	100%	100%	100 %	
33	Villages provided piped water supply	No.		100 %	192		100%	100 %	
34	Industrial Area	No.		1			-		1
435	Industrial Estates	Nos.			1			1	2
36	Industrial Units	Nos.		52 9	312	1	7	10	859
37	Employment - No. of registrants as per live register upto 31.03.14		31.03.14	820 2	24 71	1262	12	6158	18105
38	Road Density								
	Per '000' sq. km of area		76.23	83.8 4	74.26	161.65	248.35	96.60	
39	Telecommunication:								
A	Post-offices/Sub-Post Nos. Offices/Branch offices		85	27	26	14	26	178	
b)	Telephone Exchange Nos.		28	7	7	3	5	50	
40	Average size of operational Hect. holding				-		0.70	0.7	
41	Civil Supplies:								
	a) Food/LPG Godowns Nos.		9	0	6	9	4	28	
	b) Storage Capacity MT		6100	0	1300	900	540	8840	
	c) Hired Godowns Nos.			7	-	-		7	

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## ESS8 Cultural Heritage

### 1. Introduction

The state has rich cultural heritage such as several pilgrimage sites and places of religious prominence, sacred groves and sacred water sources that could be present in the project areas. ESS 8 on cultural heritage has the following objectives:

- a) To protect cultural heritage from the adverse impacts of project activities and support its preservation.
- b) To address cultural heritage as an integral aspect of sustainable development.
- c) To promote meaningful consultation with stakeholders regarding cultural heritage.
- d) To promote the equitable sharing of benefits from the use of cultural heritage.

### 2. Scope of Cultural Heritage

1. Tangible cultural heritage, or Physical Cultural Resource (PCR) which includes movable or immovable objects, sites, structures, groups of structures, and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance. Tangible cultural heritage may be located in urban or rural settings, and may be above or below land or under the water. The tangible cultural heritage within the State includes:

a) **UNESCO World Heritage Sites** - The Kalka, Shimla Toy Train (Solan and Shimla district) and the Great Himalayan National Park (Kullu).

b) **Temples and sites of religious and spiritual significance** (estimated at over 10,000).

c) **Sacred Groves**, of which 350 are documented, however may run into thousands. An initiative by HP State Biodiversity Board has detailed records of 253 sacred groves in the districts of Shimla and Kullu. These groves are locally named Dev Van or Devta Ka Jungle and have rules such as a prohibition on cutting trees or carrying dry leaves outside the area. These groves, as documented possess a great heritage of diverse gene pool of many forest species with socio religious attachment and play an important role in water conservation.

d) **Traditional Water Harvesting Structures**. The state also has a rich tradition of water harvesting and water conveyance structures. These include 'Khatris' rectangular deep pits that are dug into the hard rock on hill slopes to collect rainwater which are present in Hamirpur, Kangra and Mandi districts and 'Kuhls' which are surface water channels found in the mountainous regions; The channels carry glacial waters from rivers and streams into the fields. The Kangra Valley system has an estimated 715 major kuhls and 2,500 minor kuhls that irrigate more than 30,000 hectares in the valley. An important cultural tradition, the kuhls were built either through public donations or by royal rulers. A 'kohli' would be designated as the master of the kuhl and he would be responsible for the maintenance of the kuhl.

2. Intangible Cultural Heritage, which includes practices, representations, expressions, knowledge, skills – as well as the instruments, objects, artefacts and cultural spaces associated therewith – that communities and groups recognize as part of their cultural heritage, as transmitted from generation to generation and constantly recreated by them in response to their environment, their interaction with nature and their history.

The Intangible Cultural Heritage of Himachal includes skills in weaving and knitting and skills with bamboo, basketry and other handicrafts as well as folk songs and dances, traditional knowledge on harvesting and use of NTFPs and medicinal plants and culture associated with the pastoralist communities; however it could include myriad other things, that local communities recognize as part of their cultural heritage.

Cultural Heritage is governed under the following national and state laws:

- a) The Ancient Monuments and Archaeological Sites and Remains Act 1958 and amendments
- b) Indian Treasure Trove Act, 1878 (as modified up to 1st September, 1949)
- c) The Himachal Pradesh Ancient And Historical Monuments And Archaeological Sites And Remains Act, 1976

### **3. Potential Risks and Impacts to Cultural Heritage from the Project**

- a) The project may undertake activities that are located in the vicinity of a cultural heritage site and cause damage and/or disturbance to such sites
- b) There is a possibility of archaeological finds during minor excavation during construction of tanks and other water harvesting/ conveyance structures. The project will not involve any deep excavation, demolition, movement of earth, flooding or changes in the physical environment;
- d) No negative impacts on intangible cultural heritage are envisaged; the project will attempt to build on traditional knowledge and practices on NTFPs and institutional mechanisms for the repair and maintenance of water harvesting and water conveyance structures.

### **4. Management and Mitigation Measures**

#### 1. Screening

The project will undertake a screening to ascertain the presence of any known cultural heritage sites including temples, sites of religious or spiritual significance or sacred groves in the design of project interventions and their incorporation into the Gram Panchayat Resource Management Plan.

#### 2. Consultation during preparation of GPRMP for identification of Cultural Heritage

During the preparation of the GPRMPs the project will include questions on tangible cultural heritage such as sites of religious and spiritual significance, sacred groves, traditional water harvesting and conveyance structures and intangible cultural heritage including traditional knowledge, information on which is not ordinarily available in the public domain. The project will ensure the participation of women and elders as well as traditional knowledge holders in these consultations. Although Cultural Heritage may be associated with any group, community or religion, certain marginalized or backward groups such as tribals may need to be given more focused attention in the process of identification of their cultural heritage since such communities may not have adequate representation in the institutional structure of local governance institutions such as Gram Panchayats.

#### 3. Avoiding Cultural Heritage Sites

The project will seek to avoid disturbance to cultural heritage sites during construction and ensure that no damage through debris disposal or noise pollution is caused at any sites of cultural significance including, rocks, sacred groves or wetlands.

#### 4. Management Actions to avoid damage to Physical Cultural Resources (PCRs)

Where activities must be undertaken near a cultural heritage site, the following measures should be taken:

- a) Train/make aware the construction contractor of how to deal with these sites, and ensure that there is supervision from contractors' side for the management of all such sites.
- b) Restore all sites to their original shape post construction. It is advisable to take photographs, measurements etc. of the Physical Cultural Resource (PCR) if working in the same location, in case it needed for future reference while restoring the site.
- c) Identify most appropriate time to undertake construction to minimise disturbance, e.g. avoid any special prayers/festivals for constructing in the vicinity of the PCR or on its access route.
- d) Avoid keeping power back up systems such as generators near the Physical Cultural Resource.
- e) Identify appropriate sites for waste storage and disposal of any waste generated by the project activity.
- f) Identify appropriate sites for material storage

#### 4. Conservation and Enhancement of Cultural Heritage, where applicable

The project will work on building on, repairing and enhancing and maintenance the traditional water harvesting and water conveyance structures – *Khatris, Kuhls* and other springshed structures in the project area. It will also attempt to build on traditional knowledge and practices on NTFPs and pasture management and incorporate these in the GPRMPs.

#### 5. Chance Finds Procedures

When artefacts or sites of cultural heritage are encountered by chance while undertaking excavation during construction activities, they are known as “chance finds”. The project will include a chance finds procedure, in all contracts related to construction awarded under the project. The steps in case of chance finds to be followed are:

- a) Stop all work and cordon off area and do not allow anybody access to the area, unless cleared by the District Magistrate or Commissioner as the case might be and the Archaeological Department.
- b) Based on discussions with the competent authorities identify further action
- c) Actions at the site may require competent professionals who may need to be contacted and brought in, as needed.

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## ESS10 Stakeholder Engagement Plan

### Executive Summary

The Himachal Pradesh Forest Department is the implementing agency for the World Bank supported, Integrated Project for Source Sustainability and Climate Resilient Rain-fed Agriculture in Himachal Pradesh (IP), henceforth the Project. The project development objective (PDO) of IP is to improve upstream eco-system management and increase agricultural water productivity in selected Gram Panchayats of the State of Himachal Pradesh. The Project has 4 components: Component 1 Sustainable Land and Water Management, Component 2: Improved Agricultural Productivity and Value Addition; Component 3: Institutional capacity building for integrated watershed management; and Component 4: Project Management. The Project will be implemented in 428 Gram Panchayats of 10 Districts of the State, with financing from the World Bank. These districts are: Shimla, Solan, Sirmour, Bilaspur, Hamirpur, Mandi, Kullu, Chamba, Kangra & Una.

As part of the World Bank's Environmental and Social Framework (ESF) and implementation of the Environmental and Social Standards, especially ESS 10 on Stakeholder Engagement and Information Disclosure, HPFD has prepared a Stakeholder Engagement Plan (SEP). The main objectives of the SEP are to adopt a systematic, transparent and participatory approach to stakeholder engagement and information disclosure, and maintenance of positive stakeholder relationships, monitoring of stakeholder feedback and implementation of an accessible and responsive grievance redressal mechanism. The SEP also aims to facilitate stakeholder feedback and engagement on project design and implementation, including on identification and mitigation of environmental and social risks and impacts.

The SEP will act like a guiding tool and framework for managing communications and engagement between HPFD and its stakeholders for the Project. The SEP has been adapted to the nature and scale of the project and its potential environment and social risks and impacts. The SEP takes into account the existing institutional and regulatory frameworks/acts of the Government of India (GOI) and the Government of (GoHP) as well as the requirements of the Environmental and Social Framework (ESF), 2016 of World Bank.

The SEP includes multiple channels and mechanisms of engaging with the stakeholders, including

Publications, website, telephone, public consultations and meetings, participatory assessments and surveys, GP RMP planning and existing channels of citizen's engagement of the GOHP. Differentiated measures will be adopted to engage with vulnerable and disadvantaged households, including focus group discussions, inclusive beneficiary identification in the GP RMP, inclusion amongst beneficiary groups, and lower thresholds for cost sharing for individual benefits. Other project-related information will be shared with the primary stakeholders in locally understood languages where necessary. All ESS plans and documents will be disclosed on the project's websites.

The Environment and Social Assessment (ESA) and ESMF preparation exercise conducted by the HPFD involved participatory approaches, especially consultations, public meetings, focus group discussions, and in-depth interviews with the key project stakeholders. This included potential project beneficiaries and residents in project GPs, farmers, Gram Panchayat representatives and officials, pastoralists and transhumant (Gaddis and Gujjars), as well as Women's self-help groups. These consultations also included disadvantaged and vulnerable population groups, especially landless and marginal farmers, women headed households,

scheduled caste households, tribal households. Meetings and Consultations were also held with the state departments of Forests, Agriculture, Animal Husbandry, Rural Development and the Science and Technology to understand the scope of their participation and sectoral interventions under the project, and the potential social and environmental risks and issues involved.

The SEP identifies the main stakeholders of the projects as: i) *Positively affected Project Beneficiaries*, mainly relevant community organizations, GP user groups, Gram Panchayats, farmers groups/cooperatives, joint forest management committees (JFMCs), and women's groups; ii) *Disadvantaged and Vulnerable Households*, such as landless and marginal farmers, transhumant nomadic groups (Gaddis and Gujjars), scheduled castes households, scheduled tribes, women headed households, disabled households as well as households designated below the poverty line; iii) *Potentially negatively affected groups*, such as vulnerable households donating land for community infrastructure or households facing temporary access/use restrictions from new grazing pastures, fodder plots and plantations; and iv) *Other Interested stakeholders* such as HPFD as well as line departments of Agriculture, Animal Husbandry, Horticulture, Rural Development and Panchayati Raj, and Science and Technology. Private partners involved in agribusiness and value chain development as well as NGOs associated with forestry, agriculture, horticulture, animal husbandry, natural resource management and rural development are also important stakeholders of the project.

The SEP includes a range of interventions to engage with the key stakeholders, throughout the project implementation period. These include participatory and inclusive process of preparing the GPRMPs, capacity building of community user groups, tracking inclusion of vulnerable groups, disclosure of project documentation, SEPs and the ESF plans on project's websites, periodic meetings with the GPs, periodic review meetings at the District level, regular updates from the Social Extension Officers, and training of community organizations, extension staff and GP officials and representatives. Project Information and updates regularly shared through websites, newsletters and other stakeholder engagement events.

The HPFD, project management unit (PMU) will be responsible for implementing the SEP through the Environment and Social Experts at the State Level, the District Project Officer at the Districts, and the APO in the block, and the social, forestry and agriculture extension officers who will be directly engaging with the key stakeholders. Local level project implementation units will be supported to effectively engage with primary stakeholders throughout project implementation.

The Project will establish a Grievance Redress Mechanism (GRM) with the aim to respond to queries or clarifications or complaints about the project and address complaints/concerns and grievances of the stakeholders. The GRM will focus on corrective actions that can be implemented quickly and at a relatively low cost to resolve identified implementation concerns, GRM will also serve as a channel for early warning, helping to target supervision to where it is most needed and identify systemic issues.

The project will be conducting an external review of the ESF implementation progress and impacts, including the implementation of the SEP. External agencies/resource persons will be engaged to carry out this audit/review in the 3rd and 5th year of the project. The District Office and Block Office will be engaged in monitoring and reporting on SEP implementation, especially through the Assistant Project Officer. The SEP will be periodically revised and updated as necessary in the course of project implementation, to ensure that the information presented is consistent and is the most recent, and that the identified stakeholders and

methods of engagement remain appropriate and effective in relation to the project context and specific stages of the implementation. Any major changes to the project related activities and to its schedule will be duly reflected in the revised SEP.

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## Stakeholder Engagement Plan

### 1. Background

The Government of Himachal Pradesh (GoHP) is preparing the Integrated Project for Source Sustainability and Climate Resilient Rain-fed Agriculture (IP) in 428 Gram Panchayats of the State, with financing from the World Bank. IP carries forward the ideas and learnings of H.P. Mid Himalayan Watershed Development Project (HPMHWDP)<sup>8</sup>. Stakeholder and beneficiary engagement mechanisms that emerged during HPMHWDP will be leveraged to create holistic engagement strategies for continuous interactions with all stakeholders. The project addresses the overall problem that water sources in Himachal Pradesh are contributing below their potential to economic growth by addressing three underlying drivers: (i) forest degradation, excessive run-off and soil erosion, and low aquifer recharge; (ii) low livestock, land, and water productivity and limited value addition; and (iii) limited capacity for integrated ecosystem management. Project investments are expected to support improved management of upstream lands and increased agricultural water productivity. Long-term project impacts are expected to include increased supply of water from perennial water sources, institutional reforms for integrated ecosystem management, and reduced GHG emissions and increased climate resilience. Critical assumptions (and associated risks) include the willingness and capacity of community members to engage with the HPFD on integrated watershed development planning and implementation; the interest of farmers in adopting new farming technologies and crops; the accessibility of markets for new crops; and the willingness and capacity of HPFD staff to integrate greater community involvement and upfront planning into forest management. To address potential risks in case these assumptions are not met, the project design includes intensive farmer outreach with additional training opportunities for female farmers; grant financing to incentivize adoption of more climate-resilient technologies and crops; and training and technical assistance to support HPFD staff in adopting more participatory and evidence-based methods.

### 2. Project Description

Project Development Objective. The project development objective (PDO) of the proposed Integrated Project for Source Sustainability and Climate Resilient Rain-fed Agriculture (IP) is to improve upstream eco-system management and increase agricultural water productivity in selected Gram Panchayats of the State of Himachal Pradesh. The project will have the following PDO indicators:

- Survival rate of seedlings planted with project support (Percentage)
- Share of participating farmers adopting climate smart agriculture practices (Percentage, gender disaggregated)
- Increase in farm area under higher efficiency irrigation in targeted GPs (Percentage)

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<sup>8</sup> This project started in the year 2005 and completed on 31<sup>st</sup> March 2017. HPMHWDP exhibited increase in real income by 20.70%, increase in biomass production by 46.25%, increase in yield of Wheat, Maize & Milk by 25.92%, 28.94% and 10.72% respectively. Under Institutional strengthening a total of 3,098 Self Help Groups (SHGs), 6,977, Users Groups and 5,967 Common Interest Groups (CIG) were established.



- Share of target beneficiaries with rating “Satisfied” or above on process and impact of project interventions (Percentage, gender disaggregated) [Citizen Engagement Indicator]

Project Components and Interventions. The project comprises the following Components and sub-components:

Component 1: Sustainable Land and Water Resource Management: This component promotes participatory and sustainable land and water management through financing the planning and implementation of upstream investments in selected micro-catchments. Site-specific Gram Panchayat resource management plans (GP-RMPs) will be prepared within each micro-catchment to specify detailed activities by location and GP. In parallel to the GP-RMPs, a network of hydrological monitoring stations will be established within the watershed to monitor the quality and quantity of water on a continuous basis, to assess the potential impact of project interventions, whilst laying the foundation for future water budgeting, and hydrological modelling to identify the highest priority sites for future activities. Hydrological watershed modelling in conjunction with landscape analysis can help identify the most critical sites to prioritize investments to ensure the greatest impact for source sustainability and water quality. The main implementers and beneficiaries will be HPFD staff and relevant community organizations such as sub-groups of the GP user groups set up (or strengthened, where appropriate) under the project. The component will include a combination of technical assistance (TA), investments, and partnerships with other agencies. This support will lead to improved forest cover (and hence carbon capture), increased water and sediment regulation, reduced erosion, and improved community participation (including women, youth, and disadvantaged groups) in and benefits from sustainable land and water management that are expected to serve as a model for other states through the Lighthouse India approach (see Component 3).

1. The sub-component will also support the establishment and financing of an operation, maintenance and investment fund (OMIF) in each of the participating GPs. The OMIF will be established under existing GP financial management procedures to meet the operations and maintenance (O&M) responsibilities of community infrastructure related to sustainable land and water management (SLWM) that is constructed under this project and that already existed. Initial funding to the OMIF will come from community contributions with the project providing top-up financing once certain financial thresholds have been met. Project disbursements will be made on a matching basis and will be released on a results basis according to agreed disbursement linked indicators (DLIs). There will be two DLIs: the first is the balance in the OMIF exceeds specific thresholds; the second is a minimum expenditure in the preceding period (to promote O&M expenditures). Annex 5 provides further details of this instrument which will be designed during project implementation and established from the second year of the project (when O&M spending is required).

Component 2: Improved Agricultural Productivity and Value Addition. This component would support interventions in downstream areas where the primary (existing or potential) water use is for irrigation in agriculture. It would seek to augment the use of irrigation as a principle strategy for shifting from low-value cereal production to climate resilient crop varieties, higher-value fruit and vegetable production but would do so with a focus on

increasing climate resilience and water productivity to maximize the financial returns for water use. The project will not duplicate other areas of support but will seek to leverage additional support from other government programs and projects, particularly that of the agriculture, horticulture, and animal husbandry departments. Key interventions include infrastructure to increase high-productivity water utilization (drip and sprinkler irrigation) – essential elements of CSA – plus the necessary primary and secondary distribution systems. The project will only work in downstream areas where upland/ proximate interventions are being implemented. This component will also support the identification and development agricultural value chains. It will establish a Value Chain Development Cell (VCDC) within the PMU that will: (i) coordinate and monitor the overall implementation of this component, and (ii) manage consultant contracts between the PMU and qualified support entities, such as NGOs, consulting firms, and research institutes that will implement many of the component activities. Alignment with the relevant line departments (e.g., agriculture, horticulture, and animal husbandry) will be ensured through the project steering committee. In addition to improving local livelihoods, the proposed activities will reduce pressure on forests and contribute to increased carbon sequestration and reduced erosion and are expected to be of interest to other forested states, with outcomes showcased through the Lighthouse India approach under Component 3. (The proposed matching grants will be managed under a single scheme with appropriate ‘windows’ and distinct procedures governing the provision of grants to group assets and private assets.)

Component 3: Institutional capacity building for integrated watershed management. The long-term objective of this component is two-fold: firstly, to support a more comprehensive and holistic approach to managing the state’s water resources while recognizing competing uses both within HP and downstream in other states, in particular Punjab; secondly to facilitate better alignment of institutional mandates for Integrated Watershed Management (IWM) and strengthen the HPFD’s institutional structure and capacity for improved service delivery. In the short term, this component will focus on building the institutional capacity of the HPFD as they key government institution responsible for managing roughly two-thirds of the state’s land area and identifying possible future reforms through a comprehensive IWM institutional assessment. It will also produce and share knowledge on these critical topics through a Lighthouse India approach.

Component 4: Project Management: This component will support the project management function, including key staff and operational costs. The project management entity will be in the form of a PMU, although at least in the medium-term financing will be required for staff on secondment from other Departments and externally recruited staff in areas with skillsets outside the current bureaucratic capacity. A key example is agribusiness for which few existing staff of Departments have the required expertise. It would also support the project monitoring and evaluation functions as well as grievance redress apparatus, and project communications and outreach including the contribution to Lighthouse India by which project lessons can be shared with other States.

Project Implementation Area. The project will be implemented in 428 selected GPs in 32 Development Blocks of the ten districts of Shimla, Solan, Sirmour, Bilaspur, Hamirpur, Mandi, Kullu, Chamba, Kangra & Una. The project area shall be covering three out of the four major agro-climatic zones of the State namely Shivalik hills, Mid-hills & the High hills. The key stakeholder beneficiaries of the project include Gram Panchayats, farmers, groups cooperatives including women groups, pastoralists and transhumant. Women, the poor and scheduled population comprises the vulnerable/ disadvantaged section of the local communities. Several backward Gram Panchayats shall be included in the Project area. The stakeholders are primarily engaged in agriculture and horticulture with supplementation

from livestock-based activities. The transhumant includes Gaddis & Gujjars who are totally dependent on forest for rearing their livestock.

Implementation Agency. The Himachal Pradesh Forest Department is the main implementing agency for the HPIP project. A PMU will be established under the HPFD along with divisional offices to oversee project activities at the District level. The PMU and divisional project offices (DPOs) will include technical specialists from a range of other departments to ensure a full complement of technical competence across the range of sectors. The project will seek to leverage existing programs (e.g. KVK) and public sector providers such as the extension and research systems and agreements will be reached between agencies to this effect. Activities at the village level will be implemented by the GPs to promote direct community/ beneficiary participation. A project steering committee will be established chaired by the Additional secretary to *inter alia* review annual work plans and facilitate coordination across Departments.

### 3. Applicable legal and regulatory framework and World Bank ESF

The SEP takes into account the existing institutional and regulatory frameworks/acts of the Government of India (GOI) and the Government of (GoHP) as well as the requirements of the Environmental and Social Framework (ESF), 2016 of World Bank as mentioned below:

- The Environmental Impact Assessment Notification (EIA), 2006 (including all amendments to date), notified by MoEFCC, GoI
- The Right to Information Act 2005,
- The Himachal Pradesh Public Services Guarantee Act 2011
- ESS 10: Stakeholder Engagement and Information Disclosure, ESF 2016, World Bank

The *Environmental Protection Laws* mentioned above establishes the right of citizens to live in a favourable environment and to be protected from negative environmental impacts. Citizens also have the right to environmental information as well as to participate in developing, adopting, and implementing decisions related to environmental impacts. The provisions of environmental law provide the assurances for public hearing during the process of project planning and ensure the public discussion during implementations. Public representative bodies have an obligation to take into consideration citizens' comments and suggestions. In the context of involuntary resettlement, the Land Acquisition Act, 2013 maintains the ethos and culture of public participation through social impact assessment. The *Right to Information Act, 2005* provides for setting out the practical regime of right to information for citizens to secure access to information under the control of public authorities, in order to promote transparency and accountability in the working of every public authority. *The Himachal Pradesh Public Services Guarantee Act 2011* provides legally enforced right to select services related to- Grazing Permits, Compensation for injuries or loss of life of domestic animals and humans and grant of timber distribution rights to the right-holders within a stipulated timeframe based on applications received from the citizens. In addition, there are several other acts and policies that touch upon public participation and engagement between citizen's and governments. Some of the key ones are: National Environment Policy 2006, Panchayat Raj Institutions 73rd Amendment Act, 1992, Joint Forest Management Policy 1993 (revised Feb 2000), Panchayat (Extension to Scheduled Areas) Act 1996, and the State Participatory Forest Management Policy 2000

The World Bank's Environmental and Social Framework sets out the World Bank's commitment to sustainable development, through a Bank Policy and a set of Environmental and Social Standards that are designed to support Borrowers' projects, with the aim of ending extreme poverty and promoting shared prosperity. The Environmental and Social Standards set out the requirements for Borrowers relating to the identification and assessment of environmental and social risks and impacts associated with projects supported by the Bank

through Investment Project Financing. The Bank believes that the application of these standards, by focusing on the identification and management of environmental and social risks, will support Borrowers in their goal to reduce poverty and increase prosperity in a sustainable manner for the benefit of the environment and their citizens. The ten (10) Environmental and Social Standards establish the standards that the Borrower and the project will meet through the project life cycle. ESS 10, “Stakeholder Engagement and Information Disclosure”, recognizes “the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice” (World Bank, 2017: 97). Specifically, the requirements set out by ESS10 are the following:

- “Borrowers will engage with stakeholders throughout the project life cycle, commencing such engagement as early as possible in the project development process and in a timeframe that enables meaningful consultations with stakeholders on project design. The nature, scope and frequency of stakeholder engagement will be proportionate to the nature and scale of the project and its potential risks and impacts.
- The Borrower will maintain and disclose as part of the environmental and social assessment, a documented record of stakeholder engagement, including a description of the stakeholders consulted, a summary of the feedback received and a brief explanation of how the feedback was considered, or the reasons why it was not.” (World Bank, 2017: 98).

A Stakeholder Engagement Plan proportionate to the nature and scale of the project and its potential risks and impacts needs to be developed by the Borrower. It needs to be disclosed as early as possible, and before project appraisal, and the Borrower needs to seek the views of stakeholders on the SEP, including on the identification of stakeholders and the proposals for future engagement. If significant changes are made to the SEP, the Borrower has to disclose the updated SEP (World Bank, 2017: 99). According to ESS10, the Borrower should also propose and implement a grievance mechanism to receive and facilitate the resolution of concerns and grievances of project-affected parties related to the environmental and social performance of the project in a timely manner (World Bank, 2017: 100).

#### **4. Summary of Stakeholder Consultations and Engagement, to date**

The Environment and Social Assessment (ESA) and ESMF preparation exercise conducted by the HPFD involved participatory approaches, especially consultations, public meetings, focus group discussions, and in-depth interviews with the key project stakeholders. This included potential project beneficiaries and residents in project GPs, farmers and livestock rearers, Gram Panchayat representatives and officials, pastoralists and transhumant (*Gaddis and Gujjars*), as well as Women’s self-help groups. These consultations also included disadvantaged and vulnerable population groups, especially landless and marginal farmers, women headed households, scheduled caste households, tribal households.

The Project has identified the disadvantaged and vulnerable people as landless and marginal farmers, transhumant nomadic groups (*Gaddis and Gujjars*), scheduled castes households, scheduled tribes, women headed households as well as households designated below the poverty line. These households are more constrained than others to access benefits from the project and participate more fully in the planning and consultations. Consultations held as part of the ESA process saw large scale participation from the communities, and these disadvantaged and vulnerable groups were part of all the consultations. Special consultations were also held with transhumant as well as tribal households. Special Consultations were also held in many backward Gram Panchayats and Tribal Villages. Before the consultations, relevant information in local language was shared with the communities in order to give them information on the project objectives/activities and seek their feedback and concerns/issues

with respect to project components. The engagement needs of these disadvantaged and vulnerable groups are reflected in measures adopted by the project which are summarized in the sections below

Meetings and Consultations were also held with the state departments of Forests, Agriculture, Animal Husbandry, Rural Development and the Science and Technology to understand the scope of their participation and sectoral interventions under the project, and the potential social and environmental risks and issues involved.

#### List of Stakeholder Consultations

<b>Date</b>	<b>District</b>	<b>Village</b>	<b>Consultation Participants</b>
26/09/19	Kullu	Bandrol	Farmers and Village Residents (about 35, 20 males and 15 females), including GP Members, vulnerable households, & government officials
26/09/19	Kullu	Talogi	Farmers and Village Residents (about 25, 15 males and 10 females), including GP Members, vulnerable households, & government officials
27/09/19	Kullu	Bajaura	Farmers and Village Residents (about 42, 30 Males and 12 Females), including GP Members, vulnerable households, & government officials
28/09/19	Mandi	Kathog	Farmers and Village Residents (about 40, 30 Males and 10 Females), including vulnerable households, GP Members & government officials
28/09/19	Mandi	Tikker	Farmers and Village Residents (about 50 participants, 27 males, 24 Females), including vulnerable households, GP Members & government officials
29/09/19	Chamba	Banet	Farmers and Village Residents (about 60 participants, 45 males, 15 Females), including vulnerable households, GP Members & government officials
29/09/19	Chamba	Kudnu	Farmers and Village Residents (about 90 participants, 55 males, 35 Females), including vulnerable households, GP Members & government officials
30/09/19	Una	Beriyam	Farmers and Village Residents (about 30 participants, 15 males, 15 Females), including vulnerable

			households, GP Members & government officials
01/10/19	Una	Kharyalta,	Farmers and Village Residents (about 50 participants, 15 males, 35 Females), including vulnerable households, GP Members & government officials
01/10/19	Una	Sohari	Farmers and Village Residents (about 30 participants, 10 males, 20 Females), including vulnerable households, GP Members & government officials
02/10/19	Bilaspur	Malraon,	Farmers and Village Residents (about 35 participants, 15 males, 20 Females), including vulnerable households, GP Members & government officials
02/10/19	Bilaspur	Doodiyan	Farmers and Village Residents (about 35 participants, 18 males, 17 Females), including vulnerable households, GP Members & government officials
03/10/19	Bilaspur	Padyalag	Farmers and Village Residents (about 40 participants, 22 males, 18 Females), including vulnerable households, GP Members & government officials
03/10/19	Hamirpur	Taal	Farmers and Village Residents (about 50 participants, 12 males, 38 Females), including vulnerable households, GP Members & government officials
04/10/19	Hamirpur	Mehal	Farmers and Village Residents (about 44 participants, 24 males, 20 Females), including vulnerable households, GP Members & government officials
05/10/19	Shimla	Bagri,	Farmers and Village Residents (about 20 participants, 8 males, 12 Females), including vulnerable households, GP Members & government officials
05/10/19	Shimla	Mundu	Farmers and Village Residents (about 50 participants, 37 males, 12 Females), including vulnerable households, GP Members & government officials
06/10/19	Solan	Jhajha,	Farmers and Village Residents (about 47 participants, 30 males, 17 Females), including vulnerable

			households, GP Members & government officials
06/10/19	Solan	Dangeel	Farmers and Village Residents (about 52 participants, 27 males, 25 Females), including vulnerable households, GP Members & government officials
07/10/19	Solan	Hinner	Farmers and Village Residents (about 40 participants, 25 males, 15 Females), including vulnerable households, GP Members & government officials

## 5. Stakeholder Identification and Analysis

The main project implementers and beneficiaries will be relevant community organizations such as sub-groups of the GP user groups set up (or strengthened, where appropriate) supported under the project, the direct beneficiary households, the Gram Panchayat as well as the HPFD. The key stakeholders of the Project include Gram Panchayats, farmers groups/cooperatives, joint forest management committees (JFMCs), pastoralists and transhumant, as well as women's groups and women producers. The disadvantaged and vulnerable households especially landless and marinal farmers, women headed households, disabled households, scheduled tribes especially the transhumant and scheduled castes are also key stakeholders. These and other key stakeholders who will be informed and consulted about the project are summarized below.

Positively affected Project Beneficiaries: The project will be implemented in 428 selected GPs in 32 Development Blocks of the ten districts of Shimla, Solan, Sirmour, Bilaspur, Hamirpur, Mandi, Kullu, Chamba, Kangra & Una. In these 428 GPs, the key project beneficiaries include farming communities (especially small-scale farmers), including women, disadvantaged groups as well as nomadic/ transhumant/ pastoral communities, who will benefit from improved access to irrigation water, climate smart extension services, and markets as well as the future reductions in land degradation. Women, and the community at large, and local and migrant labour will also benefit from employment opportunities in nursery and plantation activities and the development of high value agricultural value chains and Non-timber Forest Products (NTFPs). Community members will benefit from training on improved production and post-harvest practices, and basic business skills, as well as technical and financial support to invest in sustainable value chain development. Improvements in fodder availability as a result of the Component 1 investments will particularly benefit women and Scheduled Tribes, as they are most involved with livestock management. Further, every GP has quite a few landless labourers who often migrate to other places in different seasons in search of work. Their participation in implementation and management of resources and assets would provide them income generating opportunities.

Disadvantaged and Vulnerable Households. The Project has identified the disadvantaged and vulnerable people as landless and marginal farmers, transhumant nomadic groups (*Gaddis and Gujjars*), scheduled castes households, scheduled tribes, women headed households, disabled households as well as households designated below the poverty line. The transhumant includes Gaddis & Gujjars who are totally dependent on forest for rearing their livestock. The

State has also identified a list of backward Gram Panchayats, some of which are included in the Project area proportionately to ensure that the positive spill-over effects emerging from the interventions proposed under the project. These vulnerable households are more constrained than others to access benefits from the project and participate more fully in the planning and consultations. No adverse project impacts will fall disproportionately on these especially vulnerable groups, and adequate safeguards have been included.

Negatively affected households. (Potential adverse impacts): At this stage, the project does not identify any directly affected population groups mainly because the project does not include any land acquisition or the potential to cause involuntary physical resettlement or relocation. Any intervention or construction activity that requires involuntary resettlement impacts and relocation will not be included in the GPRMP and excluded from project support. However, small scale, local level infrastructure planned and prioritized by the communities could involve very small scale of land donation, which needs to be managed to avoid the potential for adverse impacts, especially on vulnerable households, following the due diligence provided under ESS5. The ESMF includes a resettlement policy framework (RPF) to address and mitigate any adverse social and economic impacts arising from voluntary land donation, and includes specific screening, documentation and mitigation measures to ensure voluntariness and non-coerciveness of the land donation process. Interventions on new grazing pastures, fodder plots and plantations may also involve temporary access/use restrictions that may adversely affect some households. Such interventions will be screened for adverse impacts on traditional use and customary rights, and when needed suitable mitigation action plans will be prepared and implemented by the beneficiary groups, GPs and HPFD.

Other Interested stakeholders (including government departments): The Himachal Pradesh Forest Department will be the nodal department along with the line department viz; Agriculture, Animal Husbandry, Horticulture, Rural Development and Panchayati Raj Department etc. will be the main stakeholders from the State. All department officials expressed interest in convergence modalities. Forest department officials wanted to explore opportunities to take forward lessons learnt from previous project projects. These officials would be interested to pilot and demonstrate climate resilient farming, climate change adaptation methods, and training of beneficiaries groups in good agriculture practices. The project will also increase the skills and capacity of the HPFD, the Gram Panchayats and other government officials. Private Partners involved in agribusiness and value chain development as well as NGOs associated with forestry, agriculture, horticulture, animal husbandry, natural resource management and rural development would be interested to partner the project.

Summary of Stakeholder Needs. The engagement needs of these key stakeholders are summarized in the table below

<b>Stakeholder Group</b>	<b>Language Needs</b>	<b>Preferred notification means (e-mail, phone, radio, letter, etc.)</b>	<b>Specific needs (accessibility, large print, child care, daytime meetings, etc.)</b>
Existing CBOs of farmers, joint forest management, watersheds,	Hindi and Himachali	Through phone, letter and CBO leaders as well as social mobiliser, Gram Panchayat Representatives and	Meetings held in Panchayat Office or largest revenue village in the GP.



agriculture and animal husbandry		local NGO representatives	
Women farmers and women headed households, women's federations	Hindi and Himachali	Through self-help groups, social mobiliser, Gram Panchayat Representatives and local NGO representatives	Meetings aligned with meeting schedule of self-help groups, village federations and other CBOs; within their habitations
Disadvantaged and Vulnerable Households, including landless and disabled households.	Hindi and Himachali	Through self-help groups, social mobiliser, Gram Panchayat Representatives and local NGO representatives	Special Meetings organised with advance notice organised at suitable timings and in accessible places;
Transhumant nomadic groups, Tribes	Local Tribal Language	Through tribal community leaders and social mobilisers	Special Consultation meetings at times favoured by the tribal groups within their habitations
Gram Panchayat Elected Leaders and Officials	Hindi & Himachali	Official notification from HPFD and RD	Meeting with advance notice to all the elected GP members and key GP officials along with CBO leaders and NGO representatives and other village level workers of line agencies
Departments of Forests, Agriculture, Animal Husbandry and Science and Technology	Hindi and English	Official notification from HPFD and RD	Meetings held with suitable advance notification in block level office of HPFD.

## 6. Stakeholder Engagement Program

Purpose and Objectives. The main objective of the SEP is to establish a systematic approach for stakeholder engagement, maintain a constructive relationship with them, consider stakeholders’ views, promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life-cycle, and ensure that appropriate project information is disclosed to stakeholders in a timely, understandable, accessible and appropriate manner. The SEP also aims to facilitate stakeholder feedback and engagement on project design and implementation, including on identification and mitigation of environmental and social risks and impacts. Other objectives of the SEP are: i) to ensure that stakeholders understand how the project is likely to affect them; maintain continuous engagement and manage stakeholders’ expectations; Ensure prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information in a timeframe that enables meaningful consultations with stakeholders in a culturally appropriate format, in relevant local language(s) and is understandable to stakeholders; Consider and responds to feedback; Support active and inclusive engagement with project-affected parties; Ensure that consultation(s) is/ are free of external manipulation, interference, coercion, discrimination, and intimidation; and Ensure consultation (s) is/are documented and disclosed by the IP project.

The scope and details of the SEP have been customized to the moderate risk profile of the project, which will not cause any physical relocation or land acquisition, and the anticipated concerns of the project stakeholders who may be affected by or are interested in the project.

### Information Disclosure and Engagement Methods

The final draft of the Stakeholder Engagement Plan (SEP) will be re-disclosed on the projects website and shared with all the District and Block Development Offices as well as the targeted Gram Panchayats. The SEP will be disclosed and publicly accessible throughout project implementation period. All updated versions will also be re-posted on the project portal. IP will use various methods of engagement that will be used by the implementing agencies as part of their continuous interaction with the stakeholders. The method of engagement will be constantly reviewed or its appropriateness, outreach and impact, as well as inclusivity.

Ensuring the participation of vulnerable individuals and groups in project consultations will require the implementation of tailored techniques. The vulnerable groups identified by the project include the rural population, people living with disabilities, women, and disadvantaged youth. Attention will be given to the vulnerable groups to ensure that they are not denied project benefits. This will be done by focus group discussions, monitoring participation rates, undertaking beneficiary assessments, using online platforms to allow access to otherwise disadvantaged groups, and ensuring that at least 30% of participant trainees are females. The table below summarizes the variety of methods that would be used for information disclosure to reach all the key stakeholders. A summary description of the engagement methods and techniques that will be applied by project developer is provided below. The summary presents a variety of approaches to facilitate the processes of information provision, information feedback as well as participation and consultation.

**Table 1: Methods/Tools for Information Provision, Feedback, Consultation and Participation**

<b>Method / Tool</b>	<b>Description and Use</b>	<b>Contents</b>	<b>Dissemination Method</b>
Participatory Surveys and Assessments during village planning	These surveys will be used to identify stakeholder priorities, concerns and feedback, including vulnerable households	Identification of concerns, priorities of village communities	Implemented in All project villages
Printed Material including newsletters, leaflets, brochures, fact sheets	Used to convey information on the Project and regular updates on its progress	Information on the IP, GRM, SEP and project components and interventions	Distribution through post, distribution, and handouts as part of consultation meetings, awareness campaigns, discussions and meetings with stakeholders.
Project Website	Easily accessible information on Project status.	Project achievements, announcements of planned activities, changes, and overall progress.	Information shared with project offices and target GPs through printed leaflets
Periodic Consultation Meetings at Gram Sabha, Block and District Office	These meetings will be utilised to review project implementation progress in target villages, and hear stakeholder feedback	Stakeholder Feedback, Grievances, Implementation Progress Issues	Advance Notification for Meetings
Dedicated telephone line	Designated telephone line used by the public to obtain information, make enquiries, or provide feedback on the Project.	Any issues that are of interest or concern to the direct project beneficiaries and other stakeholders.	Telephone number disseminated through websites and printed materials
Surveys, Interviews and Questionnaires	The use of public opinion surveys, interviews and questionnaires to obtain stakeholder views	Questions targeting stakeholder perception of the Project, associated impacts and benefits, concerns and suggestions.	Soliciting participation in surveys/interviews with specific stakeholder groups. Administering questionnaires as part of the household visits.

Feedback & Suggestion Box	A suggestion box can be used to encourage project affected persons to leave written feedback and comments about the Project.	Any questions, queries or concerns, especially for stakeholders that may have a difficulty expressing their views and issues during public meetings.	Appropriate location for a suggestion box should be selected in a safe public place to make it readily accessible for the stakeholders. Information about the availability of the suggestion box should be communicated as part of Project's regular interaction with local stakeholders.
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## 7. Strategy and differentiated measures for Vulnerable Groups

The project will be implementing differentiated measures to include the feedback of vulnerable and disadvantaged groups during the stakeholder engagement process under project implementation. These disadvantaged and vulnerable people are: landless and marginal farmers, transhumant nomadic groups (Gaddis and Gujjars), scheduled castes households, scheduled tribes, women headed households, people with disability, as well as households designated below the poverty line.

These main measures are presented below:

- a) identification of these disadvantaged and vulnerable households, as part of the participatory assessment exercise that will be undertaken in the GPRMP planning process;
- b) Dedicated consultations with vulnerable households during GP RMP planning, as well as during periodic review with the GPRMP;
- c) inclusion amongst beneficiaries of individual benefits as well as common assets and demonstrations,
- d) Inclusion in user groups and suitable local work/labor opportunities.
- e) Participatory planning and Implementation of animal husbandry focused interventions, especially targeting the transhumant nomadic groups (Gaddis and Gujjars);
- f) Differential, and lower, cost sharing requirements for vulnerable households in accessing individual benefits related to agriculture, horticulture, animal husbandry;
- g) Screening and mitigation planning to ensure vulnerable and disadvantaged groups are not adversely and disproportionately by project interventions.

## 8. Stakeholder Engagement Strategy during Implementation

<b>Table: Engagement during Implementation</b>				
<b>Component 1 - Sustainable Land and Water Resource Management</b>				
<b>Target stakeholders</b>	<b>Information to be disclosed</b>	<b>Tools of engagement &amp; mode of disclosure</b>	<b>Frequency</b>	<b>Responsibilities</b>
HPFD staff and relevant community organizations such as sub-groups (user groups) of the GP user groups Partnerships with other agencies Communities including women, women, youth, and disadvantaged groups.	<p>The GP-RMPs will be available in local language in the Gram Panchayat office.</p> <p>The Forest Department officials and extension workers will display information related to vulnerable households and distribution of agriculture assets, beneficiary contribution, etc. prominently in the villages covered across targeted GPs.</p>	<p>The PMU will develop GP-RMPs through a participatory process led jointly by the HPFD, Gram Panchayats and community user groups and which will ensure the active inclusion of women and disadvantaged groups.</p> <p>The hydrological models will enable the preparation of more holistic catchment area treatment (CAT) plans to improve ecosystem management and water quality and quantity based on available hydrological and sediment load modeling</p>	Every year	DPOs and PMU, HP-FD
<b>Component 2: Improved Agricultural Productivity and Value Addition</b>				
Small and marginal farmers Vulnerable households qualified support entities officials from relevant line departments (e.g., agriculture, horticulture, and animal husbandry)	<p>Information regarding common infrastructure such as power-tillers or household assets such as rain water harvesting tanks or micro irrigation.</p> <p>Pertinent information about benefit sharing mechanism.</p>	<p>Through the DPO's office and through extension workers.</p> <p>Information will be disclosed in local language.</p> <p>Door-to-door visits, audio-visual tools, leaflets, etc.</p>	Every quarter	DPOs and PMU, HP-FD
<b>Component 3: Institutional capacity building for integrated watershed management</b>				
Agriculture extension workers Social extension workers	Trainings and capacity building exercises	Circulars and government orders	Every six months	HP-FD, Agriculture Department

## 9. Roles, Responsibilities and Resources for Stakeholder Engagement

The HPFD, project management unit (PMU) will be responsible for implementing the SEP through the Environment and Social Experts at the State Level, the District Project Officer at the Districts, and the APO in the block office, and the social, forestry and agriculture extension officers who will be directly engaging with the key stakeholders. Local level project implementation units will be supported to effectively engage with primary stakeholders throughout project implementation.

IP and implementing agencies will arrange necessary training associated with the implementation of this SEP that will be provided to the members of staff who, due to their professional duties, may be involved in interactions with the external public, as well as to the senior management. Specialized training will also be provided to the staff appointed to deal with stakeholder grievances as per the Public Grievance Procedure. Project contractors and selected representatives will also receive necessary instructions for the Grievance Procedure.

## 10. Grievance Mechanism

Institutional Structure. The Project will establish a Grievance Redress Mechanism (GRM) with the aim to respond to queries or clarifications or complaints about the project and address complaints/concerns and grievances of the stakeholders. The GRM will focus on corrective actions that can be implemented quickly and at a relatively low cost to resolve identified implementation concerns, GRM will also serve as a channel for early warning, helping to target supervision to where it is most needed and identify systemic issues.

The institutional arrangement for the GRM will be established as following:

- i) Project Grievance Officer. The Executive Director of the HPFD will be the ex-officio, senior most official to act as the Grievance Officer for the whole project. The ED will hold quarterly reviews of the functioning of the GRM.
- j) State level Grievance Officer. Social Expert.
- k) District level Grievance Officer. The District Project Officer (DPO) will be the nodal Grievance Officer at the District Level responsible for receiving, tracking and resolving grievances from the stakeholders
- l) Status of Grievances received and resolved will be track through the project MIS as well as monthly progress reports from the Districts and Blocks.
- m) HPFD will be issuing an office order and necessary notifications to establish and operationalize the GRM for the project.

Grievance Channels. Project beneficiaries and stakeholders will be able to submit their grievances, feedback and inquiries to the Project through multiple channels that are summarized below.

- i) State Government Portal. The existing mechanism of State Government portal for citizen's grievances and enquires will also cover the Project. HPFD receives regular inputs from this portal on grievances that are to be addressed by the HPFD.
- j) Project specific Portal. Project will maintain a portal with dedicated mechanisms for receiving stakeholder grievances. All grievances, feedback and queries received through the project portal will be collated and compiled by the State Social Expert and

included in the progress report. The portal will also provide relevant information on the multiple channels that can be used for submitting grievances to the project.

- k) Grievance Registers. Grievance Registers will be maintained at District/Block levels to record, track and report on the inflow of stakeholder grievances, enquiries and feedback. The Grievance Registers will help with monitoring and evaluation of the functioning of GRMS.

Grievance Process. All grievances, enquiries and feedback received through the multiple channels will be tracked through a grievance log that would be maintained through the MIS. Grievances will be directed to the competent nodal grievance officer at the state, district, and block levels for resolution, with recommended timelines. The concerned Grievance Officer will be responding to the grievance/query through phone calls, meetings and letters, in order to resolve the issues. If needed site visits will be undertaken to appraise the exact nature of the stakeholder concerns. The Complainant will be made part of the grievance resolution process and kept updated of the resolution process through phone calls and formal letters. Information material on GRM will also inform the stakeholders about grievance escalation hierarchy that would help the complainant to escalate any unresolved issues to higher level officers, as well as the existing state level GRM channels of government portal and grievance committee chaired by the district collectors. The grievance redress process will be a continuous, transparent and participatory process that would be an integral part of the project's accountability and governance agenda.

GRM Monitoring and Reporting. The functioning of the GRM will be monitored by the Social Expert in the SPMU and the ED. Status and function of the GRM will be documented and shared by the Social Expert in the SPMU through periodic reports and review meetings. GRMs will also be tracked through the project MIS. Regular GRM Review Meetings will be held chaired by the ED and convened by the Social Expert of the SPMU. The Social Expert will be responsible for presenting status of all matters/ grievances received during the last quarter/month, and the action taken to resolve them. The GRM mechanism will be notified to the public and stakeholders within the 1st 6 months of project effectiveness. The project website will be posting the status of the GRM status periodically on the website of the project.

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

## 11. Monitoring and Reporting

Monitoring. The Social Expert in the PMU will be responsible for coordinating all M&E activities and ensuring that data and information from all field offices are produced and collected on time and are of sufficient quality. A web-based project management and monitoring platform to integrate the information coming from different sources and levels will

be utilized. Beneficiary communities will be supported with tools and technology to support the implementation of the GPRMPs, as well for providing feedback and grievances. Separate tracking will be done on vulnerable and disadvantaged households.

The project will be conducting an external review of the ESF implementation progress and impacts, including the implementation of the SEP. External agencies/ resource persons will be engaged to carry out this audit/review in the 3<sup>rd</sup> and 5<sup>th</sup> year of the project. The GPRMPs will be engaged in monitoring and reporting on the implementation of the GPRMP and will be providing regular feedback to the District Project Office. The Assistant Project Officer will be providing regular updates on implementation of the SEP.

The SEP will be periodically revised and updated as necessary in the course of capacity building program implementation in order to ensure that the information presented herein is consistent and is the most recent, and that the identified stakeholders and methods of engagement remain appropriate and effective in relation to the project context and specific stages of the implementation. Any major changes to the project related activities and to its schedule will be duly reflected in the SEP.

Reporting. The main instrument for reporting on SEP implementation will be the Bi-annual ESF implementation progress report, which would cover implementation of the ESMF, ESCP as well as the SEP. The biannual report will be based on regular monthly and quarterly updates from the block and district units, and these will include public grievances, enquiries and related incidents, together with the status of implementation of associated corrective/preventative. These periodic updates will provide a mechanism for assessing both the number and the nature of complaints and requests for information, along with the Project's ability to address those in a timely and effective manner. The project will be using newsletters and communication campaigns/products on the GRM and the SEP status.

The SEP update will cover key indicators related to stakeholder meetings, GP meetings, grievances received and resolved, enquiries received, participation of vulnerable people in project activities, stakeholder facing events and publications.

## **12. Budget**

A lumpsum of INR 60 lacs has been kept to cover the costs related with publications, communication material, engagement of resource persons/consultants and organization of stakeholder engagement and meetings. Additional resources from the communication, consultancy and training budget will be used for implementing the SEP.