Combined Project Information Documents / Integrated Safeguards Datasheet (PID/ISDS)

Appraisal Stage | Date Prepared/Updated: 14-Feb-2019 | Report No: ISDSA12241
## BASIC INFORMATION

### A. Basic Project Data

<table>
<thead>
<tr>
<th>Country</th>
<th>Project ID</th>
<th>Project Name</th>
<th>Parent Project ID (if any)</th>
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</thead>
<tbody>
<tr>
<td>India</td>
<td>P147864</td>
<td>UP Core Road Network Development Project</td>
<td></td>
</tr>
<tr>
<td>Region</td>
<td></td>
<td>Estimated Appraisal Date</td>
<td>Estimated Board Date</td>
</tr>
<tr>
<td>SOUTH ASIA</td>
<td>03-Mar-2015</td>
<td>29-Mar-2019</td>
<td>Practice Area (Lead)</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>Transport</td>
</tr>
<tr>
<td>Financing Instrument</td>
<td>Borrower(s)</td>
<td>Implementing Agency</td>
<td></td>
</tr>
<tr>
<td>Investment Project Financing</td>
<td>REPUBLIC OF INDIA</td>
<td>UP-PWD, UP Police Traffic Directorate, Transport Department</td>
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</table>

### Proposed Development Objective(s)

The Project Development Objective is to build capacity for results-focused road safety management in Uttar Pradesh and to improve traffic flows and safety for all road users on selected corridors of the state core road network.

### Components

- Network Improvement
- Institutional Strengthening of PWD
- Road Safety
- Contingent Emergency Response Component
- Front end fees

## PROJECT FINANCING DATA (US$, Millions)

### SUMMARY

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>Total Project Cost</td>
<td>570.00</td>
</tr>
<tr>
<td>Total Financing</td>
<td>570.00</td>
</tr>
<tr>
<td>of which IBRD/IDA</td>
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<tr>
<td>Financing Gap</td>
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### DETAILS

World Bank Group Financing
B. Introduction and Context

Country Context

1. India continues to be one of the world’s fastest growing major economies. The growth is projected to reach 7.3 percent in FY18/19 and firm up thereafter at around 7.5 percent, driven primarily again by robust private and public consumption expenditure, a rise in exports of goods and services and a gradual increase in investment.

2. Since the 2000s, India has made remarkable progress in reducing absolute poverty. Between FY2011/12 and 2015, poverty declined from 21.6 percent to an estimated 13.4 percent of the population at the international poverty line (2011 PPP US$ 1.90 per person per day), continuing the trend of a robust reduction in poverty. Aided by strong economic growth, more than 90 million people moved out of extreme poverty and improved their living standards during this period. Despite this success, poverty remains widespread in India. In 2015, an estimated 176 million Indians were still living in extreme poverty, while 659 million, or half the population, were below the higher poverty line commonly used for lower middle-income countries (2011 PPP US$ 3.20 per person per day). Recent trends in the construction sector and rural wages, a major source of employment for the poorer households, suggest that the pace of poverty reduction, generally, may have moderated.

3. Uttar Pradesh (UP) is one of the largest and most populous states in India, with a population of nearly 200 million people. During the last decade UP grew at roughly 7-8 percent per annum, but still lagged behind the national average. Per Capita Income (PCI) of US$ 770 (2017-18) places UP amongst the lowest of all states and the differential from the national average (US$ 1,800) has widened over the years. Whist UP has made
significant progress in reducing poverty during the last decades -- the poverty headcount has fallen from 41 percent to 29 percent between 2004 and 2011 -- UP remains home to the largest number of poor in India -- accounting for nearly one-sixth of the total poor in the country.

4. Sources of growth in UP have shifted away from agriculture towards services – particularly trade, tourism and real estate – during the last decade. While the composition of production is more sophisticated in UP than comparator states – it is concentrated in regional pockets, especially in the Gautam Buddha Nagar district (which includes Noida). However, during the recent years, the manufacturing sector has lost ground within the state compared to rest of India. The primary and secondary sectors contribute 22 percent each with the tertiary sector accounting for the remaining 55 percent. Simultaneously, while there’s been some movement of labor out of agriculture (primarily to construction), it continues to be the largest employer in the state. A key constraint to improving the productivity of both the agricultural sector, and the manufacturing sector, in UP is infrastructure, including transport infrastructure.

Sectoral and Institutional Context

5. A high-quality, sustainable road network is an essential element to facilitate an acceleration of economic growth in UP and in ensuring access to health and educational services, and opportunities to employment, including for women. The road network carries over 90 percent of all freight and passenger traffic, a distribution between the modes that is unlikely to change. Demand for road transport has been continuously increasing, and generally exceeds GDP growth by a factor of 1.2, so 8-10 percent per annum. This rate of demand growth is expected to be maintained. The number of registered vehicles in the state has been increasing at an average annual rate of about 11 percent since 2005. As of 2018, there were about 29 million vehicles registered in the state, with 3 million registered in the last year only. As a result, the volume of traffic has increased markedly on all roads, but particularly the National Highways (NH), State Highways (SH) and Major District Roads (MDR), as they carry the vast majority of the traffic -- approximately 35-40 percent both on NH and SH/MDR.

6. The UP Road Network amounts to approximately 280,000 km, the largest in country after Maharashtra. The Public Works Department (PWD) manages about 235,000 km (84 percent) of the total network, much of which is in fair or good condition, but with characteristics incompatible with current use and traffic levels, while the remaining roads are managed by other state departments. National Highways (NH) with the total length of 7,600 km are managed by NHAI and MoRTH. The PWD network comprises of 7,140 km State Highways (SH) (3 percent), 7,400 km Major District Roads (MDR) (3 percent), 49,600 km Other District Roads (ODR) (21 percent) and about 170,000 km Village Roads (VR) (72 percent). Recently, approximately 2,400 km roads have been declared as NH, reducing SH and MDR lengths by about 2,100 and 300 Km respectively. This transfer process is ongoing.

7. About 40 percent of the SH/MDR network is deficient in terms of its characteristics given current traffic levels and use. The current SH/MDR network generally comprises roads with a one lane paved carriageway that is 3.5 meters in width, which is totally inadequate for the current use and traffic levels. The SH/MDR roads have poor geometric characteristics, inadequate pavement thickness resulting in poor ride quality and higher operating costs, deficiencies in the design of junctions, inadequate right-of-way, encroachment on government land in the right-of-way, ribbon development exacerbating safety, insufficient drainage and limitations in protection on slopes, banks and bridge abutments. The network also displays high crash death and injury rates, and congestion.
8. **The UP Strategic Core Road Network Master Plan.** In 2013, following a recommendation in the Uttar Pradesh State Roads Project, the GoUP undertook a comprehensive transport masterplan and defined a Strategic Core Road Network (CRN) of 24,096 km, to be developed and maintained to enable upward social mobility and economic development of the state. The defined CRN included 7,737 km NHs, 7,229km SHs, 4,068km MDRs and 3,254km ODR. The Masterplan included the definition of a 20-year road sector development plan for the road network in the state, which was adopted subsequently by the GoUP. For the CRN, the GoUP envisaged an investment program of about US$ 14 billion to upgrade from 1 lane to 2 lane or 4 lane depending on traffic levels, 16000 Km (excluding the NHs, which are funded by the Central Government) in four phases till 2031. It was estimated that about 60 percent of the required investment could be met with budgetary and central government support, 25 percent from multilateral financial institutions, and the remaining 15 percent from the private sector via a public private partnership.

9. **Road Management.** PWD contracts out all upgrading, periodic and routine maintenance work to the private sector, with supervision provided by PWD staff in district offices. The majority of the contracts are the traditional input-based contracts, with all the inefficiencies and associated risks. In the FY2017-18, the PWD spent approximately US$2.3 billion in capital expenditure, and US$1.2 billion in recurrent expenditure, so even a modest improvement in efficiency would realize substantial savings. Supervision of externally financed projects is undertaken by independent consultants.

10. **Road Safety.** UP recorded 20,124 traffic deaths and 27,494¹ serious injuries in 2017,² with fatalities growing at a rate almost four times the rate for the country (23.5 percent increase from 2014 to 2017, compared to 6 percent across India for the same period of time). About 70 percent of these deaths occurred on NH and SH. For example, on just two of the key national highways 1342 people were killed in 2017 (344 fatalities on 88km of NH25 from Lucknow to Kanpur and 998 fatalities on 773 km of NH2 from Haryana border to Bihar border). Vulnerable road users (pedestrians, bicycles, two-wheelers, auto-rickshaws, other rickshaws, animal drawn carts and handcarts) constitute about 60 percent of traffic deaths. At the national level, a Supreme Court Committee focused on Road Safety has been calling the states for action on establishing lead agency and implementing specific programs. Accordingly, GoUP undertook a number of important steps like adopting State Road Safety Policy, establishing a Road Safety Fund, Strengthening the UP Road Safety Council (UPRSC) and High-Level Road Safety Committee (HLRSC) and Road Safety Cell.

11. **Climate Change Mitigation.** Resilience to climatic events is an increasing concern for the road sector in UP. Historically, a number of locations on the road network have been exposed to climate hazards and the resulting geo-hazard, such as high temperatures, precipitation and flooding, drought, and strong wind. However, the frequency and magnitude of the climatic events and the severity of the geo-hazards are expected to rise markedly, including among others an increase in average temperatures by 2°C by 2050 and an increase in average annual rainfall by 15% to 20% by 2050. Currently there are 30 districts that are highly prone to flooding during the monsoon season, the incidence and duration of pluvial flooding of this type is expected to increase. These flood events have severe impacts on both the road infrastructure itself, but also the population living in the affected districts whose vulnerability is increased. By contrast, drought is a regular phenomenon in VindhyaChal and Bundelkhand regions and again the incidence and duration are likely to

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¹ Ministry of Road Transport and Highways, *Road Accidents in India, 2017*
² While these data are alarming, there are indications that road fatalities and injuries are seriously underreported. Global experience suggests that serious injuries can be expected to be at least ten times the number of fatalities.
increase. Better planning, design and sound measures are required to anticipate, when possible, prevent, or reduce the negative impacts of such events. Improved road maintenance is critical to enhanced resilience and realize the operational life of the assets.

C. Proposed Development Objective(s)

Development Objective(s) (From PAD)

12. The Project Development Objective is to build capacity for better management of road safety in Uttar Pradesh and to improve travel time and safety of road users on targeted corridors of the state core road network.

Key Results

13. Progress towards achievement of PDO will be measured by the following outcome indicators, with targets set for mid-term and end-of-project:
   a) Reduced number of fatalities on Highway Police pilot corridors (NH25 and NH2)
   b) UP Highway Police in place doing general deterrence-based enforcement on pilot corridors
   c) Crash data from UPCDAS is publicly available and used for analysis and planning interventions
   d) Reduction of average travel time for cars on civil works corridors
   e) Improved Road Users Perception (RUSS) Index on civil works corridors

D. Project Description

14. The project comprises four components: Network Improvement component and Institutional Strengthening component, which will be implemented by PWD, and comprehensive Road Safety component, which, in addition to PWD, will be implemented by the Police and Transport Department. In addition, there will be a provision for emergency response under the fourth component.

15. Component 1: Network Improvement (Total Cost: US$476 million, including IBRD financing of US$350.2 million). The component will include pavement strengthening, upgrading (widening and strengthening), and maintenance of about 500 kms high priority SH corridors, part of the defined Core Road Network (CRN). It will include civil works, rehabilitation and resettlement (R&R); and associated consulting services and goods.

16. Phase 1 roads, for which procurement has been done during project preparation, comprise:
   i. Hamirpur-Rath Road (SH-42) – 75km
   ii. Garautha-Chirgaon Road (SH-42) – 50km
   iii. Gola-Shahjahanpur Road (SH-93) – 59km
   iv. Badaun-Bilsi-Bijnaur Road (Sh-51) – 79km

17. Phase 2 investments will be selected based on objective, agreed criteria, including the economic rate of return, complementarity with other World Bank investments (like Tourism project and/or Eastern Dedicated Freight Corridor), connectivity with growth centers and Buddhist circuit, that have been identified as a priority by the GoUP. A long list of roads has been identified and discussed, final agreement on specific sections is pending.

18. During the preparation of the Detailed Project Report (DPR) greater emphasis was assigned on incorporating road safety features in the road designs, particularly focusing on improving the safety of vulnerable road users. Consideration will be given to the adjustment of road design, construction, operation and maintenance procedures to reduce vulnerability and the potential impact of climate change effects. The project will
mainstream, wherever feasible along the project highways, the green highways approach, which includes resource efficiency and sustainability measures from a menu of options such as pavement recycling, use of local materials, recycled aggregates, use of innovative materials, plantations along the corridor, soil and water conservation, new/alternative technologies, and energy-efficient lighting.

19. The component will also include an Independent quality audit to ensure that implementation is being carried out as per the contractual provisions and specifications, trial of Cement Treated Base Materials in the construction of road pavements, which can offer potential cost savings compared with traditional crushed stone base, especially in regions which are short of sources of good quality aggregates, and implementation of an IT-Based Project Management Information System (PMIS) developed under the project for providing relevant, timely and updated project information to all stakeholders to enable monitoring of project activities, inputs, outputs and results.

20. The project will strive to increase employment opportunities for women. It has been agreed to add a provision to the Engineer, Procure, Construct (EPC) civil works contracts, requiring contractors to hire females for at least 30 percent of the routine maintenance works (each EPC contract includes a 5-year maintenance period). Through this employment opportunities, women will acquire technical and soft skills (like team work, financial management and contract management), which will add to the human capital of the employed women and will benefit them even after this project is completed. All employees associated with project contracts will be sensitized on gender issues and behaviours associated with sexual misconduct and harassment. The project will work with PWD to support effective implementation of the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal Act, 2013 (SHWW Act 2013). The Grievance Redress Mechanism (GRM) will provide for gender segregated data. The project will also support the strengthening of the Internal Complaints Committee (ICC), dissemination of information regarding the ICC and standard operating procedures to register complaints and address them within the given time.

21. **Component 2: Institutional Strengthening of PWD (Total cost US$ 3.00 million, including IBRD financing of US$2.1 million).** The main focus in developing institutional capacity of PWD will be on strengthening asset management practices which would lead to better planning and prioritization of investments based on scientific approach and on improving the quality management system of PWD. The proposed activities shall include operationalization of Road Asset Management System (RAMS), integrated with Geographic Information System database; and training and capacity building of PWD staff on contract management, social and environmental safeguards including gender awareness and GBV, climate resilient road designs, road safety, training courses, knowledge exchanges etc.

22. **Component 3: Road Safety (Total cost US$ 90.00 million, including IBRD financing of US$46.70 million).** This component aims to achieve quick, visible and measurable reduction in deaths and injuries on targeted sections of the road network through integrated and multi-sectoral package of interventions focused on prevention of fatal crashes through the application of Safe System approach. The project will also strengthen institutional management capacity across participating agencies - Home/Police, Transport and PWD. The component shall include following activities:

23. **Sub-component 3A: Road Safety Initiatives by the Police/Home Department (Total cost US$41.00 million)** would comprise establishment of UP Highway Police (UPHP) to implement proactive, mobile, highly visible, general deterrence enforcement operations on two pilot corridors totaling 830 km (NH2, entire stretch
passing through UP, and NH25, Lucknow-Kanpur); social marketing and media campaigns to support UPHP enforcement operations in the pilot corridors; state-wide implementation of a web-enabled crash database and analysis system (UPCDAS) that will meet the specific requirements of all road safety partners and stakeholders, and capacity building and training of the Police.

24. **Sub-component 3B: Road Safety Initiatives by the Transport Department (Total cost US$14.00 million)** would comprise strategic management support and capacity building to the Road Safety Cell (a state nodal agency for road safety); state-wide media campaigns supporting the State Road Safety Policy; development of optimal designs for vehicle testing stations and establishment of up to five testing stations, including study to explore potential for private sector engagement; strengthening commercial driver training and certification, including strengthening of training courses in Driver Training Institute, training of state bus transport and commercial drivers in road safety and emergency response and developing health check-up system for commercial drivers; training and capacity building of Transport Department staff.

25. **Sub-component 3C: Road Safety Initiatives by the Public Works Department (PWD) (Total cost US$35.00 million)** would comprise design, implementation and evaluation of state-wide program of systematic and consistent application of low-cost safety engineering measures on the core road network; Capacity building and expert support to the Road Safety Division of PWD; Safety engineering training programs.

26. **Component 4: Contingent Emergency Response Component (CERC) (Total cost US$ 0.00 million).** Uttar Pradesh has been plagued by various natural disasters such as floods, drought, fire, epidemics, earthquake, causing severe damage to life and property and thus adversely affecting normal life. Out of 71 districts, 30 are highly prone to floods while drought is a regular phenomenon in Vidhyachal and Bundelkhand region. Similar is the case with epidemics. This component would ensure that once a disaster is triggered, funds can be quickly allocated to this component as per exceptions set out in the World Banks policies.

**E. Implementation**

Institutional and Implementation Arrangements

27. **Network Improvement and Institutional Strengthening Components** will be implemented by the Public Works Department, through a dedicated Project Implementation Unit (PIU), headed by Chief Engineer (CE), Externally Aided Projects (EAP), established at the PWD headquarters (Lucknow). The PIU would be responsible for procurement and overall project management, monitoring and evaluation. In addition, three circles, headed by Superintending Engineers (SE) have been established for implementation of Phase 1 works—Lucknow, Kanpur and Moradabad Circles. Additional circles shall be established for implementation of Phase 2 works. The PIU will be supported by PMC consultants for project management, design, supervision of works and monitoring & evaluation.

28. **Road Safety component** would be implemented by Home/Police, Transport and PWD. The Traffic Directorate, UP Police shall be responsible for implementation of dedicated Highway Police service and development of state-wide crash database and analysis system. A dedicated Project Implementation Unit, headed by the ADG (Traffic) has been created under the traffic directorate for project implementation. The Transport Commissioner, UP shall be responsible for implementation of activities under the Transport Department through the Road Safety Cell created at the department. PWD will implement its related sub-component by the Road Safety Division under the CE EAP.
F. Project location and Salient physical characteristics relevant to the safeguard analysis (if known)

The project will be implemented in the state of Uttar Pradesh (UP) which is the fifth largest state in India. With an area of 2,40,928 sq.km, UP covers 7.3% of India’s land area, and is the country’s most populous state with a population of nearly 200 million. One sixth of India’s population lives in the 70 districts of UP. Many roads in UP have locally important cultural properties located along the edge of pavement. UP forms the bulk of the Gangetic plain in India and though it has very little forest cover, it has several protected areas, including bird and animal sanctuaries and national parks. Roadside trees are considered as protected forests in UP. In the phase I of the project, four road corridors have been considered that passes through districts of Amroha, Hamirpur, Lakhimpur Khiri, Sambhal and Shahjahanpur. All these districts are in plain areas in Western and Central Uttar Pradesh. The predominant land use in these districts is agriculture. There are no sensitive / protected areas close to these road corridors.

G. Environmental and Social Safeguards Specialists on the Team

Gaurav D. Joshi, Environmental Specialist
Parthapriya Ghosh, Social Specialist

SAFEGUARD POLICIES THAT MIGHT APPLY

<table>
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<tr>
<th>Safeguard Policies</th>
<th>Triggered?</th>
<th>Explanation (Optional)</th>
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<tr>
<td>Environmental Assessment OP/BP 4.01</td>
<td>Yes</td>
<td>The project activities, under component 1 and component 3b, are likely to have impacts on the environment which will need to be identified, assessed, and properly managed. Hence this policy has been triggered to ensure that the negative impacts are properly mitigated and positive ones are enhanced. In addition to ESMF, corridor specific Environmental and Social Impact Assessment (ESIA) were prepared along with the management plans.</td>
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<tr>
<td>Performance Standards for Private Sector Activities OP/BP 4.03</td>
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<tr>
<td>Natural Habitats OP/BP 4.04</td>
<td>Yes</td>
<td>Some of the activities, in Phase II, could have the potential to affect natural habitats. This policy is</td>
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<tr>
<td>Safeguard Policy Issues</td>
<td>Yes/No</td>
<td>Description</td>
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<td>-------------------------</td>
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<tr>
<td>Forests OP/BP 4.36</td>
<td>Yes</td>
<td>There is no commercial logging supported under the project. However, there may be some diversion of Forest land to Non-forest use. So, this policy has been triggered. Impacts on the forest will be treated as part of the management plans prepared following ESIA.</td>
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<tr>
<td>Pest Management OP 4.09</td>
<td>No</td>
<td>No pesticides are likely to be used in the project.</td>
</tr>
<tr>
<td>Physical Cultural Resources OP/BP 4.11</td>
<td>Yes</td>
<td>Project activities have the potential to impact some road side locally important cultural properties. In addition, chance finds are also possible. Hence, this policy has been triggered. Impacts on the cultural properties will be treated as part of the management plans (EMP and RAP) prepared following ESIA.</td>
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<tr>
<td>Indigenous Peoples OP/BP 4.10</td>
<td>Yes</td>
<td>Though there no tribal families were found in phase I corridors, there are chances of tribal families in phase II corridors. In such cases, ESMF includes an IPPF providing guidance for preparation of IPDP.</td>
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<tr>
<td>Involuntary Resettlement OP/BP 4.12</td>
<td>Yes</td>
<td>There is acquisition of private land resulting in adverse impact on livelihood and displacement of non-titleholders. Social Impact Assessment was carried out for all four corridors of phase I and based on the results of SIA, RAPs were prepared. ESMF includes RPF that will guide preparation of SIA and RAPs for phase II.</td>
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<td>Safety of Dams OP/BP 4.37</td>
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<td>Projects on International Waterways OP/BP 7.50</td>
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**KEY SAFEGUARD POLICY ISSUES AND THEIR MANAGEMENT**

**A. Summary of Key Safeguard Issues**

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

   **Environmental issues and impacts**

   The road improvements supported under the project are likely to have some direct impacts, especially on road side features like trees, which are classified as Protected Forests, diversion of Reserved Forest land, impacts on roadside
cultural properties, increase in pollution levels, especially close to sensitive receptors like education and health facilities, as well as safety of workers, other road users, and roadside residents could be adversely impacted. Other impacts would include temporary increase in pollution from the construction plants and camps, stress on environmental services in the project area, and impacts that can occur due to improper handling of specific construction material like ash from thermal power plants. Whilst the original assessments were undertaken in 2014, in April 2018, the UPPWD confirmed again that there are no additional/different impacts even now. Further, ESMPs for EPC contracts were augmented to reflect Bank requirements on EHS compliance. One road (Garautha - Chirgaon) is under implementation under item rate contract with EMP previously approved by the Bank.

Phase I of the project improvements will require cutting of about 32,435 trees, which are classified as protected forests in Uttar Pradesh. In addition, about 0.1 ha of Reserved Forest land would also need to be diverted for construction of bridge approaches along 1 road. None of the Phase I roads pass close to any protected areas or other natural habitats. A total of 12 roadside water bodies could be negatively impacted by the road works. While there are none along the Garautha-Chirgaon road, 3 are likely to be affected along Hamirpur-Rath road, 7 along Gola-Shahjahanpur road, and 2 water bodies along the Badaun-Bilsi road. Other commonly identified impacts during construction phase of include the pollution increase from plants required for construction? Hot-mix, Cement batching, and from domestic waste of construction camps established for the project as well as improper handling of ash used to be used in embankment construction for two roads. In addition, safety of the workers and other road users, especially since these roads will be improved while being used by regular road users, are a key concern. Such concerns will be identified and assessed as part of ESIA for phase II corridors as well.

If not properly designed, improved roads could have safety concerns during the operation phase, especially since design speed improvements are a key desired outcome of the project. Climate change related impacts have been identified for impacts on the project supported infrastructure, as well as due to project induced emissions of greenhouse gases.

Limited impacts to local drainage and safety of during construction and operation could occur under Component 3b where Transport Department would improve their facilities. These are likely to be local only and can be mitigated with measures proposed under the ESMF.

Social issues and impacts

In order to identify adverse social impacts, social impact assessment was carried out for phase I roads. Since phase II roads are not known yet, an ESMF has been prepared. Similarly for five inspection and certification centres under department of transport locations are not known hence an ESMF has been prepared. The Social Impact Assessment (SIA) for all project corridors of phase I was completed in December 2014. It included consultations with stakeholders, information on socio-economic and cultural features of the population, and baseline data on impacts due to involuntary land taking. These data were subsequently verified and updated through independent review and have informed the development of measures to ensure that negative impacts are mitigated and that people receive benefits from the project. Based on SIA results, Resettlement Action Plans (RAPs) for all phase I project corridors have been prepared and disclosed in country as well as on Bank's InfoShop. Given the long delay in project approval, RAPs have updated based on survey carried out in April 2018. Bank's Operational Policy (OP) 4.12 on Involuntary Resettlement has been triggered as project will acquire private land for widening of existing bridge approaches in two out of four project corridors of phase I and will have adverse impact on livelihood of the community along the corridor. Project will be adversely impacting 1395 families of which 478 will be displaced. The displaced families are non-titleholders and largely small commercial structure and kiosk owners. Out of total 1395 affected families, 894 are
losing commercial structures of which approximately 65 percent are kiosk owners. These kiosks will move out of corridor of impact but may remain within the right of way. Nearly 200 are losing part of their residential structure. Project activities though largely is restricted within the right of way, will be acquiring 7.7 ha of private land for widening of bridge approaches. A total of 192 families will be losing part of their agriculture land. However, no titleholder is getting displaced. Project will also impact 65 common property resources and majority of them are religious structures (47). The other CPRs include stand posts, water tanks, bus stops and boundary walls. The department of transport will be constructing five Inspection and Certification Centres in urban areas. Though location of these centres are not yet known, all five centres will come up on government land that may have squatters and/or encroachers. Each RAP includes guidelines for addressing issues and risks related to labour influx. The national law prohibits use of child labour and this is included in the works contract. The TOR of NGO as well as supervision consultants also includes monitoring and reporting on this issue.

17. OP 4.10 on Indigenous Peoples has been triggered though a small number of scheduled tribe found in the project area has migrated from other part of the state. They do not speak a separate language from that of the majority population (Hindi), nor do they have political institutions that separate them from the majority population. They do not have a historically based collective attachment to the land in the project area or any customary rights to forest and grazing land. Therefore an Indigenous Peoples Development Plan has not been prepared. The survey for phase II corridors is yet to begin as roads for phase II has not been identified yet.

18. The cut-off date for entitlements for losses caused by land taking varies from corridor to corridor and ranges from May to June 2018 when data updating was completed for all four project corridors. Project will relocate all adversely impacted CPRs in consultation with the community. On GBV, assessment was carried out as part of SIA at both community as well as at individual level. The assessment includes issues and risks related to GBV as well as local capacity to prevent and respond to GBV incidents. The Grievance Redress Mechanism designed for the project will also address issues related to GBV. A gender action plan has been prepared as part of RAP and project is in the process of commissioning study on GBV in transport sector in the state. The gender action plan provides for additional livelihood scope apart from creating awareness for gender based violence; safety of women and child; and equal participation of men and women in decisions related to project.

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

The project is expected to have limited adverse impacts from land acquisition and resettlement. The Social Impact Assessment carried out as part of the project shows that adverse social impacts are minimal and the area of impact is confined within the existing right of way. The private land will be purchased only for approach roads for the bridges in two project corridors of phase I. However, there will be large scale acquisition of private land for the missing link in Hamirpur-Rath corridor as part of phase II. Any change in land use due to improved road condition and access will be managed through local regulation of development of road side properties.

As regard to environment, few indirect and/or long-term impacts are anticipated except for the diversion of the Reserved Forest land.

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

The corridors under phase I follow the existing alignment analysis of alternative has been carried out with focus on no-project scenario versus proposed improvements. As the phase II roads are not known yet, the Environmental and Social Management Framework (ESMF) prepared for safeguard management will provide guidance for preparation of safeguard instruments. The phase II project corridors however requires analyzing various alternatives for each sub-project while carrying out respective Environmental and Social Impact Assessments (ESA). As per the agreed policies of ESMF, these ESIsAs and subsequent EMPs and RAPs will be reviewed and cleared by the Bank prior to approving the sub-projects for implementation.
4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.

In order to mitigate these adverse impacts, UP Public Works Department has developed a project-specific Resettlement and Rehabilitation (R&R) Policy which goes beyond the requirements of the Right to Fair Compensation, Transparency in Land Acquisition, Rehabilitation and Resettlement Act of 2013 and which together with the Resettlement Action Plan (RAP) establishes compliance with OP 4.12. The R&R policy has been approved by State Government vide Government Order number / 23-12-2014 (SA) /2012 dated August 19, 2014. The policy has the provisions for mitigating losses for (i) both titleholders as well as non-titleholders and (ii) direct and indirect losses. Based on project specific R&R policy, Resettlement Action Plans for all the four phase I corridors have been prepared and disclosed in country as well as on Bank’s InfoShop. Project apart from compensating loss of immovable property, will assist each affected family for physical relocation and economic rehabilitation. The total budget for RAP implementation for all the phase I corridors is INR 160.6 million.

In line with OP4.01, Environmental Assessments ? standalone EIAs for each of the 4 Phase I roads have been prepared and were reviewed by an Independent Review consultant team to confirm that these are in line with Operational Policies. The portions of EMP that are related to construction works have been suitably integrated into the Contract documents for their smooth implementation. The plans for compensatory afforestation, in lieu of the trees cut for improvements, have been prepared and the amount for the same, including the Net Present Value of the land, has been earmarked. Enhancement of selected common properties close to the roads being improved has also been envisaged, and plans for the same are part of the EMP. A total budget of about INR 422.41 million has been estimated for implementation of the environmental management measures for the 4 Phase I roads.

Since phase II roads are yet to be identified, project based on findings of phase I roads, has prepared an Environmental and Social Management Framework (ESMF) that acknowledges adverse environmental and social issues and integrates the measures for addressing them in the project preparation and implementation for phase II roads. The draft ESMF was presented to a wide range of stakeholders in a state level workshop. The comments and feedback received has been included in the final version of the ESMF. The ESMF includes a Resettlement Policy Framework (RPF), which specifies the procedures, eligibility, grievance redress and other measures to be followed in the event that resettlement or land acquisition is required for any sub-project. Although there is negligible presence of tribal community in the state, an Indigenous People Policy Framework (IPPF) has been prepared incase any phase II road encounters such communities with the objective of including tribal communities in the project in order to achieve the highest possible positive impact of the interventions to improve their quality of life. Most of the women?s status indicators (including those pertaining to health, literacy, work force participation, spousal abuse) show that gender equity and empowerment remain important issues in the state. ESMF also includes Gender Assessment and Development Framework (GADF). The project designs should be gender responsive based on the gender analysis, and should be included in the DPR The findings and recommendations from the gender analysis during project planning and feedback from beneficiaries during implementation must be discussed thoroughly to determine the need for further action. Gender analysis will be carried out for the sub-projects at the screening stage, in order to analyze gender issues and to design interventions to address women?s needs. In order to ensure that the potential for disruption to the normal life is minimized and that the potentially affected populations were consulted and adequately informed during the preparation stages. ESMF makes it mandatory to consult potential PAPs and local community during the design and preparation stages of the sub-project; adoption of better planning and construction practices to reduce the potential disruptions; and strong local level communications and grievance redress system to inform and respond to the affected people.
The five Inspection and Certification Centres in urban areas that will come up on government land may adversely impact squatters and/or encroachers. ESMF has been prepared by DOT to address any adverse impact on squatters and/or encroachers (if any).

UP PWD has implemented Uttar Pradesh State Roads Project (UPSRP) and therefore has the experience of working with World Bank. In order to have smooth implementation of RAP, project has established Environment, Social Development and Resettlement Cell (ESDRC) managed by Executive Engineer as head of the cell and supported by an Environmental Specialist and a Social Development Specialist. At district level project has established project implementation units (PIUs) headed by and Executive Engineer and supported by an Assistant Engineer designated as Environmental and Social Development Officer (ESO). Project has contracted a non-governmental organization (NGO) for implementation of RAP. The RAP will be implemented over a period of two years for the phase I roads. The transport department is implementing a Bank supported project for the first time.

The project will also establish an integrated grievance redress mechanism (IGRM) which will allow project affected persons and other community members to register their grievance/feedback. Grievances of any kind may be submitted through various mediums (e.g. a dedicated toll free phone line, direct calls to concerned officials, online via a dedicated portal, in written form, etc.) and will be addressed. Apart from IGRM, a separate grievance redress cell (GRC) will be established at district level headed by District Magistrate or his/her representative and supported by the head of PIU and ESO. NGO representative will also be part of district level GRC. The RAP implementation will be concurrently monitored internally by PWD and externally by supervision consultants. The RAP implementation will be evaluated at midterm and again at end term by external consultants.

Since the environmental impacts of the activities to be undertaken by the Transport Department - upgradation of Driver Training Institute and establishment of vehicle testing centers- are likely to be restricted mostly within already identified and own available land parcels and/or buildings, it has been agreed that ESMF developed for the inspection and certification centres will be applied. An Environmental and Social Officer will be appointed by department of transport in line with the Terms of Reference included in the ESMF to manage these aspects.

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

A total of 25 local level consultations were carried out across all the four phase I corridors with the local community including project affected persons. The issues discussed included widening options; removal of encroachment; employment opportunities; shifting religious structures and other common properties; safety of women and children; compensation and drainage. The suggestion given by the community has informed project preparation and has been incorporated in the design and Resettlement Action Plans and EIA/EMP as appropriate. Such consultations will continue during the implementation phase as well.

Sustainability of the priority investments will depend substantially on the meaningful participation and support of key stakeholders, especially local communities. During Social Impact Assessment, perception of various stakeholders was also recorded and it indicates a high-level of demand at the grassroots level for greater transparency and for active involvement in the planning of proposed road corridor. Therefore, local communities and key stakeholders will be engaged to ensure their inclusion and participation in the planning of road design and also in implementation stage. These interventions will include: (i) Information, Education, and Communications (IEC) campaigns; (ii) mobilization of local communities (particularly women and youth) around issues of road safety; livelihood; sanitation, health and hygiene; (iii) transparent consultations; (iv) dissemination of project information; and (v) community oversight. NGO partners deployed for RAP implementation will be responsible for implementation of these investment-level social
intermediation programs.

The safeguard documents have been disclosed in country as well as on Bank’s InfoShop between November 20, 2014 to January 30, 2015. For RAPs verification survey was carried out in May / June 2018 and they were updated and re-disclosed in country on September 7, 2018 and submitted to Infoshop on November 14, 2018. The links for in-country disclosures on the internet are as under:


### B. Disclosure Requirements (N.B. The sections below appear only if corresponding safeguard policy is triggered)

**Environmental Assessment/Audit/Management Plan/Other**

<table>
<thead>
<tr>
<th>Date of receipt by the Bank</th>
<th>Date of submission for disclosure</th>
<th>For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors</th>
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<tr>
<td>17-Aug-2018</td>
<td>15-Nov-2018</td>
<td>24-Dec-2018</td>
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**"In country" Disclosure**

| India                      | 07-Sep-2018                      |

**Resettlement Action Plan/Framework/Policy Process**

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**"In country" Disclosure**

| India                      | 07-Sep-2018                      |

**Indigenous Peoples Development Plan/Framework**

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C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting) (N.B. The sections below appear only if corresponding safeguard policy is triggered)

OP/BP/GP 4.01 - Environment Assessment

Does the project require a stand-alone EA (including EMP) report? Yes
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report? Yes
Are the cost and the accountabilities for the EMP incorporated in the credit/loan? Yes

OP/BP 4.04 - Natural Habitats

Would the project result in any significant conversion or degradation of critical natural habitats? No
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank? Yes

OP/BP 4.11 - Physical Cultural Resources

Does the EA include adequate measures related to cultural property? Yes
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property? Yes

OP/BP 4.10 - Indigenous Peoples

Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples? Yes
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan? Yes
If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit or Practice Manager? Yes
OP/BP 4.12 - Involuntary Resettlement

Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?  
Yes

If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?  
Yes

Is physical displacement/relocation expected?  

Is economic displacement expected? (loss of assets or access to assets that leads to loss of income sources or other means of livelihoods)

OP/BP 4.36 - Forests

Has the sector-wide analysis of policy and institutional issues and constraints been carried out?  
No

Does the project design include satisfactory measures to overcome these constraints?  
NA

Does the project finance commercial harvesting, and if so, does it include provisions for certification system?  
No

The World Bank Policy on Disclosure of Information

Have relevant safeguard policies documents been sent to the World Bank for disclosure?  
Yes

Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?  
Yes
All Safeguard Policies

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?
Yes

Have costs related to safeguard policy measures been included in the project cost?
Yes

Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?
Yes

Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?
Yes

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| Country Director: |

Note to Task Teams: End of system generated content, document is editable from here. Please delete this note when finalizing the document.