

GOVERNMENT OF INDIA

SOCIAL MANAGEMENT FRAMEWORK

**THIRD PHASE OF THE ADAPTABLE PROGRAM
LOAN ON
STRENGTHENING REGIONAL COOPERATION
FOR WILDLIFE PROTECTION IN ASIA**

August 10, 2012

ACRONYMS AND ABBREVIATIONS

APL	Adaptive Policy Lending	SAARC	South Asia Association for Regional Cooperation
ASEAN-WEN	Association of South East Asian Nations – Wildlife Enforcement Network	SACEP	South Asia Cooperative Environment Programme
CBD	Convention of Biological Diversity	SA-WEN	South Asian Wildlife Enforcement Network
CBO	Community Based Organization	SAWTI	South Asia Wildlife Trade Initiative
CITES	Convention on International Trade in Endangered Species	SIA	Social Impact Assessment
ESMF	Environmental and Social Management Framework	SMF	Social Management Framework
GAP	Gender Action Plan	TOR	Terms of Reference
GOI	Government of India	TRAFFIC	Wildlife Trade Monitoring Network
GRC	Grievance Resolution Committee	UNEP	United Nations Environmental Programme
GTI	Global Tiger Initiative	UNODC	UN Office of Drugs and Crime
HH	Household	VRCE	Virtual Regional Center of Excellence
HWC	Human Wildlife Conflict	WCCB	Wildlife Crime Control Bureau
ICT	Information Communication Technology	World Bank	International Development Association
IDA	International Development Association		
INR	Indian Rupee		
INTERPOL	International Criminal Police Organization		
IUCN	International Union for the Conservation of Nature		
M&E	Monitoring and Evaluation		
MDGs	Millennium Development Goals		
MOEF	Ministry of Environment and Forests		
NBWL	National Board for Wildlife		
NGO	Non-Governmental Organization		
NPSC	National Project Steering Committee		
NRRP	National Rehabilitation and Resettlement Plan		
NTFP	Non-Timber Forest Products		
OP	Operational Policy		
PA	Protected Area		
PAP	Project Affected Person		
PDO	Project Development Objective		
PIC	Project Implementation Cell		
PMU	Project Management Unit		
ROSC	Regional Operational Steering Committee		
RP	Resettlement Plan		

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1. INTRODUCTION

1.1 Project Background

Natural habitats are vital for assuring sustainable development. Wild habitats are the repositories of biological diversity (biodiversity) which are the raw material for natural selection and adaptation.¹ They provide myriad services that enrich and sustain human life with both tangible and intangible economic and social value – including watershed protection, biological control of pests, crop pollination – and life-sustaining environmental services, such as breathable air and usable water. Imbalances in natural environments have been implicated in floods, declining water availability and quality, soil fertility loss, erosion, silting of rivers, poverty, the spread of diseases such as ebola, malaria, and the proliferation of invasive species. Goal 7 of the Millennium Development Goals (MDGs) seeks to reduce biodiversity loss, recognizing the link between poverty and natural resource depletion. Although quantification of economic benefits is difficult, there is strong evidence that conserving natural ecosystems, and the species that sustain it, makes sound economic sense. Moreover, given the scale of destruction in recent decades there are high payoffs to conservation with often increasing returns to the investment.

Recognizing the importance of preserving biological diversity a number of global treaties have been established. They include the Convention on Biological Diversity (CBD, 1992), the Convention on International Trade in Endangered Species (CITES, 1981), the Convention on Wetlands (RAMSAR, 1971) and international institutions have formed around environmental issues such as the United Nations Environmental Program (UNEP), the International Union for the Conservation of Nature (IUCN), the Global Environmental Facility (GEF) and a myriad of national and international Non-Governmental Organizations (NGOs). Most countries of the world have recognized the importance of conservation of both terrestrial and aquatic habitats and have adopted legislation and created institutions for the protection of wildlife and their habitats.

Biodiversity is especially important to South Asia which is home to 13 – 15% of the world's biodiversity and hosts some of the most charismatic and endangered species on Earth. The forests of Gir in India are the last refuge of the world's remaining 250 – 300 Asiatic wild lions. Habitats across Bangladesh, Bhutan, India and Nepal are home to over 65% of the 3,000 or so remaining wild tigers and the Himalayas is the last redoubt of the critically endangered snow leopard, whose numbers are unknown. India is classified as a mega-diverse country and the Eastern Himalayas (encompassing numerous countries) a biodiversity hotspot.² Reflecting its rich natural heritage, a conservation ethos is deeply engrained in the culture and history of South Asia. The first recorded conservation edicts in South Asia date to the 4th century BC when the emperor Ashoka issued royal decrees to protect elephants from hunting and capture.

¹ Particularly important are the so-called “keystone” species that generate vital ecological services. Disappearance of a keystone can trigger cascading impacts through the habitat, with the loss of one species prompting the loss of still others. An example of keystone species are the top predators who play a vital role in maintaining balance and sustaining the interconnected web of life – vegetation (biomass), herbivores and their predators. They serve as “bellwethers” for the health of the ecosystem that harbor them and their decline is often a clear signal of grave imbalances. Habitats where they thrive are typically the high-value ecosystems that provide economic value through (un-priced but life sustaining) services such as carbon sequestration, maintenance of hydrological balance, crop pollination, protection from natural disasters and soil erosion and preservation of plant genetic diversity. Large predators are thus powerful symbols of all that is irreplaceable and biologically significant in nature.

² The mega-diverse countries are a group of countries in which less than the 10% of the global land surface has more than the 70% of the land's biodiversity. Most of these countries are located in the tropics. A biodiversity hotspot is a bio- region with a significant reservoir of diversity that is under threat from humans. It was first defined by Myers in 1988 - based on well described criteria.

The charismatic appeal of many species can generate additional economic benefits from conservation. Ecotourism is globally the fastest growing and most profitable segment of the tourist industry.³ Estimates suggest that the tourism revenues from habitats rich in biodiversity – though still under-priced and far below potential – run into significant sums and contribute significantly to livelihoods of the poorest. A recent valuation study finds that, on average, each hectare of dense forest in India generates a net present value from ecotourism of about INR 65,192 (US\$1,350). With an estimated 390,000 hectares of dense forest remaining in India, studies suggest that this constitutes a total economic contribution of approximately US\$636 million.⁴ This figure underestimates the potential value of undisturbed natural habitats because it excludes the myriad other benefits that forests bring – such as timber, fodder, traditional medicines, bio-prospectivity (e.g. new medicines), non-timber forest products and watershed benefits among others – as well as the non-use (preservation) values. The distributional impacts are, perhaps, even more significant. Aside from timber, most of the benefits from forest resources accrue to the poor and account for more than 50% of their (implied) consumption.⁵ It is estimated that including these benefits would bring the economic benefits into the high billions of dollars, though more refined calculations are still in progress.⁶

Bhutan, a small Eastern Himalayan country, ranks in the top 10% of countries with the highest species richness per unit area in the world. It has been designated as one of the ten Biodiversity Hotspots in the world and the centre of 221 Global Endemic Bird Areas. The rich biodiversity of Bhutan includes more than 120 species of butterflies, 28 of which are endemic to the Eastern Himalayas, and as many as 750 plant species endemic to the Eastern Himalayas. Bhutan's ecosystems are represented by sub-tropical forests, warm and cool broad-leaved forests, evergreen oak forests, chir pine forests, alpine meadows, and more. To protect its biodiversity, Bhutan has the highest proportion of forest cover and protected areas of any Asian nation. Most Bhutanese still practice subsistence agriculture, but the agricultural system is in the initial phase of modernization. Bhutanese farmers primarily cultivate traditional crop varieties and depend on forest resources for their livelihood. Despite the Royal Government's conservation efforts, threats to biodiversity are emerging with the acceleration of economic development. Protected areas cover 26% of Bhutan's territory whereas 9% of additional land has been declared as biological corridors connecting the protected areas. With the addition of conservation areas, more than 35% of the country's area is under some form of conservation management. To ensure the conservation of ecosystem and habitat biodiversity, the Royal Government has a policy guaranteeing that at least 60 % forest cover will be maintained at all times. In addition, 26% of the total land area representing all climatic and biodiversity zones is under protected area management and an additional 9 % is set aside as biological corridors. In terms of species diversity conservation, the Royal Government is implementing several conservation programmes including the Tiger Conservation Programme and the Social Forestry Programme, which encourages local people to plant trees on private or community land. There is also an anti-poaching programme that has led to regular patrols in all protected areas to prevent poaching of animals and medicinal plants⁷.

South East Asia also covers a remarkable portion of the world's biodiversity with the habitats in the region being among the most diverse in the world. Indonesia, for example, is the world's most biologically diverse country. Laos has a rich biodiversity, particularly in its wildlife, mainly due to the

³<http://www.ecotourism.org/atf/cf/%7B82a87c8d-0b56-4149-8b0a-c4aaed1cd38%7D/TIES%20GLOBAL%20ECOTOURISM%20FACT%20SHEET.PDF>

⁴ Gundimenda H, S. Sanyal, R Sinha and P Sukhdev, 2009, *The Value of Biodiversity in India's Forests*, Deutsche Bank

⁵ See for example Gundimenda *et al* (*op cit*) and also Gundimenda H, S. Sanyal, R Sinha and P Sukhdev, 2009, *The Value of Timber and Non Timber Forest Products in India's Forests*, Deutsche Bank

⁶ These include livelihood benefits as well as the benefits that accrue from conservation (which is a pure public good). A pure public good is one that is non rival in consumption implying that the consumption by one person does not detract from its use by another. It is non-excludable in that its benefits cannot be restricted without cost (e.g. clean air, extinction are examples of a public good and a public bad respectively).

⁷ <http://www.cbd.int/countries/profile.shtml?country=bt#status>

low population density, mountainous terrain, and thus, high remaining forest cover. In Laos, the rural poor are highly reliant on forest resources. The country's non-timber forest products (NTFPs) sustain livelihoods and act as a food security net for villagers (especially the lowest income ones) living in and near protected areas. South East Asia is also experiencing a major loss of biodiversity, with primary forest cover declining by 95% and individual countries losing 70-90% of their original wilderness. The key threats to wildlife are shifting cultivation within and on the edges of protected areas, overhunting of prey species to supply domestic trade, international illegal wildlife trade for food, medicines and ornaments smuggled through porous borders to neighboring markets (China, Vietnam), weak wildlife law enforcement capacity, etc.

Beyond Asia, examples abound of conservation generating benefits for the rural poor. Nearly three-quarters of the recorded protein consumption in Africa is derived from plant sources and food from the wild, particularly in times of stress, such as drought or floods. More importantly, new models demonstrate that sustainable and (relatively) high incomes are available to poor communities from conservation and profit sharing practices of eco-tourism that prevent excessive migration and overdevelopment. Successful conservation examples include communal areas of Namibia where communities routinely earn in excess of US\$0.5 million each year from eco-tourism. Under the Masai Porini (Kenya) project, the local community leases out land to a private wildlife conservancy. Benefits in the form of an annual income of about US \$50,000 accrue to the formerly poverty stricken community. The project has helped to build schools for the community, sponsor local children through tertiary education systems, provide watering points for pastoral communities, vehicle transport and enable controllable grazing within the conservancy during times of great need.⁸

Governments in Asia are keenly aware of the benefits that biodiversity brings and the risks of biodiversity loss. The region's countries have been among the world's leaders in adopting legislation and ratifying international conventions for biodiversity conservation. South Asia – especially India – is a center of cutting-edge research on natural resource management and habitat conservation. Asia's countries have adopted legislation for protection of endangered species and their habitats. They have devoted substantial resources to habitat conservation and, more recently, to enforcement of anti-poaching legislation. For example, India has more than doubled the budget available for wildlife protection from about US\$15.3 million in 2008-09 to about US\$38 million in 2009-2010.⁹ Laos increased its budget for protected area activities to US\$300,000 in FY2009/2010 from a mere US\$10,000 in earlier years. Despite the investments, Asia faces daunting challenges that are growing more severe. Habitat fragmentation and poaching for illegal wildlife trade are the most significant threats to biodiversity.

Habitat loss. Not only do many of the high profile endangered species (such as the top predators and elephants) require large amounts of land, but their habitats need to be connected as well to assure long-term genetic survival. Through much of South Asia, the forest frontier has largely stabilized as a result of past large scale conversions of habitats (though there are notable exceptions in the conflict-prone and forested mineral and plantation belts). Approximately 5% of land in the region has been granted Protected Area (PA) status which confers varying degrees of legal and actual sanctuary to wildlife.¹⁰ But it is the forest corridors linking these PAs that are under constant and unrelenting pressure from intrusive structures, such as new roads and expanding settlements. As a result, many endangered species subsist in

⁸ <http://www.unep.org/GC/GCSS-IX/Documents/Kenya-2C.pdf>

⁹ India Today, July 6, 2009

¹⁰ The level of protection accorded legally and in practice varies considerably. In Bhutan, large tracts of land in PAs contain farms, houses a growing number of roads, logging and small industry. In India, however, the land under PA management is small (about 4.8%) and most forms of anthropogenic interference and commerce are legally discouraged from these areas.

isolated population clusters. Small, fragmented breeding populations are especially fragile and at risk of genetic bottlenecks, a condition that reduces the capacity to adapt to changing conditions.¹¹

Poaching. Though habitat fragmentation is a severe problem, it remains a medium-term threat. The most serious and immediate risk to many species is poaching for wildlife trade. Wildlife are killed for the flourishing illegal international trade in their skins, bones, flesh, fur, used for decoration, clothing, medicine, and unconventional exotic food. The primary market for many of these products is outside South Asia – often in East Asia for items of presumed pharmacological utility.

The wildlife trade is big business. But due to the clandestine nature of the enterprise, reliable estimates of the composition, volume and value of the trade remain elusive. The International Criminal Police Organization (INTERPOL) suggests that the global value of the illegal wildlife related trade exceeds US\$20 billion per year and probably ranks third after narcotics and the illegal weapons trade.¹²

Illegal trade. South Asian countries account for 13 to 15% of the world's biodiversity and so remain a lucrative target of the trade. Victims of the trade include the iconic tiger and elephant, the snow leopard, the common leopard, the one-horn rhino, pangolin, brown bear, several species of deer and reptiles, seahorses, star tortoises, butterflies, peacocks, hornbills, parrots, parakeets and birds of prey, and corals. Poaching techniques can be extremely gruesome – the more egregious methods include skinning or de-horning live animals – and transportation of live creatures in inhumane conditions.

Particularly damaging is the banned trade in tiger parts much of which is used for its presumed pharmaceutical benefits. The World Chinese Medicine Society has declared that tiger parts are not necessary in traditional medicines and that alternatives are available and effective. Yet the illegal trade still flourishes. Poaching has become so intense that tigers have disappeared from many parks throughout Asia. Nowhere has the impact been greater than in India and Nepal which remain the bastions of tiger conservation. Nepal has emerged as the transit hub for the trade in illegal wildlife commodities destined for consumption in East China. Laos is recognized as both a source and transit country while Viet Nam is a transit hub for illegal wildlife trade.

The economic value of the illegal wildlife trade is determined primarily by cross-border factors. Wildlife are poached in one country, stockpiled in another, and then traded beyond the South Asia region. Lack of uniformity in enforcement can result in migration of the trade to other countries with less stringent enforcement. The trade is controlled by criminal organizations which have considerable power over the market and the prices paid to poachers and carriers, making control of the trade even more challenging.¹³ The UN Office of Drugs and Crime (UNODC) suggest that wildlife traders have links to other organized criminal activities (e.g. narcotics), presumably a reflection of the increasing returns to cross-border criminal activities. By contrast, poaching is often carried out by local or forest dwelling populations who receive only a fraction of the final price of the product. The magnitude and complexity of the problems are such that they now frequently transcend national boundaries and call for knowledge sharing and compatible policies with renewed energy across the supply chain.

Responses. Commendable efforts have been made by all the countries in South Asia to protect their wildlife and great strides have been taken and important lessons learned. All the countries are signatories

¹¹ For as science suggests “ It is not the strongest of the species that survives, nor the most intelligent that survives. It is the one most adaptable to change.” *The Origin of Species* Charles Darwin (1859)

¹² Sinha S. 2010. Handbook on Wildlife Law Enforcement in India. TRAFFIC India/WWF India, New Delhi. Natraj Publisher.

¹³ Technically, this market structure is complex and poses regulatory challenges. The market resembles an inverted wine glass. A large number of potential poachers (forest dwellers) operate under quasi open access conditions. The poached commodity is then sold to traders – the organized gangs – who are few in number and thus operate under oligopolistic conditions (i.e. have market control) and the product is sold via retailers to a large number of consumers. Where controls are optimally applied to cause the greatest disruption is not obvious – given the imperfectly competitive “middle”. See Bulte E. H. and R. Damania “The Wildlife Trade” *Ecological Economics*, 2006.

to CITES, which was set up to promote cooperative responses to the effects of trade on endangered species. A number of regional initiatives have also emerged and include SACEP (South Asia Cooperative Environment Programme), SAWTI (South Asia Wildlife Trade Initiative), and SAARC Convention on Cooperation on Environment, but have not been resourced adequately to implement activities. Most recently recognizing the grave threats posed to wildlife from the illegal trade, all countries in South Asia agreed at the First Meeting on Illegal Wildlife Trade in South Asia convened by the Government of Nepal and held in Kathmandu on May 17-19, 2010 to develop institutional mechanisms to promote harmonized and collaborative approaches to common threats. The modalities of this agreement and the ensuing legal structures are still under discussion. Despite investments in conservation and the efforts of stakeholders, illegally traded species are in fast decline.

It is clear that no one country – acting alone – can eliminate the perils to South Asia's wild resources. Improved and more effective patrolling of protected areas (PAs) is one approach for addressing the poaching threat. However, tackling the challenge calls for a regional approach. Close collaboration is needed among nations and regions along the trade route, as well as the centers of consumption (e.g., East Asia and North America).¹⁴ In this context, an opportunity has emerged for East Asia to link or collaborate with its neighboring South Asia region in addressing common national and regional goals and strategies of wildlife protection.

Countries in South and Southeast Asia are committed to the pursuit of collaborative responses to the effects of trade on endangered species. A number of regional initiatives have emerged, such as the South Asia Cooperative Environment Programme (SACEP), South Asia Wildlife Trade Initiative (SAWTI), South Asian Association for Regional Cooperation (SAARC) Convention on Cooperation on Environment and the Association of South East Asian Nations Wildlife Enforcement Network (ASEAN-WEN). However, these organizations have not been resourced adequately to implement activities. Most recently, in recognition of the grave threats to wildlife from illegal trade, all countries in South Asia agreed at the First Meeting on Illegal Wildlife Trade in South Asia – convened by the Government of Nepal in Kathmandu in May 2010 – to develop institutional mechanisms for harmonizing and collaborating against common threats, including setting up the South Asia Wildlife Enforcement Network (SA-WEN).

¹⁴ Numerous NGOs focus on demand side management and, through the GTI, the Bank is engaging on this issue. The communications component of this project offers an opportunity to address some of these complex issues.

1.2 Need for an Environmental and Social Management Framework

The Environmental and Social Management Framework (ESMF) provides general environmental and social policies, guidelines, codes of practice and procedures to be integrated into the implementation of the World Bank-supported APL on Strengthening Cross-Regional Cooperation for Wildlife Protection in Asia (referred as Wildlife Project from here onwards). The purpose of this document is to outline a Framework for Environmental and Social Management, giving brief details of potential environmental and social issues typically associated with the planning and implementation of the project activities envisaged under the Wildlife Project and provide guidelines on how to carry out Environmental Assessments (EAs), Poverty and Social Impact Assessments (PSIAs), prepare Environmental Management Plans (EMPs), Gender Action Plan (GAP) and Resettlement Plans (RPs) where necessary to mitigate project induced negative environmental and social impacts and enhance positive environmental and social impacts of the project interventions.

An ESMF for the Wildlife Project is essential because sub-project specific environmental and social impacts cannot be precisely identified upfront before sites are selected, detailed site investigations are carried out as part of identifying specific project activities and related designs at the selected locations. The ESMF will provide the necessary background for environmental and social considerations, a checklist of potential environmental and social issues of the project activities to be considered and built into the design of the project so that environmentally and socially sustainable implementation can take place. The ESMF highlights review of relevant environmental and land acquisition legislation and operational guidelines, likely environmental and social issues due to potential activities under the project, strategies and measures to minimize or mitigate these issues, necessary institutional arrangements and mechanisms for monitoring and evaluation to be taken into consideration for integration of environmental and social aspects into the project design and implementation. Adhering to the principles and procedures and using the checklist of potential environmental and social issues laid out in this ESMF will help the implementing agencies to ensure compliance with the World Bank's environmental and social safeguard policies and the relevant provisions under the related policies of India, and associated rules, regulations and procedures. This ESMF will also serve as the guideline for the staff designated by the implementing agencies to oversee and monitor the environmental and social safeguards compliance of the respective project components coming under their implementation responsibility. Therefore this ESMF must be used as the template and guideline to ensure diligent environmental and social compliance of the planning and implementation of the activities envisaged under the project.

Although project as a whole is geared towards better environmental and social management, on the basis that the project will develop various facilities within protected areas, the project is classified as Category "B".

The objective of the ESMF is to ensure that activities under the proposed operations will address the following issues:

- Minimize potential negative environmental and social impacts as a result of either individual subprojects or their cumulative effects;
- Enhance positive environmental and social outcomes;
- Provide a mechanism for consultation and disclosure of information;
- Ensure that environmental and related social issues are thoroughly evaluated and necessary interventions are incorporated in planning, decision making, and implementation of project activities ;

- Protect environmentally sensitive areas from additional disturbance from project interventions;
- Protect human health and rights of people if affected; and
- Ensure compliance and due diligence with World Bank environmental and social safeguard policies as well as with related Government policies, regulation, guidelines and procedures as applicable to the type of project activities financed by the project.

All processes described in the ESMF can be adjusted based on implementation experience. The ESMF will be a living document and will be reviewed and updated periodically as needed.

2. DESCRIPTION OF THE PROJECT

2.1 Project Development Objective

The long-term vision of the regional program is to stabilize and, if possible, increase the population and habitats of critically endangered animals in Asia. Since wildlife and habitats cross administrative boundaries and because knowledge and capacity vary widely across and within countries, a regional approach is needed to address cross-border issues, build synergies, share skills, knowledge and experiences and build regional collaboration for the conservation of critical habitats and ecosystems.

The project development objective (PDO) is **to assist the India and other participating countries to build or enhance shared capacity, institutions, knowledge and incentives to collaborate in tackling illegal wildlife trade and other selected regional conservation threats to habitats in border areas.** The project will focus on a selected set of country-specific initiatives as well as key mutually agreed regional activities that are crucial to attaining the regional strategic goals.

2.2 Project Descriptions

The third phase of the regional project has two main focal areas: (i) strengthening institutional capacity for India to take a leadership role in regional cooperation in wildlife conservation in South Asia; and (ii) institutional strengthening and capacity building to address the illegal wildlife trade in cooperation with regional countries. The interventions would enhance the capacity of the Wildlife Division (WD) of India's Ministry of Environment and Forests (MOEF) to play a leadership role in wildlife conservation policy and strategic management initiatives to enhance cross border wildlife conservation and management in collaboration with neighboring countries and strengthen institutional capacity of the Wildlife Crime Control Bureau (WCCB) to effectively address wildlife trafficking in the region. The other countries participating in the regional project have common borders with India. Therefore, not only is India's participation in the regional project crucial, India needs to play a leadership role in policies and strategies for cross border cooperation in wildlife conservation and management which would control against the adverse impacts of the illegal trade. A landscape management approach to management of cross border ecosystems between the countries participating in the regional project is needed to ensure the long term conservation of charismatic and flagship species like the Royal Bengal Tiger, Asiatic Lion, Indian Elephant, One Horned Rhino, Asiatic Black Bear and Red Panda, to name a few. Since flagship species require vast contiguous habitats for effective, long-term conservation, protected area management policies that are compatible with neighboring countries and operationalization of cross border corridors to ensure landscape level connectivity is essential for the survival of flagship species. It is critical that these species are managed effectively not only in the designated PAs within India but also along the corridors to ensure the connectivity of ecosystems across national boundaries. Conservation of Asia's flagship species would lead to improved natural habitats for all species and, ultimately, healthy ecosystems for South and South East Asia.

India's participation represents the third phase of the regional project with Bangladesh and Nepal participating in the first phase and Bhutan joining in the second phase. At the November 2010 meeting of conservation officials from Bangladesh, Bhutan, India and Nepal, the participants discussed the project's regional issues and agreed to adopt specific mechanisms for collaboration in addressing the threats to wildlife and habitats. Indeed, the officials committed to join the Regional Policy Steering Committee (a regional governance structure under the project) for ensuring regional coordination as soon as the Committee is established and work towards institutionalization of regional cooperation in wildlife conservation in South Asia.

2.2.1 Project components

Component 1: Capacity building for wildlife conservation and cooperation for addressing the illegal trans-boundary wildlife trade (US\$21.6 million)

Component 1 aims to bring about regional harmonization and collaboration in cross border wildlife conservation and management, combating wildlife crime through strengthened legislative and regulatory frameworks, well-equipped specialized agencies and systems, as well as relevant training and awareness programs for staff across the range of agencies that contribute to the enforcement of wildlife laws and regulations. The component will support strengthening WD's capacity for policy development and analysis. Additionally, the project will strengthen MOEF's leadership role and strategic approach to regional coordination in wildlife conservation. This role will be supported by implementing agencies under the jurisdiction of the ministry, such as WCCB. Targeted interventions are envisaged under the project for WCCB which is mandated to control illegal wildlife crime and trade. The interventions under this component are aimed at strengthening WCCB's role as a regional leader in wildlife crime and trade control. Two broad areas are identified for assistance: (i) technical assistance for monitoring, evaluation, policy analysis and the development of WD to play a leadership role in regional cooperation in wildlife conservation and management; and (ii) strengthening WCCB for effective control of illegal wildlife crime and trade in cooperation with regional countries; Under these two broad areas, specific activities which enhances India's role in regional capacity building, cooperation and coordination will be supported.

Sub-component 1.1 Institutional strengthening for monitoring, evaluation, policy analysis and research for development of Wildlife Division and implementing agencies under MOEF (US\$ 9.1 million): Activities supported under this sub-component would result in strengthening the ability of WD/MOEF to better discharge its mandate in policy development and regulation and play a leadership role in regional collaboration and cooperation in wildlife conservation and management. This will be achieved through technical assistance for policy studies, development of monitoring and evaluation systems, support for modern field, research and IT equipment, staff training and capacity building including study tours and exchange programs with regional and international conservation agencies and support for institutionalizing regional coordination of wildlife protection and conservation. Key outputs of this sub-component would be:

- Improved institutional capacity in WD/MOEF in the areas of policy analysis, monitoring and evaluation;
- Strengthened capacity of technical staff in select implementing agencies under the jurisdiction of MOEF in effective collaborative wildlife conservation and management;
- Improved technical skills of staff in state agencies in participatory wildlife conservation and management, particularly in cross border areas;
- Effective policy recommendations for mainstreaming conservation in the development process, including landscape approaches to conservation;
- Progress towards institutionalizing regional collaboration and coordination in wildlife protection, conservation and management in South Asia.

Sub-component 1.2 Capacity building and training for Wildlife Crime Control Bureau (US\$12.5 million): The WCCB was established by the Government of India (GOI) as a response to ever increasing incidents of wildlife crime. The mandate of WCCB includes facilitation of coordinated universal action against wildlife crime and fulfillment of relevant international obligations of GOI and coordination with national and regional agencies in controlling wildlife crime. India is well placed to play a prominent role in the South Asian region in this regard. India proposes to assist regional countries in curbing wildlife crime rates through improved information, communications and coordination, better legal frameworks, judicial

awareness and reforms. WCCB has a unique advantage in this since no other neighboring country has an institution dedicated to wildlife crime control. But WCCB is in the early stages of its evolution and GOI approved expanding WCCBs cadre by over 300 new staff. This sub-component will support WCCB strengthen its mandate through an institutional development program and comprehensive capacity building program. The key outputs would be:

- development and installation of a wildlife crime and criminal data network;
- establishment of a service laboratory for wildlife forensic testing for India and regional countries;
- institutional development, capacity building and training for WCCB through a twinning arrangement with US Fish and Wildlife Service;
- establishment of a regional center of excellence for training on wildlife crime enforcement and investigation, including training and capacity building for staff from regional countries;
- studies and research on wildlife crime; and
- programs for exchange of technical knowledge with internationally renowned institutions and centers of excellence on wildlife crime and trade control.

Component 2: Promoting wildlife conservation in Asia (US\$4.6 million)

Sub-component 2.1: Virtual Regional Center of Excellence (VRCE) for wildlife conservation (US\$0.5 million) The VRCE seeks to fill crucial knowledge and information gaps in addressing regional threats to conservation. It entails the creation of VRCE that would include a network of scientists and practitioners whose mission would be to expand the scope and quality of research in wildlife conservation needed to develop a common response against illegal wildlife trade in and outside the region and to address other regional conservation and landscape level issues to be agreed by the participating countries.¹⁵ For all participating countries to benefit from knowledge sharing efforts, VRCE could sponsor the creation of a local networking forum in each country to facilitate exchange of research information, collaboration and coordination of country level institutions involved in wildlife conservation research. Coordination of the forum in India would be facilitated by WD.

VRCE would provide the first (and only) coordinated, institutional response for research and knowledge dissemination on wildlife conservation in South Asia with possible links to analogous efforts in East Asia.¹⁶ The exclusive focus will be on either promoting a conservation-related regional public good or addressing a regional public bad. Given the existence of national institutions with expertise in this area already, it is critical for VRCE to bring value-added and not duplicate existing efforts. By playing the role of coordinator and facilitator of knowledge and expertise, VRCE could become a vehicle for promoting dialogue and good practices as well as disseminating knowledge. Because VRCE will be virtual and will have no central physical facility, it will rely heavily on state-of-the-art information and telecommunication technology (ICT) to conduct its business and to attain its objectives. A Regional Operational Steering Committee (ROSC) – described in Section IV – would assist in the development of VRCE’s overall program and objectives.¹⁷

¹⁵ Knowledge generation and research within the VRCE would focus primarily on conservation and species management research. Better management of PAs, species and stronger conservation would enable the establishment and maintenance of systems and mechanisms to address the threats to wildlife due to poaching and illegal trade.

¹⁶ Laos and Vietnam may join the VRCE at a later stage. Connection to other knowledge hubs and centers of excellence in Southeast Asia and Africa may be established through the relevant partnership mechanisms under the Global Tiger Recovery Program and the South-South Experience Exchange Program, respectively.

¹⁷ VRCE would be managed by a director and this position is envisaged to rotate among the participating countries to assure appropriate ownership and representation.

VRCE would build on existing regional and global environmental initiatives and benefit from established experience, mechanisms and protocols. It would draw on strategic partnerships with renowned wildlife conservation institutions in the region and elsewhere. It would develop an active *knowledge dissemination program* and the key outputs from this sub-component would include:

- publication of research and pilot project results;
- sponsorship of workshops, lectures and seminars;
- special seminars aimed at decision makers in the participating governments (legislators, administrators and policy makers);
- training modules and teaching materials for wildlife managers; and
- development of protocols for informing policy and wildlife managers in the field.

Sub-component 2.2: Innovative research and pilot projects with a regional dimension (US\$4.1 million)

To sharpen incentives, promote demand-driven interventions and encourage attention to regional conservation benefits, this sub-component involves a funding window for innovative research and pilot projects with a regional dimension. Support would be provided for innovative research and pilot projects that would contribute towards more effective conservation at the national and regional levels. A competitive, demand-driven approach to reward innovation and efficiency of the staff of WD, WCCB and other implementing agencies under its jurisdiction, would be applied in selecting the activities that would receive support under Windows 1 and 2. A transparent review and approval process for proposals submitted for funding through this window will be developed and implemented. The eligibility criteria (including a negative list of activities) will be specified in the operational manuals to be finalized prior to disbursement. In line with the request of GOI, no field based activities within protected areas will be supported under this funding window. Since the precise activities to be supported under this funding window would be identified only during the preparation of the funding proposals, only a typical list of potential activities can be assumed at this stage. WD has prepared an environmental and social management framework which will be used to ensure that activities funded under this window have no adverse environmental and/or social impacts. Potential activities that would supported under this funding window include:

- Research in endangered species conservation;
- Preparation of endangered species recovery plans;
- Pilot programs in human wildlife conflict management models with financial and other incentives to encourage human wildlife coexistence;

Component 3: Project coordination and communication (US\$3.8 million)

Sub-component 3.1: Project management and monitoring (US\$ 0.8 million) This sub-component would focus on project management and monitoring. MOEF will be responsible for overall project implementation although specific components/activities will be implemented by WD and WCCB. MOEF will create a National Project Steering Committee (NPSC) responsible for overall project oversight at the country level. Day to day project management will be undertaken through a project management unit (PMU) at WD. The PMU will be responsible for implementation of the WD component and coordinate and monitor WCCB component. WCCB will establish a Project Implementation Cell (PIC) which will be responsible for the day to day operations of the activities to be implemented by WCCB.

Sub-component 3.2: Project communications (US\$3.0 million) The project will adopt a multi-pronged approach to communications in order to meet regional and local challenges. In addition to relying on the regular communications mechanism of WD and WCCB, the project would support a public awareness campaign with targeted at illegal wildlife crime and wildlife conservation. Additionally, a wide range of consultations with various stakeholder groups will be conducted at the national and local levels. It is expected that rolling consultations will continue throughout the project cycle. The communications sub-component – that is being developed and implemented in collaboration with the World Bank’s external relations specialists – will harmonize with GTI in view of the latter’s broader geographic mandate to engage in demand side management.

3. SOCIAL MANAGEMENT FRAMEWORK

Subproject interventions proposed under this project are expected to be small and cause minimal negative social impacts. Land acquisition and resettlement are unlikely and discouraged under the project. However, as a precautionary measure, a Social Management Framework (SMF) has been prepared to address unavoidable impacts that may arise from: (i) loss of structures; (ii) loss of livelihood systems/income opportunity (due to loss of access to productive resources or impact to a structure where a livelihood activity is being carried out); and (iii) loss of community property resources (religious structures, grazing land). The framework guides the compensation for lost assets, livelihoods, community property, and resettlement and rehabilitation of project affected people in accordance with the World Bank's Operational Policy 4.12 on Involuntary Resettlement and GOI guidelines and legislation for similar circumstances. Stakeholder consultations and social screening during the feasibility stage of each activity will identify and categorize the level of impacts and what modalities need to be followed for defined losses to the project.

3.1 Definitions

3.1.1 General Definitions

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

Project Affected Persons (PAP) includes any person or persons, households, a firm, or private or public institution who, in the context of loss of assets and change in land usage, as of the cut-off date, on account of the execution of the project, or any of its subcomponents or part, would have their:

- Standard of living adversely affected;
- Right, title, or interest in any house, land (including residential, commercial, agricultural and grazing land) or any other moveable or fixed assets acquired or possessed, in full or in part, permanently or temporarily adversely affected; or
- Business, occupation, places of work or residence or habitat adversely affected, with or without displacement provided such occupation is legal under applicable law.

PAP means persons or affected household and consists of all members of a household residing under one roof and/or operating as a single economic unit, who are adversely affected by a project or any of its components.

Household (HH) is a group of persons who commonly live together and would take their meals from a common kitchen.

Replacement Cost means and includes an amount needed to replace an asset at current value including depreciation and overhead expenses of the transaction, including stamp duty and registration charges, as follows:

- Agricultural land based on its productive potential;
- Residential land based on market value;
- Houses and other related structures based on current market prices of building materials and labor, without depreciation and deductions for salvaged building materials, plus transaction costs (such as administrative charges, registration and titling costs), etc.;
- Trees, crops and plants on current market value; and;

- Other productive assets like shops and commercial assets based on market value of similar location attribute, i.e. premium, etc.

Cut-off date is the date prior to which the occupation or use of the project area makes residents/users of the project area eligible to be categorized as affected persons. In many projects, the cut-off date coincides with the commencement of the census of affected persons within the project area boundaries. Persons not covered in the census will not be eligible for compensation and other entitlements. *For PAPs with legal titles the cut-off date would be the date of issue of legal notice under the Land acquisition act. For those without titles, the cut-off-date will be the date of commencement of census.*

Land: The term land refers to land acquired under the land acquisition act of the given country or through private transactions.

Squatters are persons who occupy / possess an asset without legal title.

Encroachers are those owners of land adjacent to public property, who have illegally extended their land holdings or structures into the public land.

Vulnerable groups: These are distinct groups of people who might suffer disproportionately or face the risk of being marginalized from the effects of the project and include: (i) female headed households with dependents, (ii) disabled household heads, (iii) households falling under the generally accepted indicator for poverty, (iv) elderly households with no means of support and landlessness, and (v) indigenous people or ethnic minorities.

Severely Affected households: These are households that will be affected by any one of the following : (i) Significant loss of income (> 50%) and (ii) Loss of accesses to productive resources for those whose livelihoods depends on these.

3.1.2 Social Assessment

Categories of Impacts

Loss of land and assets due to Land acquisition and large scale loss of livelihood are highly unlikely under this project. Following are basic categories of issues/impacts may take place under this project,:

- a) Loss of structure;
- b) Loss of source of livelihood;
- c) Loss of access to common resources and facilities;
- d) Loss of standing crops, trees and perennial trees; and
- e) Loss of public infrastructure.

Impacts and Entitlement Framework

Entitlements for compensation and rehabilitation assistance to different categories of PAPs that are likely to be applicable for this project are described in the following sub-sections of this section:

I. PAPs losing Agricultural Land

- (a) When the portion of the land to be lost represents 20% or less of the total area of the land-holding, cash compensation at full replacement value, will be provided to the PAP except where the portion of a landholding is critical to livelihoods such as alluvial plains. Where significantly large or entire land holding is affected by the project, the general mechanism for compensation of lost agricultural land will be through provision of "land for land" arrangements of equivalent productivity and at location acceptable to the PAP. In case suitable replacement land is not

- available, at the PAPs request cash compensation at replacement cost will be provided. Because many rural dwellers and poor people may be unaccustomed to managing large sums of cash, compensation payments would be made with supervision by appropriate personnel to assure that the beneficiary makes good use of the compensation received. In cases where only partial land is affected but the remaining land becomes economically unviable, the PAP will be entitled to compensation for entire holding at full replacement value or land-for-land option.
- (b) The replacement agricultural land will be provided to the PAP free of any tax, transfer costs, registration fee or charges.
 - (c) PAPs whose land is temporarily taken by the works under the Project will be compensated at replacement cost for their net loss of income, damaged assets, crops and trees, as the case may be and their landholding will be restored at least to its original condition or improved.
 - (d) Affected tenants and leaseholders on the agricultural land will be compensated for the market value of the gross harvest for one year's production or the remaining period of the tenancy agreement/lease, whichever is greater.
 - (e) Affected agriculture labor will be compensated for the loss of income and will be paid compensation equivalent to the six months wages and assisted in getting alternative employment.
 - (f) Squatters and encroachers will not be entitled to compensation for affected land.

II. PAPs losing Structures

- (a) The mechanism for compensating loss of other structures if established legally or is considered as a right as per the country regulations (example: benefits defined for indigenous peoples) will be cash compensation reflecting full replacement cost of the structures, without depreciation.
- (b) Affected households will also be entitled to a transfer/shifting allowance and a transition allowance for three months. Vulnerable squatters will also be provided with relocation assistance through viable options and assistance packages to choose from.

III. Loss of Income or employment

Alternatively, income rehabilitation package would be provided to the PAPs for re-employment, training in other trades and skills, agricultural inputs and extension services support, or for starting a new business depending upon their needs and priorities. The type and level of assistance required will be decided in consultation with the PAPs. Furthermore, parties that will be temporarily affected will not be eligible for cash compensation but will be consulted to have a minimization of impacts.

IV. Loss of standing crops and trees

- (a) PAPs will be entitled to cash compensation equivalent to market value of crops and trees *based on the type, age and productive value of affected trees*.
- (b) Compensation for all types of affected assets will be provided at replacement cost.
- (c) PAPs will be provided with compensation at full replacement cost, without depreciation for any other fixed assets affected in part or in full by the project.
- (d) All PAPs severely affected by the project due to the loss of productive assets, incomes and employment will be entitled to the income rehabilitation assistance including income restoration programs, training to improve skills or other assistance for self-employment depending upon the needs and priority of the affected PAPs. These rehabilitation measures would specifically focus severely affected PAPs, vulnerable groups and those who are either below the poverty line or those severely affected by the project due to the loss of productive assets or are likely to fall below the poverty line.

- (e) In cases where community infrastructure such as religious facilities, water resources, roads, etc. is affected, project implementing agencies will ensure that alternatives will be provided at no cost to the community. Furthermore alternative routes will be identified if necessary.
- (f) PAPs without any legal title or ownership right to the land they occupy will be compensated for all their lost assets such as structures, fixed assets, etc. at full replacement cost and provided assistance in finding suitable relocation site. The relocation site would, as far as possible, contain the access to facilities and services better than or at least equivalent to the one lost and provided with tenure security.
- (g) In case of other unforeseen impacts not covered above, appropriate measures would be determined keeping in mind the overall objective of this policy.

Social Implications to be taken into Consideration

Mitigating adverse impacts: Before taking possession of structures and before start of activities, PAPs will be paid compensation and other assistance in full. Where PAPs are entitled to relocation, the relocation site will be fully developed before the PAPs are displaced. The project will ensure that the standard of living of all affected persons is restored to the level enjoyed before the commencement of the project, and, if possible, improved.

Compensation at Replacement Cost: Market surveys are required to establish fair rates for assets lost by squatters, so that they may replace those at current prices and for crops and trees lost by share-croppers, tenant farmers and lease-holders.

Entitlements to affected people without legal rights to land: Lack of ownership does not imply ineligibility for compensation rights. The lack of legal tenure to land or assets will not be regarded as a criterion for withholding financial compensation or assistance in relocation in the project. Resettlement and Rehabilitation assistance shall be provided to all eligible project affected including squatters and encroachers.

Measures to avoid illegal occupation of land identified for project activities. The preparation of a Resettlement Plan will require that an early cut-off date, preferably at the time of the baseline survey, is established. The implementing agency will ensure that the information on cut-off date and eligibility are provided to the people with the clear understanding that anyone illegally occupying the land after the cut-off date will not be entitled to any compensation and/or assistance. The implementing agencies will also take appropriate measure to ensure that all lands that is identified for project activities remains clear of squatters. Experience shows that the most effective means of preventing reoccupation of cleared land is to enlist local communities in the prevention and reporting of such occupations.

Relocation of displaced squatters: Affected households will be provided with viable options for relocation to choose from that may include, among others: self-relocation; special package for transfer to the place of origin; and relocation to a suitable resettlement site on other public lands in the vicinity. Where attempts to find suitable relocation sites are not successful or the locations of identified sites are not acceptable to the PAPs, other options will be considered in consultation with the World Bank.

Social Networks: Planning must take into account existing social networks such as families, clans, religious groups, cooperative labor arrangements and the like. The goal of any dislocation or land acquisition should be to minimize disruption of existing social networks.

Entitlements: Compensation amounts will be based on the principle of replacement value. The exact value of compensation and replacement cost will be different for each activity and will be based on an

economic and social survey of the area of the activity and of affected persons. Entitlement matrix is provided in Annex 5.

Potential Social Impacts of the Project and Mitigation measures

Activity	Environmental Impacts	Magnitude of Impacts	Mitigation Measures
Technical assistance for policy studies, development of monitoring and evaluation systems, support for modern field, research and IT equipment, staff training and capacity building including study tours and exchange programs with regional and international conservation agencies and support for institutionalizing regional coordination of wildlife protection and conservation	Opportunities for employment, promotions and training	H positive	-
Development and installation of a wildlife crime and criminal data network	-	-	-
Establishment of a service laboratory for wildlife forensic testing for India and regional countries	Nuisance to the neighboring communities	M negative	Laboratory shall be sited away from residential areas, close to surface water/ shallow ground water table and set up in a land with considerable space.
	Squatters on the selected site	L negative	The GOI will allocate a government/publicly owned land free from encumbrances. In case of presence squatters/encroachers on the Site identified for setting up the laboratory, either the site shall be dropped or the entitlements as per the entitlement framework shall be extended to all those found eligible prior to initiation of civil works.
Creation of virtual regional center of excellence	Governance issues such as non-representation and lack of ownership	M negative	The Regional Operational Steering Committee will ensure governance of VRCE With the rotational directorship among participating countries will ensure ownership and representation
Human-wildlife conflict management	Safety of community members participating such as for animal immobilization and containment	L negative	Use of only trained personal/villagers to carry out such activities Provision of safety equipment, first aid and equipment/vehicle to transport injured persons to hospitals
	Change of land use	H negative	The Resettlement Policy Framework

	practices		<p>outlines the process whereby stakeholder consultations with communities, who are affected by HWC, should be an integral part of developing pilot projects. Stakeholder consultations can reduce or eliminate any disparities that may exist between research findings and real-life experiences – and research into IPs supposedly more harmonious coexistence with wildlife would also be very valuable for developing suitable pilots.</p> <p>Since the local communities are the major stakeholder (and victim) in the HWC, their views and perceptions on resolving the issues are essential. Consultations with community members must also discuss the impacts the project is likely to have on their land use patterns and livelihoods derived from the PAs. The community can also be given the opportunity to suggest solutions for their problems as well.</p> <p>The establishment of local-level GRCs to handle any grievances is also necessary to ensure equitable opportunities and benefits from the project to the affected communities.</p>
	Changes to livelihood patterns	H negative	
	Restrictions to movement of communities	L negative	
Pilot programs in endangered species recovery	-	-	-

Impact categorization: H – High; M – Medium; L - Low

3.2 Assessments and Documentation

3.2.1 Preliminary Screening

During the identification and preliminary stages of any activity preparation, the implementing agency will employ the screening check-lists designed for the project. If displacement of people such as squatters is expected a preliminary Assessment to identify the types, degree and scale of potential social impacts of the activity will be undertaken via the check-list (attached in Annex-1). In cases where the preliminary assessment indicates that the potential adverse impact of the proposed project will be significant, appropriate preparation will be done for further surveys and consultation with key stakeholders.

3.2.2 Identification of need for Resettlement Plan

It is understood that given the short time allowed between the identification and the actual implementation of those activities with social implications, the preparation time for activities will be minimal. Given the above time constraints, there will not be enough time to conduct a full scale Social Impact Assessment (SIA) for each activity. However where the preliminary screening based on the check-lists demonstrate and loss of assets or livelihood because of project activities, the implementation agency will be responsible for the production of a Resettlement Plan (RP.) The census and the inventory of affected assets will cover all PAPs, regardless of entitlement or land ownership. Criteria for vulnerability

of PAPs should be paid particular attention in order to provide additional assistance. All data should be maintained on computerized data management system to facilitate analysis and M&E.

The Inventory of Losses must record both permanent and temporary impacts on livelihoods and, and these must be mitigated in accordance with the Entitlements to ensure that livelihoods are restored.

3.2.3 Social Assessment (SA)

When the sites for specific activities particularly under *Sub-component 2.2: Innovative research and pilot projects with a regional dimension* are identified and if, according to the substantive social effects are anticipated a social assessment (based on PRA techniques) will be undertaken to identify project beneficiaries, particularly focusing on poor, impacted people and other relevant stakeholders. The SA will utilize a well-planned and all-inclusive communication and consultation strategy around the innovation and its social effects and include a baseline survey covering the prevailing status of income, employment, education, age, skills and other socio-economic aspects along with cultural and community aspects in the areas. The assessment will feed into impact monitoring of the innovations.

3.2.4 Resettlement Plan (RP)

Resettlement Plan: In cases where the adverse impact on assets and livelihoods are identified an Resettlement Plan should be prepared. It should briefly document consultation with PAPs, provide a census survey of project affected persons and/or valuation of assets (according to current market prices determined via a market survey), demonstrate the establishment of a cut-off date via the distribution of identity cards to those entitled; description of compensation and other resettlement assistance to be provided, institutional responsibility for implementation and procedures for grievance redress, arrangements for monitoring and implementation, and a timetable and budget. In acknowledgement of the fact that that project preparation time will be very brief, these documents can be allowed to be simplified and concise, as long as the key points mentioned above are documented.

For activities under the project causing loss of assets and livelihoods at any scale, the implementing agencies will be responsible to ensure compliance with the Bank policies including keeping records of actions undertaken (the simplified and abbreviated RP) demonstrating that appropriate mitigation actions and compensation took place before physical displacement of PAPs. The implementing agencies will be responsible for overall compliance with the requirements of this framework including applying the check-lists to all activities and for producing RPs and SAs where necessary. Random audits will be performed on this batch of activities to ensure compliance. Entitlement matrix is provided in Annex 2.

3.2.5 Social Safeguards Monitoring and Evaluation Approach

No private land acquisition is expected to take place under the project. Since most activities will be carried out in rural settings where squatters are not widely found, no major displacement is expected. Due to nature of activities and the approach taken, as well as the exact sites of intervention are not known, the implementing agencies will use the screening procedures outlined earlier to identify, assess, evaluate, mitigate and monitor social impacts of each activity/sub-project. These procedures include the following key points.

- The Project implementing agencies will be responsible to screen all of their sub-projects using a check-list to identify possible social impacts related to either land acquisition resettlement or the presence of IPs in the project areas;
- No involuntary land acquisition is anticipated under the project. If small quantities of land are at all required for some sub-projects (though this is unlikely), it may be acquired on a voluntary basis on willing buyer-willing seller terms where permissible. All land transactions will be

recorded. The framework provides guidelines to comply with World Bank and respective government requirements.

- Although no land acquisition or displacement of squatters is anticipated under this project, if the activities/sub-projects trigger land acquisition and/or are expected to impact squatters or economically displace less than fifty families, an Abbreviated Resettlement Plan (RP) will be prepared by the implementing agency using the procedures and guidelines outlined in this chapter. For activities/sub-projects that trigger the displacement of more than fifty families, a brief Social Impact Assessment will also be carried out, based on which a more detailed RP will be produced. The implementing agency may hire specialist consultants in preparing the RP.
- For projects that only affect small numbers of squatters on public land (e.g. less than 50 families), the implementing agencies will be responsible to ensure compliance with the Bank policies (incorporated in the Resettlement Policy Framework) including producing the RP and keeping records of actions undertaken. It is expected that the vast majority of sub-projects will fall in this category. The Bank will sponsor an independent verification and validation study by a third party monitoring agency via a random audit based on a sample of activities/sub-projects to ensure that adequate safeguards were in place, in line with the provisions of the SMF.
- For the activities/sub-projects requiring, social assessment, Resettlement Plan as well as those involving impacts on Indigenous People a third-Party audit will be undertaken to assess compliance with the requirements. The implementing agencies will be responsible for carrying out implementation of the SMF. The Bank will review the results of the audits on a sample basis.
- Potential monitoring indicator identified in Annex 3 will provide the basis to undertake audits.

3.3 Grievance Redressal Mechanism

Despite best efforts to arrive at fair rewards in a project involving possible livelihood compensation and moving of squatters, there are always a few unsatisfied citizens. The implementing agency will make efforts at project level to resolve grievances through negotiations *involving community leaders and PAP's representatives*. In case dispute is not resolved at local level, the matter will be placed before a Grievance Resolution Committee to be established at the regional level.

The Grievance Resolution Committee (GRC) shall be constitute a panel of at least four Members, one of whom shall be the field-based project staff (at the respective sites), to be selected by the implementing agency. S/He will be responsible to provide secretarial support to the panel. It will include a representative from the residents of the project area, who would be publicly known to be a person of integrity, good judgment and commands respect, who can be considered independent and will chair the GRC. Other persons would be at least one representative from local Government bodies or NGO/CBOs and a representative from the PAPs in the area.

The designated project staff shall:

- Convene meetings of the committee as necessary at such place or places in the project area as s/he considers appropriate; and
- Provide all necessary secretarial support to the committee including recording of the committee meeting discussions and dissemination of deliberations and decisions taken to all concerned parties.

The chair of the GRC shall:

- Conduct the proceedings in an informal manner as s/he considers appropriate with the object to bring an amicable settlement between the parties;

The report of the members shall be recorded in writing and attested copies thereof shall be provided to the parties. In case of continuing differences and notwithstanding the provisions of nationally applicable legislation, the GRC can take a decision regarding entitlement and compensation. The decision taken during negotiations and GRC meetings shall be formally recorded for future reference and presentation in the court, if necessary.

If the matter cannot be resolved at the regional level, complaints will be referred to the Project Director, who will head a committee that includes the Social Management Specialist, the respective PAP representative and members of well-known national level NGO/Community-Based Organization (CBOs). All expenses incurred in arranging grievance negotiations and meetings of GRC as well as logistics required, shall be arranged by project-executing agency. These will be part of the project's administrative expenses.

The aggrieved PAP, if not satisfied with the decision of Grievance Resolution Committee, has the right to refer his / her petition to court of law.

3.4 Public Consultation and Participation

Public consultation is the cornerstone of all project activities. As such, the PAPs will receive prior information of the compensation, relocation and other assistance available to them where applicable; planning and implementation for the acquisition of land and other assets will be carried out in consultation with the PAPs.

The implementing agency will be responsible to carry out continued consultation with and information dissemination to the key stakeholders regarding:

- The relevant details of the project;
- The resettlement plan and various degrees of project impact;
- Details of entitlements under the resettlement plan and what is required of PAPs in order to claim their entitlements (a copy of the entitlement matrix will be provided to the PAPs);
- Compensation process and compensation rates;
- Relocation and resettlement site development operation in order to obtain agreement and support of affected people in participating in these operations;
- Implementation schedule with a timetable for the delivery of entitlements, and
- Detailed explanation of the grievance process.

The implementing agencies shall enlist the help of community leaders and other influential community officials in encouraging the participation of the PAPs in resettlement activities. Finally, they shall attempt to ensure that all vulnerable groups and indigenous peoples/ethnic minorities understand the process and that their needs are specifically taken into consideration.

Public participation will be performed and information will be made available during preparation and implementation of the resettlement plan and at the minimum includes community meetings and focus-group discussions. Public consultation must be appropriately documented.

3.4.1 Consultation Strategy

As required for informed consultation, concerned implementing agency will provide PAPs with all activity-related information, including that on potential adverse impacts in a language familiar to and understandable by the PAPs. To facilitate consultation the implementing agency will,

- Prepare a time-table for dialogues during activity selection, design and implementation processes, and consult them in manners so that they can express their views and preferences freely.
- In addition to the communities in general, consult community organizations, community elders/leaders and others with adequate gender and generational representation; and civil society organizations like NGOs and groups knowledgeable of issues related communities living within PAs/GFRs.

Consultation will include the activity objectives and scope; the likely key adverse impacts on (and benefits for) communities; communities' own perception of the impacts and feedback; and a preliminary assessment of economic opportunities which the implementing agency could promote – in addition to mitigation of the adverse impacts.

Consultation will in general concentrate on the adverse impacts perceived by the communities and the probable (and feasible) mitigation measures, as well as exploring additional development activities that could be promoted under the project. The implementing agency will keep Minutes of these consultation meetings in the activity files and make them available for inspection by World Bank, respective government officials and other interested groups and persons.

If the presence of people is identified in the sub-project area, based on the baseline data appropriate social tool will be adopted using free, prior, informed consultation. This will serve as the basis for sub-project implementation and monitoring.

3.4.2 Key Impact Areas and Indicators

The following major impact areas and indicators are suggested for assessment of PAPs concerns and social risks.

a) Cultural Characteristics

- Relationships with areas where they live -- relating to religious/cultural affinity with the ancestral lands, existence of livelihood opportunities, etc.
- Presence of customary social and political organizations – characteristics indicating internal organization and cohesion of the communities, and their interaction with those of the non-indigenous population.
- Interactions and relationships with other indigenous peoples' groups in the same and other areas.
- Presence of organizations, like NGOs and CBOs, working with community development issues, and their relationships with mainstream organizations engaged in community development activities.
- Identification of any cultural aspects likely to be affected or made vulnerable because of the proposed development works.

b) Settlement Pattern

- The extent to which the settlements are physically separated from those of outside PAs/GRFs, indicating interactions and mutual tolerance between the groups.

- Characteristics indicating physical organization of homesteads, and the existing community facilities, such as schools, water supply, etc.
- Present distance between the settlements and the participating institute.

c) Economic Characteristics

- Prevailing land tenure -- indicating legal ownership and other arrangements that allow them to reside in and/or cultivate the lands in their areas.
- Access to common property resources -- prevailing conditions under which they may have been using natural resources like forests, water bodies, and others that are considered important sources of livelihood.
- Occupational structure -- indicating relative importance of household's present economic activities, and the extent to which they might be affected or benefited because of the proposed activity.
- Level of market participation -- engagement in activities that produce marketable goods and services, and how and to what extent market participation would be affected or enhanced.

4. GENDER DEVELOPMENT FRAMEWORK

4.1 Gender Terminology

The following provides definitions of commonly used gender terms in order to increase the utility of the gender assessment for project staff and counterparts and to support a better understanding of the framework underlying the gender assessment

Gender refers to the social, economic, political, cultural roles and relations between women and men. These roles and relations are learned, practiced, and over time they change and develop. In much of the world today, men and women are socialized differently, with different expectations of and attitudes to their roles and responsibilities. Given this reality, any development intervention may affect women and men differently, and can result in discrimination if gender roles are ignored.

Gender and Development approach focuses on the socially constructed basis of differences between men and women and emphasizes the need to challenge existing gender roles and relations. Focusing on how development impacts both women and men, given their different roles and responsibilities, helps to identify and address the power dynamics and stereotypes that result in discrimination against either sex. Some of the terms in general usage are:

- **Gender Analysis:** The process of gender analysis encompasses a set of qualitative and quantitative social science methodologies used to identify the specific gender differences present in a given society. For example, it may involve a review of data, policies, procedures, plans, budgets, and/or activities, to identify obstacles to opportunities and resources that face either sex. If the findings of gender analysis reveal discrimination against women (or men), specific programs can be designed to address that discrimination, e.g. to increase access to credit or decrease female unemployment. Often the goal of a gender analysis is women's empowerment, discussed below.
- **Women's Empowerment:** Women's empowerment encompasses strengthened capacity of women to equally access resources, opportunities and rights – political, civil, economic, social, and cultural. The term "women's empowerment" has been included because much of the gender analysis that is done reveals a backlog of discrimination against women that must be addressed. However, it is important to avoid the tendency to automatically include "women's projects" or "women's components" in development interventions. Programs must respond in two ways: a) ensure that women and men benefit equally, and b) target resources where necessary to enable one or the other to catch up.
- **Gender Equality:** This term refers to equal access by women and men to opportunities, resources, benefits and rights and responsibilities in all spheres - economic, social, cultural, civil, and political. This is the outcome of projects that have ensured that both women and men benefit equally.
- **Gender Equity:** In order to achieve equality, groups that have been previously disadvantaged may require more investment than those that have had greater access to resources. For example, if men have traditionally enjoyed more access to credit than women, a development project would target women for special and additional access to credit.
- **Gender Integration:** The process of gender integration requires incorporating the data generated through the gender analysis process to support program design, planning, implementation, monitoring, and evaluation of impacts. It contributes to strengthening the project's life cycle by

taking into account the structure of relations between men and women and their relationship to inequality. As a result, it becomes an important factor in managing for sustainable program impact.

- **Gender Mainstreaming:** Gender mainstreaming, particularly defined by the United Nations Economic and Social¹⁸ committee as guidance for bilateral and multilateral assistance and government policies, calls for employing methods, processes and institutional structures for achieving gender equality. Gender mainstreaming goes beyond gender integration as it requires the consideration of gender as a critical element that needs to be taken into consideration in all policies, approaches and decision-making processes while, at the same time, it confronts traditional institutional arrangements in order to generate social equality and change. It is predicated on norms of justice and equality, but also on expectations that women's empowerment and gender equality will improve the lives of families and communities and nations – for more effective and sustainable social, economic and political change.
- **Gender Sensitivity:** This term refers to the understanding that any development intervention may have different implications for women and men, and the determination to factor such differences into development programs. It should be noted that being female is not a guarantee of gender sensitivity: women and men can be equally gender blind and some men may be more gender sensitive than some women.

4.2 Process to Follow

Focusing on gender leads to benefits that go beyond the good project performance. Women have primary roles in the collection, transport, use, and management of fuel, fodder, water and other household activities and yet are hardly involved in decision making in the sector. Gender should be addressed through an approach that is participatory and responsive to the needs of the poor, particularly when it involves natural resources management.

The participation of beneficiaries and focus on poverty reduction are two other key determinants of the effectiveness and sustainability of any project. Any project must address the constraints on women's participation in project design, implementation and monitoring and evaluation. The project must also focus on the linkage between gender and poverty, by identifying, for example, households headed by females and those households' special needs. An adaptive, learning, and process-oriented approach works better than a blue print approach. Project beneficiaries are likely to have a stronger sense of ownership when the project gives them enough time, design flexibility, and authority to take corrective action. In this way, they find it easier to incorporate their earlier learning and negotiate with project staff and service providers. Therefore, a mechanism must be built into the project to allow such two-way interactions between the beneficiaries and the service providers.

Three major tools are used to identify and deal with gender issues in the project cycle: gender analysis, project design, and policy dialogue.

Gender analysis should be an integral part of the initial social assessment at the screening stage itself. The issues identified can be scaled up during the feasibility and detailed analysis can be carried out during the specific sub-project identification stage.

¹⁸ <http://www.un.org/documents/ecosoc/docs/1997/e1997-66.htm>

The *project designs should be gender responsive* based on the gender analysis, and should be included in the design documents. The findings and recommendations from the gender analysis during sub-project planning and feedback from beneficiaries during implementation must be discussed thoroughly to determine the need for further action. Listed below are the key action points:

General Checklist

- Identify key gender and women's participation issues.
- Identify the role of gender in the project objectives.
- Prepare terms of reference (TOR) for the gender specialist or social development specialist of the client
- Conduct gender analysis as part of overall Social Assessment.
- Draw up a socioeconomic profile of key stakeholder groups in the target population and disaggregate data by gender.
- Examine gender differences in knowledge, attitudes, practices, roles, status, wellbeing, constraints, needs, and priorities, and the factors that affect those differences.
- Assess men's and women's capacity to participate and the factors affecting that capacity.
- Assess the potential gender-differentiated impact of the project and options to maximize benefits and minimize adverse effects.
- Identify government agencies and nongovernment organizations (NGOs), community-based organizations (CBOs), and women's groups that can be used during project implementation. Assess their capacity.
- Review the gender related policies and laws, as necessary.
- Identify information gaps related to the above issues.
- Involve men and women in project design.
- Incorporate gender findings in the project design.
- Ensure that gender concerns are addressed in the relevant sections (including project objectives, scope, poverty and social measures, cost estimates, institutional arrangements, social appendix, and consultant's TOR for implementation and M&E support).
- List out major gender actions.
- Develop gender-disaggregated indicators and monitoring plan.

4.2.1 Specific Checklists to be covered during various stages of sub-project cycles

Methodology

Desk review

- Review available information (e.g., statistics, gender analysis, documents of previous projects) in the project area and the socioeconomic profile of the target population.
- Review the relevant legal (e.g., inheritance law), policy (e.g., R&R policy), and institutional framework (e.g., current administrative system for land acquisition, compensation disbursement) and their gender implications.

Household surveys

- Draw up gender-disaggregated socioeconomic and cultural profiles and identify the constraints, and needs of the target population.
- Collect quantitative information.

Participatory methodologies (e.g., participatory rapid appraisal, focus group discussions, random interviews, walking tours)

- Collect qualitative information which cannot be collected through surveys.
- Define ways in which men and women beneficiaries and other stakeholders, especially poor women can participate in the project.
- Map out the target areas. Which are the most disadvantaged areas in terms of access to services and poverty level?
- Identify major stakeholder groups and their stake.

Staffing

- Ensure adequate gender balance in field teams.
- Select field team members with gender awareness, local knowledge, cultural understanding, and willingness to listen.

Data to Be Collected

Macro institutional framework

- Gender impact of sector policy; legal and institutional framework.
- Executing agency's capacity and commitment to participatory approaches and gender focus.

Socioeconomic profile

Demographic

- Composition by gender, ethnicity/caste, age, etc.
- In and out migration trend (male and female)
- Percentage of households headed by females
- Household size
- Age at marriage, by gender

Economic

- Income level and sources, by gender
- Expenditure patterns and decision making, by gender
- Land tenure and use, by gender

Health

- Population growth rate
- Infant and maternal mortality rates
- Service availability
- Fertility level and decision making
- Food allocation and nutrition level within households, by gender
- Incidence of domestic violence

Education

- Literacy and school enrollment ratios, by gender
- School dropout ratio, by gender
- Child labor, by gender

Status of women

- Political representation and awareness
- Socio - cultural perceptions and practices of men and women
- Gender-discriminatory policies and laws
- Gender roles and responsibilities

- Broad gender division of labor in productive (e.g., agriculture, income-generating activities) and reproductive (e.g., household chores, child care) responsibilities, and time allocation for each responsibility

Access, control, constraints

- How do men and women differ in their access to and control of land, agricultural inputs, extension, markets, employment opportunities, and credit?
- Is external assistance provided to improve access/control? By whom?

Participation

- What factors affect the level of men's and women's participation?
- What are the incentives and constraints?
- During which season is the demand for labor highest?
- Which modes of participation do men and women favor (e.g., decision making in planning, cash contribution, labor contribution for construction, training, financial management, organizational management)?

Project impact

- Do men and women perceive positive and negative impacts of the project differently?
- Are the benefits likely to be distributed equitably?
- How can negative effects be mitigated?
- Are there any disadvantaged or vulnerable groups?
- Who are they? Where do they live? What are their socioeconomic characteristics?
- How will the project affect these groups?
- *Land acquisition/Resettlement*: Extent of land to be acquired
- What are the gender-specific implications?

Organization

- What is the current level of women's representation in other community decision-making bodies?
- Are there local organizations (e.g., local governments, national NGOs, CBOs, mass organizations) that address women's constraints and needs? How can the project link up with them?
- What mechanisms can be used to ensure women's active participation in project activities?
- What organizations can be used to mobilize and train women in the project activities and livelihood options?
- Incorporate the preferences of community men and women on issues such as: number and location of assets and sharing vs. individual arrangement of assets;
- Highlight women's strengths in mobilizing savings and resources.
- Incorporate the preferences of men and women in the community on:
 - financing arrangement
 - possible preferential treatment for very poor, female-headed and other disadvantaged families
 - credit or community-based revolving funds for women Self-Help Groups (SHGs)

Community participation mechanism

- Develop a *participation strategy* for men and women during project implementation and M & E.
- Avoid overly high expectation of women's participation and develop a practical schedule, as women often have time and financial constraints. The strategy should incorporate the following:

- *Planning:* Conduct women specific consultation to take their views and suggestions on the design. Any mechanism established during the project design such as grievance mechanisms should have adequate representation from women.
- *Construction:* Ensure work conditions that are conducive to women's participation (e.g., gender-equal wage rates, construction season, toilet and child-care facilities).
- *Monitoring and evaluation (M & E):* Develop a feedback mechanism in which both male and female have a voice. Identify organizations that could facilitate women's participation during implementation and M & E.

Training options

- Identify ways to link up with income-generation, literacy, and other activities to support an integrated approach to poverty reduction and women empowerment
- Support a decentralized structure to allow linkages between the village and local government.
- Include financial and technical capacity building for relevant local government bodies to enable them to effectively support women SHGs.

Staffing, scheduling, procurement, and budgeting

- Hire female project staff.
- Consider seasonal labor demand in scheduling civil works.
- If appropriate, set a minimum percentage of female laborers and prohibit the use of child laborers in the civil works contract.
- Ensure adequate and flexible budgeting to allow a "learning" approach (e.g., training budget, consulting service budget for women's organizations).

Monitoring and evaluation

- Develop M & E arrangements: (i) internal M & E by project staff; (ii) external M & E by NGOs or consultants, as necessary; and (iii) participatory monitoring by beneficiary men and women.
- Disaggregate all relevant indicators by gender such as number of women gaining access to credit, increase in women's income, and career prospects for project trained women.

Documentation

- Document the gender-responsive design features in the sub-project proposals

Annex 1 – Social Screening Format

A. General Information

Title of the Subproject:

Site Locality:

Screening Date:

B. Project Related Information

B1 Activities includes: **(described in brief regarding subproject activities)**

B2. Describe existing land use/occupancy of site and surroundings in brief and accordingly draw a free-hand map **(Please use separate sheet)**

C. Socio-economic Information

C1 What are the asset(s) that would be affected due to Subproject Interventions? **Yes or No**

- Land
- Physical Structure (dwelling or commercial).....
- Trees/crops.....
- Natural Resources (Water bodies/ Forest/ Public Pond)....
- Community Resource Property.....
- Others (please specify)....

C2 Land

C.2.1 Ownership of Land: Public/Private.....

C.2.2 Type of Land: Agricultural/ Homestead/ Low Land /Fallow/ Pond/Others
Please specify.....

- Does the subproject require acquisition of land belonging or allocated to communities?
- Does the subproject require additional land permanently or on a temporary basis?

- Sometimes as part of road/canal/community resource property upgrading interventions, subprojects may require small parcels of land permanently to meet engineering design requirements. In such case what would be the land procurement policy?
Direct Purchase...Yes/no.....; voluntary donation.....yes/no...;
acquisition Yes/no.....?
- To except voluntarily donated land what would be the legal procedure?
- In case of land acquisition, will there be physical and/or economic displacement of people?

C.2.3 Is there any **squatter/ encroacher/ leaseholder** residing on public lands? **Yes/ No** and specify type

If yes.

- What would be the total numbers of Affected Families?
- Is there any possibility of physical displacement?
- How will their livelihoods be affected? (example: due to loss of shelter and housing structure, loss of income source, loss of grazing field/ social network/ family bondage etc) Do the affected families have school going children? Yes/no
If yes,.....how many such children are there?
- Among the affected household, is there any person holding long term lease? Yes/no..... if yes, Land uses for what purpose?....., Till how many years remains out of total leasing period?.....

C3 **Structure (Housing/Commercial)**

- C 3.1 Type and total number of Housing structure that would be affected:
- C 3.2 Is there any commercial/ business structure that would be affected?
- C 3.3 Ownership types of the affected structures: Private/ Leaseholder/squatter/encroacher
Please specify
- C 3.4 Is there any tenant identified using the affected structure? Yes/No

C 4. **Trees and Crops**

- C 4.1 Is there any tree/plant that might be affected? Yes/no..... Total estimated number by size.....?
- C 4.2 Is there any social forestry /plantation project that would be affected? Yes/no.....
- C 4.3 Is there any common fruit bearing tree that would be affected? Yes/no.....
Species.....
- C 4.4 Any agricultural land included within the subproject footprint? Yes/no.....

If yes, please provide necessary information regarding productivity of land, type and quantity of Crop that might be affected and market value
.....
.....

- C 5. Is there any **Community Resource Property** that would be affected?
Yes/No..... Please Specify..... Who are the beneficiaries of the affected Community Resource? What is their reaction- Positive/negative?.....
Did they support the project?. Yes/No.....What are the reasons to support/ stand against the project?

- C6. Is there any **Natural Resource** that might be affected? Yes/No.....

If yes, please describe regarding dependency on the Affected Resources

C7. **Indigenous Peoples**

C 7.1 Is there any community of Indigenous Peoples residing within or adjacent the project site?
Yes/No.....For how long

C 7.2 Any Households of Indigenous Peoples would be affected? Yes/No.....
If yes, how many families would be affected?.....

C 7.2 Is there any way that proposed project may pose any threat to cultural tradition and way of life of indigenous Peoples? Yes/No.....

C 8 **Beneficiaries**

C 8.1 Who are the Beneficiaries? How they would be benefited by the subproject?

- Access to health facilities/services? Yes/No.....
- Better access to schools, education and communication? Yes/No.....
- Project activities would provide income generating source. Yes/No..... Please describe
- Subproject shall promote marketing opportunities of the local products? Yes/No..... If yes, how would that happen? Please elaborate
- Are people ready to co-operate with the project? Yes/No.....
Please elaborate the reasons

C 9 How will the subproject create opportunities for Beneficiaries?

Annex 2 - Entitlement Matrix

No.	Type of Impact	Entitlement Unit	Entitlement
1	Loss of structures (house, sheds, temporary structures, boundary walls, etc.)	Title holders and non-title holders (tenants)	<ul style="list-style-type: none"> • Cash compensation equivalent to the amount per latest BSR rates at replacement cost without depreciation • Lump sum shifting allowance of Nu. 1500.00 (or actual cost of production of bills) to title holders that will have to shift to a new or reassigned plot • Rights to salvage materials
2	Loss of Land	Title holders	<ul style="list-style-type: none"> • Land for land free of any tax, transfer costs, registration fee or charges. • In case of less minor impact Compensation at replacement Cost.
2	Loss of economic assets (such as fruit trees)	Title holders and Non Titleholders	<ul style="list-style-type: none"> • Compensation at replacement cost based on the latest rates • Right to salvage materials
3	Loss of income /livelihood	Title holders and non-title holders (tenants)	<ul style="list-style-type: none"> • Compensation at replacement cost based on the net revenue earned per month for 3 months to enable them to re-establish their livelihoods
4	Loss of dwelling	Title holders and non-title holders (tenants)	<ul style="list-style-type: none"> • Reimbursement of rental deposit or unexpired lease amounts • Lump sum shifting allowance of Nu. 1500.00 (or actual cost of production of bills)
		Vulnerable groups	<ul style="list-style-type: none"> • Resettlement assistance to those that earn less than Nu. 5,000.00 per month and women-headed households with low household productive capacity (no paid employees) to enable them to restore or improve pre-displacement level livelihoods. A lump sum of Nu. 10,000 special assistance is proposed
5	Shifting/ readjustment of plots	Title-holders	<ul style="list-style-type: none"> • Consultations with PAPs will take place during demarcation of plots to reduce negative impacts • Any negative impacts identified will be mitigated based on the agreements reached through consultations and entitlement matrix.
6	Any other loss not identified	Title holders and non-title holders (tenants)	<ul style="list-style-type: none"> • Unanticipated involuntary impacts will be documented and mitigated at the time of implementation based on the principles provided in the ESMF
7	Access to productive resources	Resource users (legal and illegal)	<ul style="list-style-type: none"> • Access to productive resources that have been legally provided by the GOI will not be curtailed by the project • If the use of resources have been illegal and have serious impacts to the project objectives (such as poaching and illegal trade of wildlife/wildlife parts), provisions for such users to move towards alternative livelihoods will be made.

Note: All compensation/assistance shall be paid before relocation/displacement and all such payments will be borne by the GOI.

Annex 3 - Social Monitoring Indicators

Monitoring Issues	Monitoring Indicators
Budget and Timeframe	<ul style="list-style-type: none"> ▪ Have all resettlement staff been appointed and mobilized for field and office work on schedule? ▪ Have capacity building and training activities been completed on schedule? ▪ Are resettlement implementation activities being achieved against agreed implementation plan? ▪ Are funds for resettlement being allocated to resettlement agencies on time? ▪ Have resettlement offices received the scheduled funds? ▪ Have funds been disbursed according to RAP? ▪ Have the affected HHs been relocated in Resettlement Site? ▪ Has the land made encumbrance free and handed over to the contractor in time for project implementation?
Delivery of AP Entitlements	<ul style="list-style-type: none"> ▪ Have all PAPs received entitlements according to numbers and categories of loss set out in the entitlement matrix? ▪ How many affected households relocated and built their new structure at new location? ▪ Are income and livelihood restoration activities being implemented as planned? ▪ Have the non-titled PAPs been compensated as per RP? ▪ Have the community structures are compensated and rebuilt at new site?
Consultation, Grievances and Special Issues	<ul style="list-style-type: none"> ▪ Have resettlement information brochures/leaflets been prepared and distributed? ▪ Have consultations taken place as scheduled including meetings, groups, community activities? ▪ Have any PAPs used the grievance redress procedures? What were the outcomes? ▪ Have conflicts been resolved?
Benefit Monitoring	<ul style="list-style-type: none"> ▪ What changes have occurred in patterns of occupation compared to the pre-project situation? ▪ What changes have occurred in income and expenditure patterns compared to pre-project situation? ▪ Have PAPs income kept pace with these changes? ▪ What changes have occurred for vulnerable groups?