

## Himachal Pradesh: Forests for Prosperity Project

### Himachal Pradesh, India

#### Request for Expression of Interest (EOI) for selection of Consultancy Firms for Social Assessment and the preparation of Social Management Framework (SMF), for World Bank Assisted Himachal Pradesh: Forests for Prosperity Project (FPP)

1. The Himachal Pradesh Forest Department (HPFD) has applied for financing from the World Bank towards the cost of the HP Forests for Prosperity Project (HP FPP) and intends to apply part of the proceeds for consulting services. The Project envisage to support forest service provision programs and strengthening the roles of communities and the private sector in forest-related activities, improve the effectiveness of forest management programs and thereby improve the effectiveness of Central government (Govt. of India), allocations to the state for afforestation. The Project Development Objective is “To improve management and community use of forests and alpine pasture at selected sites in Himachal Pradesh.”
2. The HPFD has constituted a Project Monitoring Unit (PMU) w.r.t. HP FPP to work with World Bank for effectively formulate and implement the proposed project.
3. The PMU, HP FPP is seeking consultancy from reputed experienced organizations/ firms/individuals for Social Assessment and preparation of an Social Management Framework with an objective to undertake a detailed assessment of the existing and potential social risks and issues that the project is likely to face during design and implementation stage and provide practical operational procedures and guidelines for assessment and approval of subprojects or investments, and for the management of any potential impact in accordance with .the World Bank OP 4.10 Category B project requirements.
4. The consultant based on a detailed secondary literature review, and exhaustive primary data collection, will analyse the policy-legal environment related to social aspects of the project, capacities of implementing agencies to manage these social issues and risks and assess to what extent the state’s systems and processes are geared to address or mitigate these likely risks and impacts. This assessment will be used to develop an appropriate Social Management Framework (SMF) and a Tribal Development Plan (TDP) for mitigating or avoiding adverse social impacts and for enhancing social benefits emerging from the project. The social assessment and management framework will be developed based on the social principles of equity, social and gender inclusion, participation, transparency, accountability, good governance and land management.
5. The PMU, HP FPP hereby invites “**Expression of Interest (EoI)**” from eligible consulting firms (“consultants”) to indicate their interest in above mentioned work. Interested consultants should provide information demonstrating that they have the required qualifications and relevant experience to perform the services. The shortlisting criteria are (i) The Consulting firm must have experience of minimum 12 years in consulting field (ii) Must have successfully completed at least 2 assignments of similar nature in last 5 years (Letter of award from employer/Project completion certificate is to submitted); (iii) Annual turnover for last three years; (iv) Past experience of working in and understanding of the state’s social context preferably experience of working on Sutlej Basin or similar basins, (v) Preference will be given to those firms who have such experience in WB projects of similar nature.
6. The attention of interested Consultants is drawn to Section III (Governance), Clause 3.16, 3.17 of the World Bank Procurement Regulations for IPF Borrowers : Procurement in Investment Project Financing (Goods, Works, Non-consulting and Consulting Services) July, 2016, setting forth the World Bank’s policy on Conflict of interest.

7. Consultants may associate with other firms in the form of a joint venture or a sub consultancy to enhance their qualifications. The type of association should be clearly indicated.

The consultant will be selected in accordance with the Selection Based on the Quality and Cost Based Selection (“QCBS”) method set out in the World Bank Procurement Regulations for IPF Borrowers : Procurement in Investment Project Financing (Goods, Works, Non-consulting and Consulting Services) July, 2016.

The detailed Project Description/Activities, Area and TOR can be obtained from the O/o Deputy Project Director, HPFPP, Una, Himachal Pradesh on any working day. **“Expression of Interest”** documents supporting relevant experience clearly marked with **“Expression of Interest for Social Assessment and Management Framework (SMF), for Himachal Pradesh Forests for Prosperity Project (FPP)”** in the o/o Deputy Project Director, HP Forests for Prosperity Project, Opposite KVK Una, Santoshgarh road, Rampur, Una, 174303 Himachal Pradesh 01975-225855 (e mail : [dpdfppuna17@gmail.com](mailto:dpdfppuna17@gmail.com)) up to dated 5 march 2018 , 11:00 AM. The REoI can also be submitted through scanned copies of the relevant documents through e-mail: [dpdfppuna17@gmail.com](mailto:dpdfppuna17@gmail.com) The submitted documents will be evaluated from 12 noon onwards on the same day followed by the evaluation result. All those interested may kindly attend personally or through their authorized representatives.

The detailed REoI and Terms of Reference are available at website <http://www.hpforest.nic.in>

Chief Project Director  
HP Forests for Prosperity Project(FPP),  
Una, HP

## **Terms of Reference: Social Assessment and Development of a Social Management Framework for World Bank supported Himachal Pradesh- Forests for Prosperity Project**

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*These terms of reference have been prepared to guide the development of detailed Social Assessment and preparation of a Social Management Framework for the upcoming Himachal Pradesh Forests for Prosperity Project.*

### **A. STATE CONTEXT AND PROJECT BACKGROUND**

Himachal Pradesh, the land of apples and snow, is situated in the northern tip of India. It has geographical area of 55,673 sq kms and constitutes nearly 11 percent of the total area of Himalayas. Nearly 30 percent of its geographical area is permanently under snow and more than 66 percent is designated as forest-with nearly 15 percent falling within the Protected Area (PA) network. The state almost wholly comprises of mountain ranges, hills and valleys and has 4 major agro-climatic zones viz. Sub-tropical low hills (Shiwalik Range, below about 800 meters MSL), Mid-hills sub-temperate zone (between 800 to 2800 meters MSL), High hills temperate wet and sub alpine (above 2800 meters MSL) and High hills temperate dry alpine zone (higher reaches of inner and outer Himalayas).

The High Hills Region covering Kinnaur, Lahaul & Spiti and Chamba districts, accounts for more than 30 percent of Himachal's geographical area. This zone is further divided into a sub- alpine and an alpine zone; the former lies at an altitude of 3000 - 3500 metres and the latter lies above 3500 metres. About 80 percent of this part of Inner Himalayas is under pastures, with cultivated and forested areas only spread over 10 percent of land, and inhabited by transhumant indigenous communities that use these alpine pastures for grazing their livestock.

The state is also home to nearly 1.7 million people belonging to vulnerable communities that constitute nearly 28 percent of its total population (24.7 percent SC and 4 percent ST). A significant proportion of the large rural population lives within and on forest fringes and has high dependence on forests and pastures for their lives and livelihoods. The state has been working on a green growth model that links prosperity of local communities to improved forest management for deriving multiple benefits.

Since forests produce a range of ecosystem services, they need to be managed for multiple benefits, not just for timber, but to maximize economic benefits for different stakeholders while managing these forests sustainably. In order to do this, Government of Himachal Pradesh is developing the *Himachal Pradesh Forests for Prosperity Project*, with Department of Forests as the main implementing agency. The Project Development Objective is *'to improve the management and community use of forest and alpine pasture at selected sites in Himachal Pradesh by strengthening the institutional capacity of the state, strengthening value chain of select NTFPs and increasing the value of eco-tourism in select areas.* The five year project, to be implemented in the 7 district of state, is likely to be split into two phases, with the first phase aimed at institutional strengthening of the key implementing and other coordinating agencies for adaptive management, and subsequent phase on improving forest management for enhancing multiple uses of forest and pasture resources of the state.

The strategic guidance to the project will be provided by an inter-departmental Advisory Committee that will also provide the inter-sectoral coordination. Apart from using the project finance, the state will also leverage other state and central resources and opportunities by strengthening its institutional capacity for efficient use of GoI and state resources and by creating enabling conditions for private sector participation. It will also leverage resources made available from Compensatory Afforestation

Management and Planning Authority (CAMPA) program for improving the quality of existing forests and establishing new forest areas.

## A. Proposed Development Objective(s)

1. **PDO:** To improve management and community use of forests and alpine pasture at selected sites in Himachal Pradesh.

## B. PROJECT COMPONENTS

1. **PDO indicator #1:** Area of forest managed in accordance with site-specific management plans (ha).
2. **PDO indicator #2:** Value-addition of selected commercial NTFPs (USD).
3. **PDO indicator #3:** Alpine pasture area with signs of degradation (ha).
4. **PDO indicator #4:** Public Performance Review of Forest and Alpine Pasture Sectors (number).
5. **PDO indicator #5:** Share of rural population in selected areas with rating 'Satisfied' or above on Project interventions (%).
6. **PDO indicator #6:** Public funds leveraged for improved management of forests and alpine (value expressed in USD or Indian Rupees).

## PROJECT CONTEXT

### A. Concept

#### 1. Description

1. By making forest service provision programs more effective, and strengthening the roles of communities and the private sector in forest-related activities, the Project will contribute to the states' economic development goals, but also lay the foundation for broader benefits. Improving the effectiveness of afforestation programs will, for example, improve the effectiveness of Central government allocations to the state for afforestation such as those made under the Compensatory Afforestation Management and Planning Authority (CAMPA) fund. Given that, as per the 14th Finance Commission, 7.5 percent of the allocations to states are based on the state's forest quality, by helping HP improve its forest quality, the Project will help increase the fiscal allocations to the state and thereby the overall state budget for development programs. Improved forest quality will also lead to increased carbon sequestration, helping HP meet its state climate policy goals, and contribute to the achievement of India's NDC targets.

### Component 1. Improving forest sector service provision by HPFD (30 M)

#### *Sub-Component 1.1: Improve forest and pasture management*

2. This sub-component will finance a subset of key investments, including the procurement of goods, to improve forest and pasture management, forest quality, and community involvement, such as:

(i) **Development of nurseries and improvement of seed orchards using state-of-the art technologies.** This will include investments in: (a) the development of nurseries across the state (the potential of private sector participation will be explored during preparation); (b) the improvement of seedling techniques used in nursery enhancement; and (c) the development of seed collection, grading,

and certification facilities to improve the genetic quality and ecological suitability of seeds. PPP schemes will be explored during Project preparation.

(ii) **Establishment of new plantations and enrichment planting.** This activity links closely with the activity described above by helping to improve forest quality and density through adaptive planning and management, targeted investments at selected sites, and the use of improved techniques and models. International experience indicates that much better survival rates can be achieved if this is done through partnerships with local communities that go beyond labor contracts for planting. Benefit sharing arrangements that allow communities to harvest the productive assets in years to come are needed. The Project will analyze different schemes to promote communities' participation during preparation.

(iii) **Infrastructure for forest fire detection and equipment for forest fire suppression.** This activity will lead to a comprehensive forest fire detection, response and management action plan. The detection of forest fire will be linked to the state's Forest Management Information System (FMIS) for detection and response in real time, and to ensure a better alignment with the existing systems at the national level. Infrastructure for forest fire detection and equipment for forest fire suppression would include clothing, tools and vehicles.

(iv) **Improvement of pastures management.** These activities seek to augment the management of and community benefits derived from pastures, particularly alpine pastures above tree line that are managed by the HPFD and are often degraded through a set of actions that will address planning and other institutional constraints and finance key investments in the field. These activities will involve the development of new and upgrading of existing pasture management models for high altitude pastures, low lying pastures, and forest lands. They will be jointly implemented by the HPFD and the PFM committees. Specific mechanisms to pilot the proposed models through specific investments will be identified during Project preparation, including the potential flow of funds to communities to support the implementation of the pilots.

### *Sub-Component 2.2 – Strengthen technical capacity*

3. This sub-component seeks to improve the technical capacity at the HPFD, the availability of data/information, and planning and monitoring to help both generate increased revenues for the state and ultimately improve the quality of forest cover. This sub-component will also help strengthen technical capacity to improve the effectiveness of on-going and future investments in plantation and pasture management. The sub-component will finance technical assistance activities, procurement of goods (equipment), and some key investments, such as:

a. **Strengthen forest management information systems (FMIS):** The FMIS will be improved so that the strategic development/planning/decision making can: i) be linked to other sectors and institutions (e.g. land registry, agriculture, tourism, etc.); ii) be based on accurate and agreed data; iii) provide the means for monitoring and verification; and, iv) increase transparency and allow for independent supervision. This will be achieved by establishing systems that will share key common and most importantly unique datasets through accessing common servers (e.g. cadastral, boundary and ownership layers), with other institutions (e.g. with Department of Statistics and Planning for compiling forest accounts<sup>[1]</sup>), as well as at the national level with, for example the Forest Survey of India in key areas such as the National Forest Inventory, forest fire detection and reporting, permanent sample plot data to monitor growth dynamics, carbon stocks and forest health. Building on these layers the HPFD would be able to prepare and systematize forest and pasture management planning processes, which would include ensuring proper community participation and consultation. Once the forest and pasture management plans have been approved and established in the FMIS, systems will be established to ensure that plan

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[1] A "forest account" is a satellite account to the system of national or state accounts and measures the interaction between the forests and the economy.

implementation is both monitored and reported on and shared through web based portals. This will include methods for monitoring removals and transport of forest produce. Standard reporting will be made publicly available through web portals. This activity will also contribute to build a joint platform with various state departments related to the forest sector like environment, energy and statistics and planning. This will facilitate effective planning, implementation and monitoring of CAT Plans, forest accounts, benefit sharing in the catchments etc.

b. **Improve planning and training:** This activity will support the development of guidelines for multi-tier and multi-purpose forestry plantations, management and utilization of NTFPs, and improving the quality of pastures, as well as the implementation of these guidelines in model plantation and pasture schemes. The activity will also support the improved implementation of monitoring plans, e.g. by updating plans with areas afforested, permits issued, NTFP removals, timber removals, incidence of pests and fire, etc. and by producing reports consolidated at the local and state levels. Planning activities supported under the CAMPA program will be aligned with this activity<sup>1</sup>.

### *Sub-component 1.3. Manage catchment areas to maximize forest ecosystem services for hydropower*

4. **CAT plans effectiveness.** To improve the effectiveness of comprehensive CAT plans, this sub-component will also support the development and implementation of a model CAT plan, the development of CAT planning approaches, targeted training of officers, investments in monitoring stations and silt laboratories, and investments to implement CAT plan activities. This activity has the potential to be replicated in Nepal and Bhutan and in other hilly terrains.

5. Specifically, under this sub-component, the Project will finance technical assistance and investments focused on the Sutlej basin (one of the five river basins in the state) to strengthen the flow of forest ecosystem services to forest-dependent sectors, such as hydropower. This basin has a length of over 200 km and an area of more than 50,000 hectares. The catchments within the basin are showing symptoms of degradation, such as landslides and uncontrolled erosion. In this context, the project will finance the application of hydrological and investment prioritization models to better understand sediment flows and to suggest appropriate treatment for optimal catchment area management. The development of the Sutlej CAT plan – a model CAT plan – will include activities designed to maximize the production of ecosystem services, such as improved forest and pasture management, landslide management, erosion control, check dams, brush wood dams, and bio-engineering works. The Project will support the HPFD to develop and implement this plan through coordination with the rural development, roads, tourism and other stakeholder departments and to demonstrate the advantages of model catchment management.

6. Both multi-layered plantations (grass, herbs, shrubs, and trees) and existing forests in the catchment will be managed to maximize ecosystem service flows. This sub-component will support water recharge to improve the hydrology of the catchment, such as: (i) forest spring rehabilitation, including spring monitoring, (ii) spring catchment protection and management program, and (iii) water harvesting based on investments in afforestation to improve percolation, infiltration, and year-round ground water availability. PPP schemes will be explored as part of these potential activities. PES schemes that include benefit sharing arrangements with local communities will also be piloted in these communities to encourage their participation and identify successful models.

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<sup>1</sup>Allocation of CAMPA funds from the Ministry of Environment, Forests, and Climate Change is based on the Annual Planning of Operation (APO) that the HPFD prepares and shares with the Gol. The Project will support the review of the existing system of APO preparation for CAMPA-funded activities and will support reforms in the institutional setup for developing the APO/monitoring system and coordinating this system with the state forest sector strategy. To ensure that improvements in planning will be adopted and sustained in the future, however, this sub-component will also include investments in forest guard training schools and forest research training centers.

7. **Operationalization of PES policy.** Payments for Ecosystem Services appears as one of the incentives for stakeholders to contribute to forest management. This sub-component will support (i) the development of rules and regulations for the Payment for Ecosystem Services Policy, (ii) the design of the system to incentivize communities to participate in forest protection and plantation management, and (iii) the HPFD has developed some studies to pilot PES in the watersheds of Kangra district and in the Renuka dam hydro catchment in Sirmaur district. Exploring gaps of these pilots and bringing in effective model of PES in major hydro catchments will be worked out within the Project. These activities will involve technical assistance to be implemented by the HPFD.

## **Component 2. Incentivizing communities to better manage forests (USD 15M)**

8. This component aims to remove barriers to and create incentives for improved forest management at the level of communities and private sector through a set of activities addressing institutional, governance, and technical constraints. Enhanced livelihoods benefits are expected to incentivize communities to contribute to improved forest quality. A clear policy environment will unlock private sector participation. These activities will also signal an institutional change at the level of the HPFD, getting it out of revenue generation where private sector and communities can play a role.

9. An NTFP sector strategy will underpin this component to catalyze the potential of NTFPs and support local livelihoods by securing communities' access rights and increasing value-addition through improved harvesting, processing, storage, and marketing of selected NTFPs. During preparation, the HPFD will explore the possibility of using project preparation funds to support the development of this strategy to help identify one or two NTFPs with market potential and secure communities' access to and use of the forest resource through a participatory process.<sup>2</sup> Increased value-addition supported initially by public financing would create a favorable investment climate to crowd-in private sector investments in NTFP enterprises, including potentially through PPPs. For this purpose, HPFD will involve a private entity that is experienced in this area. The selection of this entity will be discussed during Project preparation. The sub-component will support the following activities:

- (i) Provide technical and financial support to communities and individuals to initiate and manage NTFP-based enterprises. This could include startup capital through microfinance schemes, training, and other business development support. The specific financial mechanisms and their implementation will be analyzed during Project preparation.
- (ii) Support the development and piloting of value chains and markets for specific NTFPs, such as medicinal and aromatic plants (e.g., *karoo*, *patish*, *dioscoria*, *ban kakri*, *mushakbala*, *chirata*, *chaura*, *chukhri*, *salampanja*, *satabar*, *banhaldi*, *kalmegh*, *gelaoui*, *nag chattri*, etc.), including via certification, standards, targeted investments, etc.

10. As mentioned before, a component on eco-tourism destination development would add to the complexity of implementation arrangements. For these reasons this option was dropped with the caveat that it could be picked up during a future engagement. However, and as a first step, the potential of ecotourism will be also explored and discussed with the HPFD during preparation. The following activities are likely to be supported to help create an enabling environment for private sector investments: (i) update the state's ecotourism policy to facilitate high value ecotourism development; (ii) develop ecotourism guidelines that balance the need for community, forest, and private sector benefits; and (iii)

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<sup>2</sup> The proposed Project will coordinate with the Agriculture GP to ensure synergy with the Bank -funded HP Horticulture Development Project (P151744), especially to leverage the cold storage and warehouse infrastructure being upgraded and built under the horticulture project for improving NTFP value chains. The location of these investments could be helpful in deciding the geographies for NTFP investments under the proposed Project. The T&C GP will also be involved in advising on this sub-component.

develop specific infrastructure to facilitate ecotourism in forest areas. These activities will be jointly analyzed with the T&C GP.

### **Component 3. Project management and institutional coordination (USD 5M)**

#### *Subcomponent 3.1. Project management*

11. This subcomponent will finance Project management activities (mainly through consultant services), which will be undertaken by a Project Implementation Unit (PIU) established in the HPFD. The PIU activities will include budgeting, preparing annual work plans, contract management, financial management, procurement, environmental and social risk management, and monitoring and evaluation. Under this component, all reporting on implementation progress will be prepared, including monitoring of the PDO and the Results Framework indicators.

#### *Subcomponent 3.2. Institutional coordination*

12. This subcomponent will support, through the financing of recurrent expenditures, the creation and maintenance of the Project's Steering Committee (SC) as a key vehicle to ensure multi-sectoral coordination and participation among the HPFD and other relevant sectors that are involved with the project and have the institutional mandate to advise or implement activities related to watershed treatment, NTFPs, or ecotourism. The Project will finance (i) technical meetings of the SC and (ii) knowledge exchange activities with other states and countries facing similar challenges.

### **B).WORLD BANK'S FOREST ACTION PLAN: ROLE OF FORESTS IN INCREASING SHARED PROSPERITY**

WBG recognizes the need for forests to become an integral part of national development priorities and be better recognized for opportunities they offer, especially since a large part of the world's vulnerable population lives in or near forests. World Bank's Forest Action Plan for the period 20016-20 (FAP)<sup>3</sup> provides guidance on how forest smart activities can create pathways to help lift communities out of poverty and vulnerability. The FAP identifies 2 key areas, namely sustainable forest management and forest smart interventions that can contribute to creating lasting and positive forest outcomes-greater climate resilience, ensuring rights and participation, and strengthening institutions and governance in the management of forests, to maximize their development benefits.

*Sustainable Forestry-* The Action Plan supports investments for enhancing benefits from natural forests, in terms of creating cash and non-cash income opportunities for forest dependent communities by planting new forests, responding to growing demand for fuel, fodder and food and reducing pressure on natural forests. It also promotes investments for rehabilitating degraded forests and strengthening value chains through forest-based enterprises. Potential interventions in this area include:

1. Protection and optimization of the management of natural forests through:

- *Participatory forest management*
- *Sustainable management of production forests*
- *Sustainable production of non-timber forest products*
- *Forest biodiversity protection*
- *Nature-based tourism*
- *Payment for ecosystem services*

2. Sustainable plantations and tree plantings through:

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<sup>3</sup><http://documents.worldbank.org/curated/en/240231467291388831/pdf/106467-REVISED-v1-PUBLIC.pdf>

- *Responsible investments in large-scale commercial reforestation*
  - *Smallholder plantations and tree planting*
3. Sustainable forest value-chains through:
- *Small and medium forest enterprises*
  - *Private investments in forest value chains*

*Forest Smart Interventions*-This approach supports investments which minimize or avoid adverse impacts on forests and their bio-diversity, and identifies opportunities to increase productivity and resilience of other related sectors-agriculture, watershed, flood control by delivering multi-sectoral solutions. Potential interventions in this area include:

1. Informed decision making on land use by:
  - *Introducing forest considerations as key element of Sustainable Development Agenda*
  - *Promoting land use planning as a key tool*
2. Deliver on forest-smart operations in sectors such as:
  - *Agriculture and water*
  - *Infrastructure (transport, dams, and hydropower)*
  - *Energy*
  - *Extractive industries*

Apart from these two key areas, FAP also identifies certain cross cutting themes, engagement in which can lead to positive outcomes. These include developing innovative solutions for forest based climate change mitigation and using a landscape based approach for developing resilience among ecosystems and societies to climatic shocks. The world's most carbon-rich and bio-diverse forests are often found in regions where **participation and rights** related to access and use of forests /forest products are ill-defined, contested or insecure.

The Action Plan commits to support client countries that are willing to clarify forest access and user rights, improve land tenure (for indigenous and forest-dependent communities), and modernize land administration. In addition, the FAP also seeks to establish platforms to foster enhanced stakeholder participation, since effective forest **governance and strong institutions** are pre-conditions for sustainably managed forests. To this extent, it strives to support clients willing to strengthen their institutional capacities and policy framework to sustainably manage their forests and its interfaces with other sectors.

*The framework provided by FAP can be used as the guiding principles for the present social assessment of Himachal Pradesh Forests for Prosperity Project.*

### **13. PURPOSE AND OBJECTIVE OF THE ASSESSMENT**

The objective of this assignment is to undertake a detailed assessment of the existing and potential social risks and issues that the project is likely to face during design and implementation. Based on a detailed secondary literature review, and exhaustive primary data collection, it will analyse the policy-legal environment related to social aspects of the project, capacities of implementing agencies to manage these social issues and risks and assess to what extent the state's systems and processes are geared to address or mitigate these likely risks and impacts. This assessment will be used to develop an appropriate Social

Management Framework (SMF) and a Tribal Development Plan (TDP) for mitigating or avoiding adverse social impacts and for enhancing social benefits emerging from the project. The social assessment and management framework will be developed based on the social principles of equity, social and gender inclusion, participation, transparency, accountability, good governance and land management.

## **14. SCOPE OF THE ASSIGNMENT**

### **Step 1: Scoping of Project related Social Issues**

In order to assess the nature and type of social issues impacting or likely to have an impact the project, the detailed scanning of existing operative and policy environment will need to be undertaken. This will include:

- a) Review of available literature, data and documents related to overall socio-economic and development profile of the state; economic, gender and social issues related to forestry and natural resource management (NRM). This will include developing an understanding on social issues in forestry, wildlife, watershed development, agriculture, livelihoods and enterprise development, bio-diversity, eco-tourism, climate change, apart from scheduled area and local governance, socio-cultural heritage, land management and marginalized and vulnerable social groups.
- b) Mapping of key (direct and indirect) stakeholders and their roles in the context of the project and how their roles and relations impact or get impacted by the project. The sample size for Social Assessment will be not less than 50 villages spread over the area identified in Forest Ranges of Sutlej Catchment as per Annexure-I.
- c) Mapping of existing institutions and implementation structures available to deliver on the project components described above, mandate of these institutions and their role in managing or mitigating social effects. This will also include examining private sector institutions that are expected to play a key role in achieving the project outcomes.
- d) Analysing the existing regulatory framework, including relevant national and state level legal-policy environment, from the point of view of user/rights, access, ownership, benefit sharing, sustainability, conflict management. This will include review of policies, laws, legal instruments related to forest and natural resource management, including bio-diversity, climate change, wildlife, agro/social-forestry, watershed, agriculture, tourism, hydro-power, land use/management and local, scheduled area governance.
- e) Preliminary stakeholder consultations at the state and community level to get a sense of the social issues and risks likely to be confronted by the project.
- f) Review of project components and proposed interventions in light of World Bank's operational safeguards policies related to physical and cultural resources, indigenous people, involuntary settlement and also in context of the national and state legal framework to identify steps for ensuring their compliance. This will involve reviewing the policies for their applicability to the project, potential positive or adverse impacts and likelihood of OPs getting triggered by project investments. Analysis of the project approach and components in light of the strategic guidance provided by the Forest Action Plan 2016-20.

Based on scoping of social issues done above, an Inception Report will be prepared by the Consultant Firm covering the above listed issues and spelling out the approach and methodology proposed to be adopted for undertaking the detailed assessment and developing the social management framework and tribal development plan.

## **Step 2: Detailed Social Assessment**

The next step will involve developing a sound perspective on the state in terms of vulnerability and reviewing existing systems, processes and mechanisms in place to see if they are adequate to manage and mitigate social issues emerging from project investments. This will involve developing a detailed social assessment report with separate sections to address the aspects flagged below.

- a. Development profile of Himachal Pradesh- analyzing the socio-economic indicators, demography, agricultural and livelihoods profile across different agro-climatic and cultural regions, landholding and land use pattern, resource ownership, pockets of under-development, poverty and vulnerability.
- b. Vulnerability Assessment- in terms of inclusion and access to resources and opportunities related to forestry and other project related sectors across different communities- SC, ST/ nomadic and pastoralist communities, minorities, women and economic classes- APL/ BPL.
- c. Social Impacts of Project Interventions- on different categories of individual and social groups, in terms of use, access and ownership of forests and pastures; impacts on livelihoods, community institutions, social fabric; customary rights and traditional practices related to forest conservation, harvest and protection, of the proposed project interventions. This will be based on a review of existing schemes and programs related to proposed project interventions and the extent to which implementing agencies have succeeded in maximizing social impacts and reducing implementation gaps. The social impact will also need to be assessed in terms of benefit-sharing, conflict, resource alienation and the social capital created around local forest governance.
- d. Community Consultation and Field Visits- to understand the current status of community participation in forest management & benefit sharing practices, listing of community choices on NTFP for development and value addition, existing processes (formal as well as non-formal) and institutionalized arrangements in place (from a people's perspective) that facilitate or restrict people's access to forest resources, status of laws and policies governing access/ use and their implementation in terms of effectiveness in responding to community's resource and other customary requirements. Selection of locations for field visits and consultations will be based on a sampling strategy that captures

diversity of issues likely to be found in different project areas and would need to be representative of the state.

e. Social Capacities of the Implementing Agency- to assess if the implementing agency, the PIU and its staff have requisite capacities to ensure inclusion and participation in project activities, assure community mobilization during preparatory phases of the project, transfer such capacities to community institutions, user groups, collectives formed under the project. On the whole, assess capacity of the institution to address and manage social issues and risks emerging from the proposed investments.

f. Systems for Citizen's Feedback and Grievance Management- that exist with implementing agency (forest department) under specific programmes and schemes for seeking community feedback that could be used by the project, or other state wide systems of feedback and grievance registration and management, their effectiveness and assessment of the possibility of using them for the project. Role of community institutions in monitoring of forest working plans and PFM micro-plans will also be assessed as part of this piece.

g. Systems for monitoring social outputs, impacts and outcomes – by reviewing the existing monitoring mechanisms in place within the forest department, to see the scope of these monitoring systems and their effectiveness in capturing social indicators related to inclusion, gender, participation and accountability.

### **Step 3: Assessment of Social Policy, Regulatory and Programmatic Environment**

Since forest governance in India is characterized by complexities that range from policies that are strictly pro-conservation to those that are pro- community and champion customary rights, a detailed review of the legal policy environment operative in the state will be done to analyse and bring out the social issues that each legal-policy instrument throws up and its likely impact on implementation of the project. The analysis will also flag policy gaps that need to be addressed for equitable spread of benefits and explore how the social outcomes of the project can be enhanced within this framework.

Since there are several inherent contradictions in the national policy framework on forest governance, mainly related to instruments that establish state as the primary agency responsible for forest management and those that recognize the rights of the community to own, access and use forests and its resources, this assessment will have to clearly present the state's position with respect to these contradictions through a detailed review of the implementation of these policies and acts.

This will involve reviewing four different categories of national and state legislations and policies:

- **Legal instruments governing State Management of Forests-** *Indian Forest Act 1927, Forest Conservation Act 1980, National Forest Policy 1988, Wildlife Protection Act 1972, Himachal Pradesh State Medicinal Plant Sector Policy 2006.*

Look at restrictions to access, use and benefit sharing of timber, NTFPs and pastures in non-reserved, reserve and protected forests and their impact on livelihoods of communities, their customary rights and ownership of forests and forest resources and their ability to negotiate with the state; restrictions on resource use, its modification (water flow) or on creating infrastructure; review of the State's Tree Felling

Act, Grazing Rules and their impact on the nomadic and transhumant communities. Also look at the nature of sanctions and restrictions placed on communities dependent on forest resources in PA areas or those with man-animal conflicts and extent to which this has restricted use of forest as a safety net for supplementing incomes.

- **Legal instruments bringing Community Stake in Forest Management and Use-***Indian Forest Policy 1988, Joint Forest Management Policy 1993, Panchayat (Extension to Scheduled Areas) Act 1996, Himachal Pradesh Participatory Forest Management Policy 2000, Bio Diversity Act 2002, Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act 2006, National Environment Policy 2006*

Analyse the extent to which the forest laws have been aligned with the customary laws, practices of the local communities; the actual role and capacities of community and community institutions (Joint Forest Management Committees- JFMCs/ Bio-Diversity Management Committees- BMCs) and extent of 'participation' in co-management of forests, including integration of village micro-plans into the departmental working plans; community role in planning and implementation of Forest Working Plans and Panchayat Development Plans, quality of participation and representation of women, members of vulnerable communities in these institutions; extent of and transparency in benefit-sharing and access; scale, nature and effectiveness of forest rights (number of individual or community claims recognized, nature of claims- community or development rights, vulnerability profile of titleholders); extent to which implementation of these legislations have responded to community needs and settled the ownership of forest resources, including NTFPs and usufruct /seasonal rights of transhumant communities.

This will also include looking at the status of customary rights and their ability to meet their subsistence needs. Extent to which the cultural heritage, codified and non- codified institutions and practices have been protected and access allowed- this needs to be seen with respect to the 'Dev-Van' (Sacred Groves/ Landscapes, Community Conserved Areas-CCAs) that exist in the state.

- **Legal Instruments related to local governance, land management-** *Panchayati Raj (73rd Amendment) Act 1992, Panchayat (Extension to Scheduled Areas) Act 1996, Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013*

Assess the extent to which state's panchayati raj act is aligned with forest laws operational in the state, their compliance with PESA in schedule V areas<sup>4</sup>with respect to transfer of 3Fs and ownership of NTFPs; extent to which JFMCs have been integrated with PRI institutions; extent to which rural local bodies have been empowered to fulfill their mandate on local governance, owing/ managing minor forest resources, for preparing developmental plans and giving concurrence/ rejecting development projects or proposals for projects requiring displacement and resettlement. This will also involve looking at the extent to which participation is available to nomadic/ transhumant, pastoralist communities in the panchayati raj system of the state and especially in the Higher Hills/ sub-alpine region.

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<sup>4</sup> The notified Schedule Five areas of Himachal Pradesh are Lahaul & Spiti, Kinnaur and parts of Chamba districts -Pangi Tehsil and Bharmour sub-tehsil.

**Miscellaneous Legal Instruments related to Climate Change, Eco-tourism – National Action Plan on Climate Change, State Action Plan on Climate Change, Policy on Payment of Eco-system Services in Himachal Pradesh, 2013, Himachal Pradesh Eco-Tourism Policy 2017**

Assess the status of progress under different missions, especially the *Green India Mission* (mandated to work directly with forest dependent communities for restoration of degraded forests using CAMPA funds to enhance forests eco-system services) and the National Mission for Sustaining the Himalayan Ecosystem (that seeks to incentivize community institutions and panchayats for the conservation and protection of Himalayan forests); extent to which the promised incentive flow to the community has taken place and their actual role in pricing the eco-system services and using this incentive based on their development priorities; understand how inherent contradictions between FCA 1980 and the states eco-tourism policy 2017 have been addressed to promote private sector participation, creation of eco-tourism infrastructure in fragile zones/ PAs and clarity on participation/ co-management/ benefit sharing with local communities.

#### **Step 4: Field Visits and Stakeholder Consultations**

Based on the stakeholder mapping undertaken during the scoping exercise, conduct consultations with all potential stakeholders- direct and indirect, formal as well as informal. Mobilisation for stakeholder consultation should ensure that there is representation from all social and economic categories, for gathering diverse perspectives and expectations from the project. Key objectives of each consultation should be spelt beforehand and should also be preceded by an orientation of the consultation groups on the objectives and expected outcomes, key interventions and role of community proposed by the project and its likely social impacts on different set of stakeholders.

This will include, but not be limited to:

- **Community members-** socially and economically vulnerable groups-forest dwellers, indigenous community, members of nomadic/ transhumant/ pastoralists communities, forest-dependent sedentary communities, wage labourers, landless, smallholders, NTFP collectors- with mandatory representation of women, minorities, SC and ST across social, economic categories.
- **Community Representatives-** elected and traditional leaders of local and regional communities, members (including women), chairpersons of PRIs, JFMCs, BMCs, Watershed Development Committees, Eco-tourism Societies, SHGs, department promoted SHGs involved in NTFP value-addition.
- **Supply side Players-** representatives of different departments/wings including territorial, wildlife, production wings of forest department, watershed/ water-resource, agriculture, small scale industry, Bio-Diversity/ Eco-Tourism/ Medicinal Plant Boards, industry associations, Civil Society Organisations.

The consultation should lead to an analysis of the roles, responsibilities and functions of each category of stakeholders with respect to different project components, their experience of accessing related schemes and programs being implemented in the state, their expectations, needs and priorities related to each project component, and their perspective about how they think they are likely to be impacted. It should also bring out their expectations from the project in terms of resource access and benefit-sharing,

role in management, planning and implementation. The output of this exercise should be captured in a stakeholder matrix defining the perceptions and expectations of each stakeholder category, likely social impacts, potential risks of exclusion or lack of transparency that they could face.

Separate and exclusive consultation will also be held with members of indigenous communities, based on the principles of free, prior, informed consultation in potential project interventions areas to inform the preparation of Tribal Development Plan. These consultation will be an opportunity to understand the extent of access, use and ownership of resources currently enjoyed by them, social risks likely to emerge from different investment streams, and most importantly, to get their perspective on potential positive and adverse social effects of the project and to bring out culturally appropriate solutions to avoid or mitigate those social risks/effects.

### **Step 5: Social Management Framework**

Based on the detailed social assessment, analysis of legal-policy environment and stakeholder consultations, a Social Management Framework (SMF) will be prepared to analyse how social issues related to gender, inclusion, participation, good governance, equity, social cohesion, transparency and accountability will be handled under each project component. It will also develop procedures to verify if there are significant negative social impacts, including requirements for land or resettlement of forest dependent communities, and recommend steps to ensure that these social risks and gaps are managed, mitigated or at least avoided.

1. *Screening Procedure-* A risk and issues log will be developed in the form of social screening procedures to identify and list all potential effects and likely impacts emerging from identified project activities. This screening procedure will categorise the nature of risks based on their significance-minor risks where implementing agency or the established processes can manage or absorb them and are localized in nature; moderate risks that can be handled with more effective implementation or enforcement of established procedures or policies; and major risks that can have significant impacts on vulnerable communities or their habitations, livelihoods, access to economic and cultural resources and could damage the social capital, for which systemic mitigation measures are either not available, or special procedures are needed. In cases where solutions are not available, activities that trigger these significant adverse impacts will be proposed to be kept in the negative list of activities.

2. *State and Beneficiary Social Baseline-* This will capture the overall socio-economic profile of the state and also benchmark the current status of resources and beneficiaries in the proposed project areas. It will draw a baseline on the status of women and vulnerable communities (indigenous. forest dwelling, pastoralists/ transhumant), occupations, present ownership of and access to forest resource and ecosystem services, role and participation in programs and schemes related to forest management; scale, functionality and effectiveness of community institutions created for community based NRM in the state.

3. *Stakeholder Analysis-* This analysis will systematically present the crux of stakeholder consultations conducted in different locations, providing detailed list of expectations/ needs, potential impacts, key concerns and issues raised by different stakeholders or institutions, and analyzing their implications for different project components and strategies. The analysis should also clearly bring out the needs and expectations of women, indigenous and nomadic communities as they form the most

vulnerable groups among stakeholders. For supply side or institutional stakeholders, the analysis should bring out constraints and challenges faced by them in delivering socially optimal outcomes.

4. *Social Impact Assessment*–Based on the screening and stakeholder analysis, a social impact assessment of the proposed project interventions on different set of stakeholders will be prepared. This will include an assessment of interventions, their anticipated as well as intended outcomes and likely impacts. All social risks arising from project investments and their potential mitigation /avoidance measures will be analysed and presented in this assessment to ensure that positive social impacts are maximized and negative impacts are avoided. Parties/ institutions responsible for each mitigation measure will also be listed in this assessment exercise. The assessment also needs to briefly assess climate change impacts in terms of specific vulnerabilities, co benefits emerging from project components. This should look into adaptation measures, resilience created for the resource dependent (pastures, water bodies, forests etc.), vulnerable communities. It will also look at the impacts of labour influx (at work sites), tourist influx (in eco-tourism spots) and impacts of invasive species on existing stock resources specially in terms of access to pasture/fodder/grass and its short term and medium term impact on livelihood.

5. *Institutional Assessment*- The state-level/ supply side stakeholder consultations and policy review will be used to undertake an assessment of institutions and their adequacy to manage social effects and risks emerging from the project. This assessment will answer questions related to capacity of existing institutions- implementing agencies, other government departments/ agencies, coordination agencies or committees, community and private sector institutions, oversight agencies and other state based arrangements to manage social risks and negative impacts. It will include preparing a work/ process flow for different project components, role of different institutions as per the work flow, their strengths and weaknesses in handling potential social risks and impacts. Based on this, recommendations will be provided on the most effective implementation arrangement for different components of the project and additional human resource or capacity building investments required for preparing the institutions for managing these impacts.

6. *Social Risk Assessment*- Informed by the risk and issue log prepared for the project, an assessment will be done of key risks- both those that emerge from the project investments as well as those that remain unaddressed by policies- their impacts on overall project outcomes. The assessment will also identify stakeholders most affected by/ vulnerable to those risks and measures needed to mitigate or manage those risks for enhanced social outcomes.

7. *Land Management* – As part of the risk analysis and policy review, land requirements for different project components will also be identified, along with policy measures in place for acquiring those lands (revenue, forest or private). In case the project foresees major land requirement that involves acquisition and resettlement of communities/ families, framework for a rehabilitation and resettlement plan will be development based on existing practices being followed by the state and suggesting improvements (in case its needed)to avoid exacerbating social risks emerging from resettlement.

The following outputs/ deliverables are expected to emerge from the above analysis in the form of one consolidated document:

A. *Social Management Framework*-To guide the preparation of strategies, plans and activities for the project. This will be based on the broad social principles related to participation of vulnerable

communities and groups, prior consultation, free informed consent, equity, cultural integrity, avoidance of land acquisition, child-labour and gender-based discrimination. The framework will provide a screening of those activities that may lead to adverse social impacts and recommend measures to mitigate them. It will also suggest social indicators and monitoring tools, application of which will help in ensuring that social effects are positive, on-track and inclusive. It will also recommend measures, including communication, gender and capacity building strategies and mechanisms for periodically receiving citizen's feedback to ensure that social risks are manageable and are addressed timely. If possible, a separate Gender Action Plan or Gender Strategy for the project should also be prepared, to ensure women's meaningful participation in planning, implementation and access to benefits. It should also describe the established grievance redress procedures that can be accessed by aggrieved people, recommendations for making them more effective or creating dedicated systems for responding to project specific grievances.

B. *Tribal Development Plan* – Based on the nature of interventions proposed under the project and considering the probable sites where the project will be implemented (forest and pasture resources), it is most likely that World Bank's Indigenous People's Policy (OP 4.10) may be triggered. The state is home to several indigenous communities like Kinnaurs, Lahuals, Gaddis and the Gujjars that are highly dependent on forest resources for sustenance and move along designated routes to the upper reaches of Himalayas in summers and to the foothills in winters, across reserve forests and alpine/ sub-alpine pastures.

A Tribal Development Plan will be prepared that will analyse the overall status of Human Development of Scheduled Tribes in the state, the operative legal framework for tribal welfare and governance, key institutions mandated for tribal development, barriers faced by them in accessing resources/ receiving benefit and recommend steps for enhancing their participation, access, accrual of project benefits and overall positive social impacts from the project. Tribal Development Framework prepared as part of the TDP will spell out steps to be taken to enhance participation and benefit share from the project interventions by a) ensuring their representation at all levels and at each stage of the project, b) protecting their social, economic and cultural interests in the project interventions, c) recommending ways to overcome structural barriers to receiving project benefits and hence positive social impacts, d) proposing a capacity building and communication strategy designed and aimed to address specific needs of tribal communities, e) recommending measures for preventing alienation of land, ownership of and traditional access to natural resources, f) proposing implementation arrangements, monitoring mechanism, consultations for each phase of the project, for maximizing their participation, benefit share and avoiding risks.

The Plan will also recommend a screening mechanism to assess future project interventions for any adversarial impacts on indigenous communities and will include budgets, procedures and management arrangements for implementing the tribal development framework.

C. *Land Requirement and Management*- Investments under project components 1 and 2 related to strengthening management of forests and alpine pastures and creating enabling conditions for & eco-tourism respectively, may have land requirements since they relate to establishing new plantations, nurseries, setting up forest-based enterprises and improving infrastructure/facilities for NTFP & eco-tourism. Considering the nature of these investments, land requirement will be analysed to assess the nature, location, scale and type of land required or resettlement expected. Though these investments are

most likely to be on government or forest lands, it will need to be seen whether private lands will also be required. The assessment will review how such requirements are being met in similar contexts by the state- voluntary donations, market purchase or acquisition and also the process being adopted for resettlement and rehabilitation of affected families. In case the analysis brings out the need for acquisition of private lands or involuntary resettlement, alternatives or culturally compatible solutions will be proposed to avoid, or at best minimize, adverse social impacts on affected communities.

A broad framework for a resettlement action plan will be prepared by the consultant to guide the client for later undertaking this exercise separately, in line with the World Bank Policy (OP 4.12 Involuntary Resettlement) and the prevailing national/state laws. The guiding framework should spell out the minimum, non-negotiable elements that need to be addressed in the plan to minimize adverse social impacts. This will include consultations at all stages, compensation for loss of assets, livelihoods and traditional access and rights over resources, possible provisions for ensuring continuity of access to benefits, especially for economically and socially and vulnerable- including BPL, landless, women and children, indigenous communities, minorities- responsible parties for implementing, coordinating and monitoring the resettlement.

D. *Labour Standard Action Plan*- This will include assessment and recommendations on measure to mitigate health and safety issues of the community and the workforce involved with the hardware component of the project. The Action plan will suggest steps for ensuring compliance with the national labour laws, prevention of child labour and also adherence with World Banks EHS guidelines. The plan should also cover issues related to HIV/AIDs and other communicable disease.

E. *Consultation and Participation Plan*- Recommendations will be provided on consultations to be held with the community at different stages and in different project locations, to make specific assessment on potential risks and impacts. Different approaches for social mobilization and increasing community participation in planning and implementation, will be recommended as a risk mitigation measure. These consultations will help in eliciting the needs of different groups to help the project in customizing intervention to match those needs and will also help in pre-empting social conflicts arising from contradictory expectations of stakeholders. Measures will also be suggested to ensure meaningful and quality participation of different stakeholders (especially vulnerable and women) in different forums and community institutions.

F. *Capacity Building Plan*- Based on the institutional assessment undertaken previously, and informed by gaps in social capacities found among different institutions- community, collectives, implementing agencies and other entities, a capacity development plan will be prepared. This will in ensuring adequacy of these institutions in managing social risks emerging from project implementation. The plan should spell out the category of stakeholder, capacity gaps found by the assessment, their likely impact on social outcomes and the nature/ themes of capacity input to be provided to them. The plan should include year-wise training schedule for different stakeholders and also recommend training institutions/ organisations that could support the delivery of these trainings.

G. *Year Wise Implementation Plan*- A year wise plan for implementation of social actions recommended under the social management framework should be provided to guide the nodal/ implementing agency for prioritizing execution of each recommendation at an appropriate stage of the project cycle. The plan should detail the financial and human resource requirement for implementing

social actions, implementation arrangements required, including additional staffing, training or consultancy services.

H. *Inputs for Projects M&E System*- Inputs for informing the projects' monitoring and evaluation system and its results framework need to be provided by developing process and output indicators that can be captured throughout the project cycle to track if the intended social outcomes are being achieved and are inclusive. This will include qualitative and quantitative indicators related to participation in planning, implementation, benefit sharing, access to resources.

### **Step 6: Disclosure of Social Management Framework and Tribal Development Plan**

The Project Implementation Unit (PIU) established in the Himachal Pradesh Forest Department will publically disclose the drafts of Social Management Framework and the Tribal Development Plan on the department website and in the public domain to elicit feedback from different stakeholders. These documents will be available for review by people directly and indirectly impacted by the project, community institutions, private sector players, government agencies and civil society organizations for a period of at least two weeks prior to the public consultation.

Before the formal consultation, and once the draft is ready, the Consultant Firm should hold discussions with the nodal agency, key stakeholders, select public and private organizations working in the proposed project areas, civil society/ CSO networks to share the interim findings, analysis and recommendations emerging from the SMF and TDP. Suggestions received from this select group should be incorporated in the draft document to be disclosed. All feedback and suggestions received in the Disclosure Workshop convened by the implementing agency / PIU will need to be recorded, minutes of meetings and list of participants prepared and included in the final SMF Report.

### **Step 7: Finalisation of the Social Assessment, SMF and TDP**

Based on the feedback received from different stakeholders and public after the final disclosure and during consultation workshop, the social assessment and its key component – SMF and TDP should be finalized and submitted to the PIU/ nodal agency. The report should clearly and succinctly bring out key findings from the assessment, main intended and unintended impacts of the project interventions, proposed actions for mitigating negative effects and enhancing positive social impacts, capacity and institutional gaps needing attention, responsibilities of different agencies in implementing those actions and recommendations with year-wise timelines for completing them. Key recommendations, findings, main elements of SMF and implementation plan should be abstracted and presented as an Executive Summary to the main report.

All assessment and analysis should be backed by quantitative data, secondary review and empirical evidences collected and generated from the field during stakeholder consultations and field visits. All important and relevant supporting data, information gathered from government and other sources should be systematically presented and appended to the main document. The appendices/annexures to the Social Assessment report should also provide a list of people and representatives of different institutions met and consulted at different stages of preparation, cite the secondary literature reviewed, including status reports, program MIS, past evaluations, research studies and assessments conducted in the state and relevant government communications/ orders reviewed as part of the assessment.

## 15. ASSIGNMENT DELIVERABLES AND PAYMENT SCHEDULE

This assignment is expected to be completed within 2.5 months (10 weeks) from the time of signing of contract between the PIU/ nodal department and the consultant firm. The draft final report, including the SA, SMF & TDP should be submitted after incorporating all comments and suggestion received from stakeholders, PMU and the World Bank during the sharing and disclosure workshops.

Power Point Presentations on the key elements of the report will need to be prepared and presented to the nodal agency/PIU and the Bank at different stages of the assessment and also for sharing the summary of the draft and final reports.

Deliverable	Weeks				
	1	7	8	9	10
Scoping and Inception Report					
Presentation of Draft Social Assessment Report					
Submission of revised Draft report					
Public Disclosure and Consultation Workshop					
Submission of Final Report					

### Payment Schedule

Tranche	Deliverable	Condition
20 percent of the contract value	Submission of the Scoping and Inception report	Subject to satisfaction of the PIU and World Bank
40 percent of the contract value	Submission of revised Draft Report	Subject to satisfaction of the PIU and World Bank
40 percent of the contract value	Submission of Final report incorporating recommendations emerging from disclosure and public consultation	Subject to satisfaction of the PIU and World Bank

**Travel Requirements** - The Specialist/firm hired to prepare the social assessment will be required to undertake extensive field-visits in the proposed project areas as part of the SMF preparation.

## 16. QUALIFICATIONS OF THE CONSULTANT FIRM

The Consultant Firm hired for conducting the social assessment for Himachal Pradesh Forests for Prosperity Project should have the following qualifications:

- Prior experience of conducting social assessments for World Bank, or other multi/ bi-lateral agencies, for large scale projects; understanding of social safeguard policies and their triggers.
- Demonstrable experience of working with communities and community collectives on issues related to forestry, environment, NRM or undertaking similar studies/assessments.
- Understanding and knowledge of issues around NRM, forest and tribal governance, bio-diversity, climate change, watershed, forest based livelihoods/ enterprise.
- Sound understanding of social and gender issues around NRM, forest dependant livelihoods related to inclusion,restrictions/ access, ownership, rights, participation, governance, social conflicts, accountability and benefit sharing.
- Past experience of working in and understanding of the state's social context, preferably experience of working on community based NRM / livelihoods issues.
- Team members deployed for the assignment should demonstrate a sound understanding of issues allocated to them and some familiarity with the state context.

### *Recommended Team Composition*

<b>Position</b>	<b>Desired Qualification and Experience</b>
<b><i>Team Leader- Governance Expert</i></b>	<i>Sound understanding of social as well as governance issues in NRM, substantive multi-sectoral experience, preferably both in implementation as well as project formulation, sound understanding of public systems and institutional arrangements for large scale projects, past experience of undertaking social assessment for large projects</i>
<b><i>Social Development/ Tribal Specialist</i></b>	<i>Sound overall understanding of social development and issues of tribal mainstreaming in development projects, understanding of and past experience of working in NRM, forestry from social side, familiarity with social principles, safeguards, and their application.</i>
<b><i>Legal Policy Specialist</i></b>	<i>Demonstrable experience of legal-policy analysis, familiarity with forest, environmental and land related laws, understanding of legal issues in forest,</i>

	<i>environmental and scheduled area governance and their inherent complexities</i>
<b><i>Livelihoods and NRM Specialist</i></b>	<i>Past experience of implementing NRM or forest based / rural livelihoods projects with collectives, understanding of community constraints related to access, use, co- management of resources</i>
<b><i>Community Development / Gender Specialist</i></b>	<i>Experience of closely working with rural communities in the state, sound understanding of issues vulnerable communities and women related to participation and inclusion</i>

## 17. CONTRACTUAL TERMS

### **Responsibilities of the consultant firm:**

1. *Field visits:* Visit to potential project implementation sites, as identified by the implementing agency, for understanding the key social issues, community perceptions and the project context. Sites selected for field visits should be representative of the situation/ context to be found in most project areas in the state. The firm will be required to undertake field-visits as per the project requirements.
2. The Consultant Firm will assist the PIU and implementing agency in public disclosure and consultation process of SMF in compliance with the safeguard policies of the World Bank.
3. All information gathered, including raw and clean data as well as interview transcripts, photographs, minutes or proceedings of meetings/ discussions, among others, belong to the Government of Himachal Pradesh and the World Bank, and will be handed over during and upon the completion of the assignment, as requested.
4. The Firm will work under the overall supervision the Project Director, who will facilitate the consultancy in contacting the district administration, forest divisions, public and private institutions, civil society in the field and will help in accessing information and data needed to carry out the assessment. The Consultant shall be able to communicate with the Bank to request clarifications, etc. if necessary on the feedback received on draft assessment reports.
5. The Firm will report to the Project Director and any other official designated by the Project Director in the PIU for providing updates, seeking feedback and guidance.

### **Responsibilities of the PIU/Nodal Agency:**

1. PIU will make available all background documents, data, progress reports, studies and evaluations that will inform the social assessment.
2. It will make all necessary arrangements for supporting the work of the Consultant(s), by facilitating access to other government authorities, project stakeholders, field staff and government institutions.
3. Support the disclosure of draft documents, send out invitations for consultation workshops, organize venues for public hearings and stakeholder consultation, and being present as participant at all the public hearings and meetings.
4. Periodically review the work and performance of the Consultant and provide feedback.
5. Provide detailed comments and feedback on the draft social assessment, TDP and SMF reports prepared by the Consultant within 14 days of draft submission.

6. Submit the draft reports to the Bank to determine their acceptability and for final clearance.

**Disclaimer**

1. There will be potential adjustments in the scope of work due to potential changes in the scope of the components and the activities.

2. No. of district will be increased or decreased as per need of project.

## HP FPP- Target Project Ranges on dated 6/1/18

Sr. No.	Subcatchment	District	Division	Range
1	22	Kinnaur	Kinnaur	Moorang
2	16	Kinnaur	Kinnaur	Moorang & Kalpa
3	7	Kinnaur	Kinnaur	Kilba
4	Sp	Kinnaur	Sarahan WL	Rupi WL
		Shimla	Rampur	Rampur
5	10	Kinnaur	Kinnaur	Kalpa
6	Sq	Mandi	Karsog	Karsog
		Shimla	Rampur	Rampur, Bahli
7	Sj	Shimla	Shimla	Bhajji
			Kotgarh	Kumarsain
		Mandi	Karsog	Pangana
8	21	Kinnaur	Kinnaur	Moorang
9	Sh	Mandi	Karsog	Pangana
10	24	Kinnaur	Kinnaur	Kalpa & Kilba
11	Si	Mandi	Karsog	Karsog, Pangana, Seri
12	Sk	Kullu	Ani	Chowai
		Mandi	Karsog	Magroo, Seri
13	Sn	Shimla	Rampur	Nankhari, Bahli, Rampur,
			Kotgarh	Kumarsain, Kotgarh
14	9	Kinnaur	Kinnaur	Kalpa
15	13	Kinnaur	Kinnaur	Kalpa
16	5	Kinnaur	Kinnaur	Kilba
17	14	Kinnaur	Kinnaur	Moorang & Kalpa
18	23	Kinnaur	Kinnaur	Moorang
19	6	Kinnaur	Kinnaur	Kilba
20	3	Kinnaur	Kinnaur	Kilba
21	15	Kinnaur	Kinnaur	Moorang
22	12	Kinnaur	Kinnaur	Kalpa
23	11	Kinnaur	Kinnaur	Kalpa
24	Sg	Shimla	Shimla WL	Chandi WL
			Shimla UR	Shimla UR
			Shimla	Bhajji/Dhami
		Solan	Kunihar	Darlaghat
25	4	Kinnaur	Kinnaur	Kilba

<b>Abstract</b>			
<b>Sr.No.</b>	<b>Particular</b>	<b>Qty (No.)</b>	
1	Subcatchment	25	
2	District	5	
3	Division	10	
4	Range	19	