



Government of Odisha

GUIDELINE ON ENVIRONMENTAL AND SOCIAL MANAGEMENT SYSTEMS FRAMEWORK (ESMSF) & SCHEDULED TRIBE AND FOREST DEPENDENTS PLAN FRAMEWORK (STFDPF) UNDER OFSDP-II



Odisha Forestry Sector Development Project II
Odisha Forestry Sector Development Society
Forest, Environment and Climate Change Department, Govt. of Odisha





Environmental and Social Management Systems Framework (ESMSF)



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1.0 ESMSF and its Rationale:

Environmental and Social Management Safeguards (ESMS) is an Environmental and Social Management System which is a set of policies, procedures, tools and internal capacity to identify and manage an institution's exposure to the environmental and social risks due to project interventions.

It states an institution's commitment to environmental and social management, explains its procedures for identifying, assessing and managing environmental and social risk of physical and financial transactions, defines the decision-making processes, describes the roles, responsibilities and capacity needs of staff for doing so and states the documentation and record keeping requirements. It also provides guidance on how to screen and categorize interventions based on their environmental and social risks, conduct environmental and social mitigation measures with due diligence and monitor the environmental and social performance of the project components. It also provides guidance on how to screen components, categorize them under the OFSDP II based on their environmental and social risk, conduct environmental and social mitigation measures with due diligence and monitor the project's environmental and social performance.

JICA, which is the funding agency of the Odisha Forestry Sector Development Project – II, plays a key role in contributing to sustainable development in developing countries. The inclusion of environmental and social costs in development costs and the social and institutional framework, that makes such inclusion possible, are crucial for sustainable development. Internalisation and institutional framework are the prerequisite for measures regarding the environmental and social considerations for environmental and social impacts.

The OFSDP II project is currently categorised as "Financial Intermediary (FI)" in accordance with the JICA guidelines (2010) which means that the project would not exhibit any significant negative impact on environmental and social dimensions. However, under this project, a broad framework on Environmental and Social Management System Framework (ESMSF) and a specific framework on Scheduled Tribe and Forest Dependents Plan Framework (STFDPF) is mandated.

Environmental and Social Safeguard system under the OFSDP II is to follow proper procedures including the free, prior and informed consultations with the stakeholders such as VSS/ PRI members, Forest Department staffs on possible negative and positive environmental and social impacts of the sub-projects identified by the beneficiaries such as Scheduled Tribes/Scheduled Castes/Other Backward Castes and forest dependents in general. Micro-plan is the planning tool at the grassroot level and it would be used to develop the indicators on forest management, forest product harvesting, use and trading, seasonality etc., of the forest protection and it would also visualise the implementation of the project and its possible impacts. The broad checklist for monitoring of the environmental and social safeguard measures would be integrated into the Micro-plans for monitoring. The environmental and social management and monitoring plans are to be defined and followed for ensuring the successful implementation of the project components.

The Environmental and Social Management Safeguard Framework (ESMSF) for the OFSDP-II is the primary reference document outlining how environmental considerations will be addressed in project implementation. ESMSF works together with the Scheduled Tribe and Forest Dependents Plan Framework



(STFDPF) and also refers to the other safeguards tools which are intended to concentrate on or elaborate specific aspects.

2.0 Objectives of ESMSF:

Typically, the forest development projects focus mainly on the improvement of biodiversity, wildlife conservation, sustainable forest management, soil and moisture conservation. It is, therefore, a very positive development of the targeted forests. However, the other side of this intervention also invites some developments on construction of VSS cum IGA Facilitation Centre buildings, forest road construction, CC roads within the village, construction and transportation of boundary pillars during the forest demarcation, raising of RCC pillars, development of wells, pandals, draining nallahs and income generating programmes – such as running small machines and equipment which may create some environmental and social risks, though major impacts are not evident.

The project, therefore, provides a platform in shape of ESMSF to initiate the process on preventive measures during implementation of the project components, which will be environmentally sustainable and socially acceptable and contribute to avoid or at least minimize the vulnerability of population residing in the targeted project area of Odisha under OFSDP II. This necessitates an integrated approach during implementation of the project component. The ESMSF will, therefore, act as an instrument in providing necessary guidance and management process to achieve environmentally sound and socially acceptable project implementation during the project period.

ESMSF helps to establish a process for environmental and social safeguards which will permit the PMU to identify, assess and mitigate the impacts of the proposed interventions during the project period. In the process, the framework also determines the institutional measures to be taken during the program implementation.

The objectives of the ESMSF are as below:

- 1) To establish clear processes, procedures and methodologies (including screening) for environmental and social intervention planning, review, approval and implementation of the components under the project.
- 2) To provide practical guidance for identification, planning, designing and implementing the environmental and social management measures as an integral part of project execution.
- 3) To specify appropriate roles and responsibilities and outline the necessary reporting procedures, for managing and monitoring environmental and social concerns of the project components during the implementation;
- 4) To determine any other specific arrangements, including those related to training, capacity building and technical assistance (if required) needed to successfully implement the provisions of the ESMSF.
- 5) To enhance the project's positive environmental and social impacts and avoid or otherwise mitigate associated negative impacts;
- 6) To ensure the protection of local ecosystems and environmental resources vis-à-vis social culture, heritage in the implementation of project interventions.

The application and implementation of the ESMSF therefore, will:

- Support the integration of environmental and social aspects into the decision-making process of all stages project execution as envisaged under OFSDP II.
- Enhance the positive/sustainable environmental and social outcomes through improved/sensitive planning, design and implementation of project components.
- Minimize environmental degradation and social disintegration as a result of either individual project component or through their indirect, induced and cumulative effects, as much as possible.
- Protect human health and
- Minimize impacts on cultural property, if any.

3.0 Application, Revision and Target Groups of ESMSF:

3.1 Application:

The ESMSF will be integrated with implementation of following project components:

A. Sustainable Forest Management:

1. In JFM Mode
 - Silvicultural Operations including Plantation
 - o ANR without gap plantation
 - o ANR with gap plantation of 400 seedlings/ha
 - o ANR with gap plantation of 800 seedlings/ha
 - o Block plantation
 - Soil and Moisture Conservation Measures Drainage Line Treatment
 - Fire Prevention and Protection Measures
2. In Non-JFM Mode
 - Consolidation and demarcation of forest boundaries
 - Construction and improvement of permanent nursery- Hi Tech Nursery
 - Soil and Moisture Conservation Measures- Non-JFM Drainage Line Treatment
 - Farm Forestry

B. Experiments in Sustainable Biodiversity Management

- i. Formulation of scientific Health Report Card for concurrent monitoring of conservation and management parameters of Bhitarkanika Conservation Area (BCA).
- ii. Implementation of Satoyama Initiative model in Badarma Wildlife Sanctuary under Bamra Wildlife Division for Sustainable Biodiversity Management.

C. Livelihood Initiatives

- a. Comprehensive Community Development through inter-sectoral convergence with the schemes and programme of line Departments



- b. Coordination with line Departments for convergence through District Advisory Committee (DAC) at District level and Block Level Coordination Committee (BLAC) at Block level.
- c. Augmenting alternate livelihood options through Vana Surakshya Samitees (VSS)/ Self Help Groups (SHGs)/ Common Interest Groups (CIGs)/ Poorest of Poor (PoPs).
- d. Establishment of Multi- Product Clusters for promotion of Income Generating Activities in the project area.
- e. Establishing Livelihood Resource Centre (LRC) at PMU level to facilitate promotion of cluster based Income Generating Activities.

D. Capacity Building:

- i. Capacity Building Trainings & Orientations for all stakeholders
- ii. Consultations, Workshops and Seminars
- iii. Exposures

E. Knowledge Management and Documentation:

- i. Documentation of lessons learnt during implementation of project.
- ii. Publication of success stories, newsletters, theme based documentary films, quarterly reports, annual reports etc.
- iii. Publication of Training Materials and Guidelines.

F. Cross- cutting Issues

- a. Gender Mainstreaming
- b. Community Based Monitoring, Reporting and Reporting
- c. Environmental and Social Monitoring Framework

G. Monitoring and Evaluation System in OFSDP-II

The key elements of Monitoring and Evaluation System of OFSDP-II are mainly grouped in to a) Monitoring, b) Impact Assessment and c) Audit. The further, elements of the M&E arrangement are as follows:

- a. Monitoring:
 - 1) Current Monitoring and Periodic Reviews,
 - 2) Inter-sectoral Coordination Meetings for Convergence,
 - 3) Community Self-monitoring
 - 4) Computerized MIS & GIS,
 - 5) Computerized Accounting System,
 - 6) Technology based Monitoring-GIS and MIS applications, and
 - 7) Annual Strategy Planning and Review Workshops.
- b. Impact Assessment:

- 1) Annual Outcome Assessments,
- 2) Baseline and Impact Surveys, and
- 3) Thematic and short studies.
- c. Audits:
 - 1) Social Audits,
 - 2) Statutory Financial Audits,
 - 3) Concurrent Audits,
 - 4) Grievance Redressal, RTI and public disclosure,
 - 5) Operation and effect indicators

ESMSF is an essential ingredient aligned with the project activities and is to be followed through the entire project cycle. The use / implementation of the Environment and Social Management Systems Framework will support the achievement of compliance with applicable laws and regulations as well as with the requirements of relevant JICA policies on environment and social aspects.

3.2 Revision:

The ESMSF will be an 'up-to-date' or a 'live document' enabling revision as and when necessary. Unexpected situations and/or changes in the project or sub-component design would, therefore, be assessed and appropriate management measures will be incorporated by updating the Environment and Social Management Systems Framework. Such revisions will also cover and update any changes/modifications introduced in the legal/regulatory regime of applicable during the project implementation.

3.3 Target Groups:

The ESMSF will be applicable to the following target groups:

- 1. Project Implementors:**
 - a. Officials – Project Management Unit (PMU), Project Management Consultants (PMC), Division Management Unit (DMU) and Field Management Unit (FMU).
 - b. Hired personnel:
 - i. Personnel – DMU and FMU support team
 - ii. PNGOs
 - iii. Animators
- 2. Community Organizations:**
 - a. Vana Surakshya Samiti (VSS)
 - b. Self Help Groups (SHGs)
 - c. Common Interest Groups (CIGs)
 - d. Poorest of Poor (PoP)
- 3. Functionaries of Line Departments**



4.0 Defining Environmental and Social Vulnerabilities:

4.1 Environmental Vulnerabilities

Environmental vulnerability is a condition when ecosystem integrity is threatened by anthropogenic and/or natural hazards. This could happen over spatial and temporal scales of eco-systems. Factors that impact the environment negatively and thereby reduce the resilience of the environment to sustain varies spatially. Vulnerability may increase with the intensity and frequency of human interventions and/or natural hazards

4.2 Social Vulnerabilities

Social vulnerability is the status of a group of people who are typically socially excluded, frequently disadvantaged by discriminatory practices and are limited in their capacity to access benefit of development or opportunities offered in development programmes. This often happens because of their social characteristics such as culture, identity, economic systems and social institutions.

5.0 Policies to be adopted under ESMSF:

The policies, laws and rules applicable to the project are to be examined and the relevant ones are mentioned below at international to local (state) level. This section would be, further, upgraded as and when new laws, regulations and policies are made and enforced or existing ones are revised.

5.1 International level:

Policy: JICA Guidelines for Environmental and Social Considerations (2010)

Key Principles:

- JICA projects and programmes shall assess a wide range of environmental and social impacts.
- Environmental and social issues must be considered at an early stage in design and throughout the project cycle.
- JICA is responsible for accountability and transparency.
- Stakeholder consultation / participation is required in consideration of environmental and social issues
- Information disclosure is required
- Implementation of the guidelines should enhance organisational capacity to ensure appropriate consideration, management and monitoring of environmental and social issues.
- JICA is committed to addressing environmental and social issues in a prompt / timely manner.

Applicability to the project:

- JICA guidelines are applicable for all positive environmental and social safeguards during the project implementation.

National level:

Law/ Policy	Description/ Outline	Responsible Ministry/ Agency Relevance	Relevance
Indian Forest Act 1927	This Act was enacted to preserve forest cover and wildlife.	MoEFCC, State level Environment and Forest Departments	Since the project deals with Management of Indian Forests, hence it is the primary legal framework to be adopted.
Wildlife (Protection) Act 1972 and Amendment 1993	This Act provides for protection of wild animals, birds and plants.	MoEFCC/ State Wildlife Department	As some of the project interventions will be located in notified or designated protected areas, such as Wildlife Sanctuaries and National Parks, the Wildlife (Protection) Act, 1972 would be relevant in safeguarding the wildlife concerns.
Biological Diversity Act 2002	This is an umbrella legislation aimed at conservation of biological resources and associated traditional knowledge as well as facilitating access to them in a sustainable manner and through a just process.	National Biodiversity Authority, Chennai, State Biodiversity Board	Since the project addresses Biodiversity Conservation through the forest fringe communities, this application will safeguard the use of forest resources and traditional knowledge systems.
The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 or Forest Rights Act	The Act seeks to recognize and bestow the usufructuary forest rights among the forest dwelling Scheduled Tribes and other traditional forest dwellers who have been residing in such forests for generations.	Ministry of Tribal Affairs, Government of India	The forest fringe dwelling villages, willing to come within the purview of project, will resolve to participate in the project in their first General Body. Further, all Executive Committees of VSS are to be nominated as the sub-committee to protect and conserve the natural resource and wildlife by the Gram Sabha. Areas having individual rights are excluded from the project. Since the project would deal with forest dwellers and forest dependent people and it would address the needs of the forest dwellers and dependents in general, this Act is relevant.



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State level:

Law/ Policy	Description/ Outline	Responsible Ministry/ Agency Relevance	Relevance
The Odisha Forest Act, 1972	The Odisha Forest Act has been framed for protection and conservation of forests of Odisha.	Department of Forests, Environment and Climate Change, Odisha.	To be used by the Forest Department Officers in case of urgency arising out of theft of forest produce from JFM areas.
The Wildlife (Protection) (Odisha) Rules 1974	The purpose of these Rules is to carry out the provisions of the Wild Life (Protection) Act, 1972.	Department of Forests, Environment and Climate Change, Odisha.	May be used by the Forest Department Officials in case of situations arising out of poaching of wild animals from JFM areas.
The Odisha Forest (Grazing of Cattle) Rules, 1980	The Forest Department may declare any forests area to be "closed" to grazing from time to time, which will be notified in Oriya language at prominent places in the surrounding villages and also by proclamation by beat of drums in these villages, which will also notify the period of closure and the kind of animals to which the area is closed.	Department of Forests, Environment and Climate Change, Odisha.	The grazing would be controlled in JFM areas.
The Odisha Forest Produce (Control of Trade) Act, 1981 [Odisha Act 22 of 1981]	The main objective of this Act is to prevent smuggling of "forest produce" and to provide for State monopoly in specified forest produce.	Department of Forests, Environment and Climate Change, Odisha.	Relevant only in case of some timber species.



<p>Joint Forest Management Resolution, 2011 read with the 2015 Amendment</p>	<p>Joint Forest Management (JFM) is a programme where forest management is done through partnership between state forest departments and forest fringe dwelling communities. The programme emphasizes on participatory method of working with the involvement of local villagers and forest officials forming a committee commonly known as Vana Surakshya Samiti (VSS) or Joint Forest Management Committees. The stakeholders of this JFM programme include forest departments, VSS members, PRI members, SHG members and PNGOs members involved in forest management activities of specific areas.</p>		
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Relevant Social Policies:

Social Policy	Salient features	Applicability
<p>Mahatma Gandhi National Rural Employment Guarantee Act, 2005</p>	<p>The objective of the Act is to enhance livelihood security in rural areas by providing at least 100 days of guaranteed wage employment in a financial year to every household whose adult members volunteer to do unskilled manual work.</p>	<p>It is relevant, since it would augment the income of forest fringe dwellers.</p>
<p>The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006</p>	<p>This act is also otherwise known as Forest Rights Act or the Tribal Rights Act or Tribal Land Act. The law concerns the rights of forest-dwelling communities to land and other resources, denied to them over decades as a result of the continuance of colonial forest laws in India.</p>	<p>It is relevant to the extent of use of community resources and collection of NTFPs.</p>

6.0 Primary Procedures of ESMSF:

6.1 Stakeholders' Consultation

- Stakeholders would include VSS members, SHGs/ CIGs/ PoPs under VSS, Animators and p- NGOs and Project personnel of PMU, PMC, DMU, FMU and other line Departments.

- Their involvement mechanisms are the central to the design and implementation of the project and provide opportunities for information sharing, consultation and collaboration measures.
- During planning stage involvement requires participation in site selection and design, implementation phase requirements encourage community feedback for a more participatory monitoring.
- Due convergence will be made towards stakeholders' participation and maximising the benefits through their participation.

6.2 Free, prior and informed consultation

- Communities involved in the implementation of project components are adequately represented in consultation meetings and during the information disclosure.
- Consultation meetings and disclosing information must include written materials and language of communication should be in local language Odia.
- Contents of written materials should be simple enough for everyone to follow.
- Opportunities and facilities to facilitate participation of women, elders and other vulnerable should be considered.
- It will be the responsibility of the animators/ p- NGOs/ project personnel to make sure that visualization and visual presentations are used as much as possible.

6.3 Stages of Stakeholder's Consultation

Stakeholders' consultation should be held at the levels of implementation of a component through capacity building initiatives, reviews and meetings depending upon the role played by the stakeholder group.

The prescriptive stakeholder consultations may be referred as below:

S. No	Stakeholder	Stages of consultation
1	<ul style="list-style-type: none"> • Project Implementers • Personnel – at PMU, DMU and FMU • Hired Personnel – staffs at DMU/FMU and support teams • PNGO teams • Animators 	<ul style="list-style-type: none"> • While planning for implementation of a component • During capacity building initiative • During the preparation of guidelines on various aspects • During actual implementation
2	<ul style="list-style-type: none"> • Community Organizations • VSS members • SHG Members • CIG Members • PoP 	<ul style="list-style-type: none"> • During the meetings for mobilisation of VSS, SHGs, CIGs and PoPs • During PRA exercise and finalisation of micro plan • During constitution and functioning of SHGs, CIGs and PoPs
3	Personnel of Line Departments	<ul style="list-style-type: none"> • At the time of participating in the PRA exercise during micro planning • At the time of participating in the PRA exercise during micro planning • During the DAC and BLAC Meetings



7.0 Tools to be adopted under ESMSF:

7.1 Social Assessment:

- Social Assessment is a tool to help understanding key social issues and risks, and to determine social impacts on target population of the proposed sub-projects.
- It is a type of social analysis that will be undertaken by the implementing agency during the project implementation.
- Social assessment is envisaged to be included in the micro planning process from the results of the Rapid Rural Appraisal, Participatory Rural Appraisal, product identification, livelihoods assessment, natural resource assessment and community feedbacks.
- Social assessment will also form a part of the Base Line Study on Social and Physical Condition of Project Area.

7.2 Micro Plan Preparation

- Under OFSDP II, a community development plan, namely- the Micro Plan will be prepared for each VSS and duly ratified by the respective Gram Panchayat, so that the Annual Action Plans of the Micro Plan may be included in Annual Action Plan of community development at the Gram Panchayat level.
- During the preparation of Micro Plans, the infrastructure, livelihood and other forestry activities related to environmental and social safeguards will be incorporated.
- The Micro Planning process will involve specific procedures ensuring that the needs and priorities of vulnerable groups are reflected in the plan.

7.3 Social Audit

- Social & Environmental Issues / Risks identified and the mitigation measures taken during implementation of project are to be discussed during the Social Audit of each VSS as an measure to Public Consultation and information disclosure

7.4 Grievance Redressal Mechanisms:

- Grievance redressal and suggestions of the community are duly incorporated through various PRA exercises in the Microplans prepared for each VSS.
- If deemed necessary, it is important to establish a grievance redressal committee to respond effectively in a timely & responsible manner.
- The committee may be formed at the FMU Level with the following constitution:
 - FMU Chief - Chair person
 - FMU- Co-ordinator - Member
 - P- NGO Team Leader - Member
 - Local Forester - Member
 - Two women representatives of the VSS -Member
 - Ward member (s) concerned – Ex-Officio member
 - Secretary of the VSS – Convener
- In case the aggrieved person is not be satisfied with the decision of the aforesaid committee, the matter will be referred to the Asst. DMU Chief & the decision of the Asst. DMU Chief shall be final.

7.5 Monitoring and Integration into MIS:

- The data generated as a result of field level Environmental and Social Management Safeguard Framework will be collected through structured questionnaire/ framework for monitoring of environmental and social safeguards.
- The data collected would be integrated into the OFSDP II Management Information System (MIS) for analysis of gathered information and for generation of periodic reports.
- These periodic reports will assist in decision making on the OFSDP II monitoring the impacts of project implementation.
- The decisions will include inventory, physical and financial progress, timeline, personnel and management measures taken to minimise the environmental and social risks that may have emerged due to project implementation.

8.0 Environment and Social Risks and Mitigation Measures:

The Project will have mainly positive environmental and social impacts. The below describes broad project benefits and positive environmental and social impacts.

- a. Forest / Natural and Physical Capital Benefits
 - Improved forest quality and quantity
 - Improved environmental services derived from forests such as improved forest cover, precipitation, watershed protection, reduced soil erosion,
 - Construction/Improvement of community infrastructure and facilities
- b. Social Capital Benefits
 - Strengthened community institutions
 - Empowerment and reduced drudgery of women
 - Gender mainstreaming
- c. Financial Capital Benefits
 - Provision of alternative sources of incomes
 - Direct and indirect employment opportunities arising from project activities
 - Diversification of income sources and reduced financial risk
 - Improved access to credit resulting in financial empowerment of the forest fringe dwellers
- d. Human Capital Benefits
 - Increased technical capacity for sustainable management of forests
 - Increased entrepreneurial and business management capacity of SHGs, CIGs and PoPs
- e. Improved Structures and Processes
 - Increased participation of community in development planning and allied activities
 - Increased participation of local people in sustainable forest management
 - Improved capacity of government departments and extension service delivery

On one hand, the benefits accruing due to implementation of project components are innumerable. On the other hand, the Project implementation could also bring a number of adverse environmental and social impacts. The following table presents component wise perceived environmental and social risks and the corresponding mitigation measures.



8.1 Environment Vulnerabilities and Mitigation Measures under OFSDP-II

Components	Environmental Vulnerabilities	Mitigation Measures
Preparatory Phase	<ul style="list-style-type: none"> Lack of awareness about the project components 	<ul style="list-style-type: none"> Preparation of guidelines at PMU level for appropriate awareness on the issue through proper capacity building.
Sustainable Forest Management: (Plantation & Farm Forestry)	<ul style="list-style-type: none"> Plantation of exotic / Species Indiscriminate use of Chemical pesticides / fertilisers Indiscriminate use of poly-bags for raising seedlings 	<ul style="list-style-type: none"> Exotic species are to be strictly avoided Selection of indigenous species for plantation in consultation with the communities Promotion of use of bio-pesticides and bio-fertilizers Use of poly bags within the acceptable micron limits and its proper disposal.
Sustainable Forest Management: (Soil & Moisture Conservation)	<ul style="list-style-type: none"> Possibility of cement structure for soil and moisture conservation measures in Reserve / Protected Forest Area 	<ul style="list-style-type: none"> Promotion of earthen and stone cairn structures for soil and moisture conservation measures Regular maintenance of trenches / contour trenches and other DLT Structures Appropriate selection of site for undertaking SMC Measures Promotion of indigenous technical knowledge on SMC Measures
Fire Protection & Management	<ul style="list-style-type: none"> Possibilities of forest fire in the project areas due to natural and man-made reasons 	<ul style="list-style-type: none"> Sensitization of the community members on the measures for reducing forest fires both due to natural and man-made reasons. Identification of fire prone areas and fire planning Regular maintenance of fire line constructed under the project to avoid or control forest fire.

<p>Community Development Infrastructure: (Construction of VSS cum IGA Buildings)</p>	<p>Dust Pollution due to transportation of construction materials to work site</p> <ul style="list-style-type: none"> • Possible loss of green coverage due to site clearance on construction work • Environment pollution due to absence of practice in waste management 	<ul style="list-style-type: none"> • Covering the containers with appropriate materials / sprinkling of water on the transportation material for least air pollution during transportation. • Sprinkling of water on the earthwork areas to minimise dust • Use of mask/ gloves / safety foot wear at construction sites etc. • Site clearance of construction site to be avoided completely • Possible re-use of waste products • Adequate awareness / sensitization on waste product management
<p>Community Development through Convergence: (Road Construction & Repair/Construction of Community level Infrastructures etc.)</p>	<ul style="list-style-type: none"> • Do 	<ul style="list-style-type: none"> • Do
<p>Livelihood Promotion: (Unscientific harvest of NTFP)</p>	<ul style="list-style-type: none"> • Unscientific harvest of NTFP as threat to forest degradation • Apprehension of forest fire due to ill practice of NTFP Collection 	<ul style="list-style-type: none"> • Adequate sensitization programme for the communities on scientific harvest practices of NTFP. • Reduction of biotic pressure on forest by augmenting non NTFP based livelihood • Initiatives towards value addition/ processing of NTFP products for remunerative income.



8.2 Social Vulnerabilities and Mitigation Measures under OFSDP-II

Components	Environmental Vulnerabilities	Mitigation Measures
VSS Selection & Membership	<ul style="list-style-type: none"> • Random selection of VSS • Members in the VSS do not associate with the project as they are not aware of Project outcomes • Economically vulnerable Households are not included in VSSs 	<ul style="list-style-type: none"> • Selection of VSS is to be done based on a set of predefined criteria depending on level of forest degradation, poverty level and predominance of socially vulnerable classes • Community Mobilization is to be conducted to sensitize the villagers on the project components and outcomes. • To have definite plan to address the issues of Poorest of Poor households, vulnerable households, women headed poor household in the Village
Survey & Demarcation across the assigned area	<ul style="list-style-type: none"> • Possible Conflict with the neighbouring villages on demarcation of boundary of assigned area 	<ul style="list-style-type: none"> • Finalisation of boundary and demarcation assigned area of the VSS in presence of representative of all villages with common boundary along with the Member Convenor of concerned VSSs.
Micro Planning	<ul style="list-style-type: none"> • Conflict over the sustainable use of natural resources 	<ul style="list-style-type: none"> • Procedural steps for ensuring adequate consultation and participation of vulnerable groups in micro planning • Participatory procedures for micro planning, screening of sub-projects and avoidance of projects which may lead to conflict

Sustainable Forest Management: (ANR/AR/SMC/Farm Forestry / Temporary Nursery Establishment/ Fire line Construction)	<ul style="list-style-type: none"> Conflict on Choice of Species for Plantation and Plantation models 	<ul style="list-style-type: none"> Project to formulate guidelines on Plantation Models and Choice of Species. Participatory process to be followed for selection of indigenous species.
	<ul style="list-style-type: none"> Economically vulnerable households and women are deprived from getting employment in forestry activities and being paid daily wage under SFM Activities 	<ul style="list-style-type: none"> Economically vulnerable households and women are to be identified during Social Assessment Processes during Micro Planning. Priority should be given to employ the poorest of poor households and women in wage generating employment under SFM Works Discrimination in term of caste / class / gender / religion should be avoided
	<ul style="list-style-type: none"> Payment of equal wages to men and women 	<ul style="list-style-type: none"> Payment of equal wage for men and women is to be ensured by project functionaries. Record of details of wage payment is to be maintained at VSS level DBT Mode of payment is to be put into practice.
	<ul style="list-style-type: none"> Conflict on equitable distribution of JFM usufructs 	<ul style="list-style-type: none"> VSS members are to be sensitized on the JFM Guideline on sharing of usufructs from the assigned forest.
Livelihood initiatives	<ul style="list-style-type: none"> Exclusion of POPs / highly dependent households on forest resources for facilitating IGA 	<ul style="list-style-type: none"> Economically weaker households are to be selected through well being raking conducted in PRA exercise during Microplan preparation
	<ul style="list-style-type: none"> Conflict on sanction of Revolving Fund to different SHGs / CIGs/ PoPs for undertaking IGA 	<ul style="list-style-type: none"> Clear Guideline of utilization of Revolving Fund and timely refund of loan. Maintenance of record at VSS level Capacity Building of VSS members on sanctioning of loan and preparation of BP of the SHGs / CIGs / PoPs



	<ul style="list-style-type: none"> Gender Issues in selection of beneficiaries for IGA Activities 	<ul style="list-style-type: none"> CIGs/ POPs/ Women SHGs have been proposed Other deprived groups, irrespective of gender are to be prioritized through well being ranking
Capacity Building	<ul style="list-style-type: none"> Conflict on selection of appropriate beneficiaries for Capacity Building Training 	<ul style="list-style-type: none"> Beneficiaries for Capacity Building programme are to be selected following the criteria indicated in the TNA Document of OFSDP-II
	<ul style="list-style-type: none"> Timing and Location of training Programme 	<ul style="list-style-type: none"> Training timing & location is to be fixed keeping in mind the local issues and challenges
Community Development	<ul style="list-style-type: none"> Poor and vulnerable families are deprived from the outcomes of the community development activities 	<ul style="list-style-type: none"> Identification of comprehensive development plan for the village through participatory micro planning processes and scheduling of work to be prepared based on priority. The issues relating to economically vulnerable households are to be addressed on priority.
	<ul style="list-style-type: none"> Safety Measures at Workplace. 	<ul style="list-style-type: none"> Safety measures are to be ensured at work place
Monitoring and Reporting	<ul style="list-style-type: none"> Conflict on Monitoring and reporting on the Project Components 	<ul style="list-style-type: none"> Participatory mode of M&E is to be implemented Periodic Monitoring system is to be institutionalized. VSS level Governing Body Meeting / Social Audit etc. are to be institutionalized. Records and Documents on M&E are to be maintained at VSS level. Dedicated IMS portal to be designed for enabling reporting.

9.0 Institutional Set Up:

The institutional set up that will be followed for implementing, managing and monitoring the ESMSF is given in the following table which briefly describes the roles of institutions and their responsibilities:

Institution	Roles in the project	Responsibilities in the ESMSF
At OSFDS level		
High Power Committee (HPC)	<ul style="list-style-type: none"> • Highest decision-making body • Facilitates inter-departmental coordination 	<ul style="list-style-type: none"> • Facilitation and coordination with various line departments and other agencies • Provide directions and advice to PMU to ensure smooth and efficient project implementation of Environment and Social Management Safeguards Framework
Governing Body (GB) of OFSDS	<ul style="list-style-type: none"> • Decision Making Body 	<ul style="list-style-type: none"> • Review functioning of PMU, with regards to implementation of environmental and social assessments, management plans and monitoring programmes • Provide guidance to PMU in preparation of proposals and various components of environmental and social assessment activities.
Project Management Unit	<ul style="list-style-type: none"> • Project implementation, supervision and monitoring of all activities • Documentation and reporting 	<ul style="list-style-type: none"> • Responsible for planning on implementation of the ESMSF • Report to concerned departments in the State Government as well as to JICA in relation to environmental and social consideration in Annual Report in case if environmental negative impacts are identified. • Information disclosure including elaboration of project information brochures and project homepage. • Consultation and guidance to DMUs and FMUs and field level officers on information disclosure and consultation • Development of Management Information System (MIS) • Development of approach and guidance for micro planning • Training on micro planning to field level officers • Technical guidelines for beneficiary selection, design of component technical approaches, safeguard checks/guidelines for particular activities (if required) • Development of monitoring forms, review of monitoring data, reporting, assistance with evaluations • Review participatory Environmental and Social Assessments • Regular follow up • Guide, instruct, prepare guidelines, establish and operate Monitoring and Evaluation, GIS/MIS, dissemination of project information, hand holding support in the field for all project activities.



Institution	Roles in the project	Responsibilities in the ESMSF
DMUs	<ul style="list-style-type: none"> • Additional DMU Chief under guidance of DMU Chief would organise the Environmental and Social Considerations programmes in DMU. • Assist PMU in implementation of project activities. Both signed hard and soft copies of reports to be sent to PMU for record • Coordinate with subject matter experts at PMU 	<ul style="list-style-type: none"> • Supervise project activities of FMUs • Supervise the works carried out by partner NGOs and Resource Organisations • Report the result of categorisation of sub projects by the monitoring form to PMU • Facilitate convergence at divisional level
FMUs	<ul style="list-style-type: none"> • Assist DMUs and PMU in implementation of project activities • Coordinate with Gram Sabha and animators with organisation of project activities, ensure appropriate beneficiary selection, promotion of convergence etc 	<ul style="list-style-type: none"> • Undertake project monitoring and reporting, provide logistical support for independent evaluations • Coordinate with Gram Sabha to select sub-projects with screening procedures and to conduct participatory Environmental and Social Assessments • Support and encourage EDC/VSS for micro planning at village levels, finalization of micro-plans • Conduct prior and informed consultations and due diligence checks.

Institution	Roles in the project	Responsibilities in the ESMSF
Field level Officers	<ul style="list-style-type: none"> • Assist Gram Sabha and implementing bodies for implementation of project activities • Assist Gram Sabha with organisation of project activities, ensuring appropriate beneficiary selection, promotion of convergence etc. 	<ul style="list-style-type: none"> • Support Gram Sabha with project monitoring and reporting, logistical support for independent evaluations • Assist Gram Sabha to select sub-projects with screening procedures • Support Gram Sabha to conduct participatory Environmental and Social Assessments • Support EDC/VSS for micro planning at village levels, finalisation of Micro plans • Support OSFDS for prior and informed consultations and due diligence checks.
At PRI (Local Self Government) level		
Gram Sabha	<ul style="list-style-type: none"> • Assist the Project in selecting target beneficiaries • Clarify local needs and expectations on the project 	<ul style="list-style-type: none"> • Conceive and raise local awareness on environmental and social considerations • Provision of support in micro planning at village level • Participating in Environmental and Social Assessments • Supporting OSFDS for free, prior and informed consultation and due diligence checks.



Institution	Roles in the project	Responsibilities in the ESMSF
Vana Suraksha Samiti / Eco Development Committee	<ul style="list-style-type: none"> • Individually and collectively protect the forest, wildlife and biodiversity. • Put in necessary efforts so that adjoining catchments area, water resources and other ecologically sensitive areas are protected. • Plantation of indigenous medicinal and NTFP species in the forests as well as outside the forest area adjoining the village. • Decisions taken in the Palli Sabha to regulate access to community forest resources and stop any activity which adversely affects the wildlife, forests and the biodiversity, are complied with. 	<ul style="list-style-type: none"> • Protection of the forest, wildlife and biodiversity. • Protection of adjoining catchments area, water resources and other ecologically sensitive areas. • Plantation of indigenous medicinal and NTFP species in the forests as well as outside the forest area adjoining the village.

9.1 Individual Roles and Responsibility for ESMSF

Institution / Title		Roles and Responsibilities
PMU		<ul style="list-style-type: none"> Overall responsible for ensuring development of ESMSF in the Project Overall coordination and promotion of ESMSF compliance Responsible to centrally manage information related to ESMSF Responsible to report to concerned line Departments in the State Government as well as to JICA in relation to environmental and social consideration
Position	For ESMSF	<ul style="list-style-type: none"> Responsible for implementation of ESMSF for their activities in each designated work field
JPDs	Environmental and Social Safeguard Directors	<ul style="list-style-type: none"> Responsible for monitoring all the field level activities relating ESMSF Responsible for examination of safeguard compliance
DPD Concurrent Monitoring & Evaluation Studies	Environmental and Social Safeguard Manager	<ul style="list-style-type: none"> Responsible for conducting overall management of ESMSF monitoring and ESMSF related information for the Project
DMU Officers	Environmental and Social Safeguard Chief	<ul style="list-style-type: none"> Responsible for conducting overall management of ESMSF monitoring and ESMSF related information within DMU Responsible for regular collection of ESMSF information as a part of MIS format
FMU personnel	Environmental and Social Safeguard in-charge	<ul style="list-style-type: none"> Responsible for regular collection of ESMSF information as a part of MIS format at FMU level Providing hands-on assistance to VSSs/ EDCs, SHGs, CIGs and POPs and Working Groups regarding ESMSF Closely communicating with the Environmental and Social Safeguard Focal Person for timely action if necessary
Members of Gram Sabhas, VSS/EDC/ SHG/ CIGs/ PoPs	Environmental and Social Safeguard Nodal Person	<ul style="list-style-type: none"> Support the Project for compliance of ESMSF from the perspective of PRI Encourage beneficiaries to participate in activities relating ESMSF



The Management Information System (MIS) under the Geomatic Cell of the project will include collection of safeguards-related data and the Project will also be subject to periodical evaluation and review, which will include examination of safeguards compliance. Through the Environmental and Social Safeguard Chiefs at DMU level, information will be regularly collated as a part of MIS format by the Environmental and Social Safeguard Manager who will be responsible for management of ESMSF monitoring and ESMSF related information of the Project.

10.0 ESMSF for Management, Monitoring and Reporting:

The project components under the OFSDP II Project will mostly create positive impacts. The Environment and Social Management Safeguard Framework has been designed to be done at the field level, namely at the FMU Level and at the VSS level. The Frameworks for assessing the Environmental and Social Safeguards for both levels are placed at the Annexures II and III for the VSS Level and in Annexures IV at FMU level.

At the VSS level, this framework will be incorporated in the revisit of Microplans so as to enable the community to monitor the impact of project implementation and simultaneously mitigate any adversities. The spectrum and quantum of management measures are determined after series of result assessments. At the FMU Level, Framework will be collated for submission to the DMU.

The FMU wise framework will be collated and submitted to the PMU for record. The monitoring indicators along with the means and frequency of verification and responsibility level have been compiled in the table given below:

ESMSF: Monitoring Items, Indicators, Means and Frequency of Verification & Responsibility Framework

S. No	Item of work	Indicator	Means of Verification	Frequency	Responsible Party
1.	Information disclosure and establishment of broad community support	<ul style="list-style-type: none">Number of Guidelines developed on various project componentsNumber of Capacity Building Trainings and Orientation programmes organized for awareness generation of all stakeholders on project interventions	Disclosures in the website of OFSDS	Annually once	PMU/ OFSDS

S. No	Item of work	Indicator	Means of Verification	Frequency	Responsible Party
2	Social Inclusion	<ul style="list-style-type: none"> Demographic Profile of the Target VSS Participation of Members in microplan preparation and meetings of the VSS 	<ul style="list-style-type: none"> Microplan Resolution Register of the VSS Meeting and Membership Registers 	Periodically	PMU /DMU/ FMU/ VSS Levels Field level officers in consultation with and participation of Gram Sabha
3	Preparation of Micro Plan	<ul style="list-style-type: none"> No. of men, women, BPL, SCs/STs consulted in micro planning % of interviewees satisfied with micro plans Linkage/convergence with other schemes 	Micro plans	For every micro planning	FMUs with the support from Gram Sabha
4	Implementation of Project Components	<ul style="list-style-type: none"> No. of projects Components Component wise physical and Financial Progress 	<ul style="list-style-type: none"> List of sub-projects Reports on the Project Progress 	Periodically through MPRs/ QPRs/ Annual Reports	PMU/ DMU/ FMU/ VSS OFSDS
5	Monitoring and Evaluation	<ul style="list-style-type: none"> Component wise physical and Financial Progress 	<ul style="list-style-type: none"> Monthly, quarterly, annual monitoring forms Social audit reports 	Periodically through MPRs/ QPRs/ Annual Reports	PMU/ DMU/ FMU/ VSS OFSDS
6	Grievance Redressal Mechanism	<ul style="list-style-type: none"> No of grievances received No of grievances resolved RTI Procedures 	<ul style="list-style-type: none"> Petitions and RTI Applications received 	Disposal of each petition and application	PMU/ DMU/ FMU, OFSDS



The component wise impacts of implementation of project interventions have been collated in the table given below:

Component wise Environmental and Social Impacts of implementation of OFSDP II

S. No	Project Components	Environmental impacts Positive / Negative	Environmental mitigation measures	Social impacts Positive / Negative	Social mitigation measures	Remarks
Sustainable forest management (JFM Mode)						
1	Assisted Natural Regeneration (ANR)	This intervention has positive impacts & is eco-friendly - it enhances the bio diversity of the forest and has positive contribution to the eco system This is an environment friendly activity. It helps to enhance the bio mass & facilitate carbon sequestration	In view of positive environmental impact, no mitigation measure required	Positive	Nil	This intervention is eco-friendly & favourable for the society.
2	Block Plantation (AR)			Positive	Nil	This is an eco-friendly activity
3	Fire protection	This intervention will facilitate protection of the bio diversity of the forest from the damaging effects of fire	In view of positive impact, no mitigation measures will be required.	Positive	Nil	This intervention has positive impact on the forest & environment as a whole.
	Consolidation and demarcation of forest boundaries	This intervention has positive impact on the forest as it will check encroachment of forest land.	No mitigation measures are required in view of positive impact.			It is an intervention with positive impact, conflicts at the social level may not be ruled out

4	Construction and improvement of permanent nursery	Use of pesticides may invite soil toxicities and pollution Un planned solid waste management may also lead to pollution	Root trainer method of raising seedlings with use of biofertilizer to be preferred Solid waste management to be properly planned by way of preparing compost pits etc.	Positive	Nil	With proposer safeguards, least impact is envisaged
5	Drainage line treatment	Checks soil erosion Conserve Soil moisture regime	Positive impact on the Soil moisture regime.	Positive	Nil	
6	Farm Forestry	This intervention helps in increasing the biomass – it is an eco-friendly activity.	In view of positive impact, no mitigation measure required.	Positive	Nil	
Livelihood Promotion						
1	Livelihood Initiatives	This component reduces the dependence of forest fringe dwellers on the forests	Has a positive impact on adjoining forests	Positive	Positive	
2	Income Generating Activities	Production of Organic Products is involved.	Sensitisation and handholding support for waste management to be conducted.	Positive	Nil	
Capacity Building						
1	Capacity Building	This intervention shall have positive environmental impact	In view of no positive impact, mitigation measures may not be necessary	Positive	Nil	



Supporting activities						
1	VSS building / other community activities (construction of Bathing Ghats / renovation of wells/ upgradation or construction of village roads etc.)	It may lead to air, and water pollution in shape of dust emission, water stagnation, improper drainage planning	The executing person should be careful to sprinkle water in case of dust emission and should plan the drainage around wells / bathing ghats suitably so as to avoid stagnation of water. Vehicles transporting building material should cover them suitably to avoid dust pollution.	Safety of the workers engaged in the civil work. Gender inequality & payment of less wages to women labour.	The person responsible for execution to adopt sufficient measures such as (i) provision of Personal Protection Equipments such as head cover/helmet, rubber boots, first aid kits, gloves etc. Equipments use as respirators, skin protection, eye protection, hearing protection may also be used. (ii) providing creche for their children, (iii) first aid and drinking water facility at the work site. The executing person should ensure payment of minimum wage rate to all concerned engaged in the work. FMU and VSS to take precautionary steps.	

Periodic monitoring of the possible impacts of the project interventions is to be followed periodically with structured frameworks which would then be integrated into the MIS of OFSDP-II.

The Frameworks for assessing the Environmental and Social Safeguards for both levels are placed at the Annexures I and II for the VSS Level and in Annexures III at the FMU level.

11.0 Capacity Building:

11.1 Target Groups

Capacity building processes are to be adopted by which the PMU, DMU, FMU, p- NGOs, Animators, community members would achieve the knowledge and skill needed for environmental and social safeguards under the OFSDP II.

11.2 Periodicity and Processes

The capacity building process will follow the following steps:

Preparatory activities:

- Preparation of annual training calendar
- Identification of resource organisations and persons
- Preparation of study materials – training modules

Training activities:

First hand and refresher training of a suitable duration on Environmental and Social Management Safeguard Framework and monitoring will be included in the programmes at various levels with thematic details. These details are mentioned in following tables in sequence.

Training Pattern of concerned stakeholders on Environment and Social Considerations under OFSDP II

Training levels	Training content	First hand training	Refresher training	Key participants	Purpose of training
PMU	Detailed understanding on: Environmental and Social Management Systems Framework	Yes	Yes	Project Personnel from PMU, PMC and DMU Chiefs	Orientation of Management and Administrative level officers
DMU		Yes	Yes	DMU Chiefs FMU Chiefs	Orientation of Operational level Officers
FMU		Yes	Yes	Project Personnel at FMU Level, VSS members, PRI members	Orientation of Field level Project Personnel

11.3 Training Themes

Themes of training programmes on Environment and Social Management Systems Framework

Training module	Content of the modules
General orientation on ESMSF	<ul style="list-style-type: none"> • JICA's guideline on Environmental and Social Considerations • Introductory concept on environmental and social safeguards • Policy overview of Environmental and Social Safeguards • Safeguard issues related to vulnerable groups • ESMSF steps and its use so far
Monitoring and Evaluation for Environmental and Social Safeguard	<ul style="list-style-type: none"> • Monitoring and Evaluation concept and procedures • Microplan • Monitoring and reporting of safeguards • Integration of Monitoring results into MIS



11.4 Development of Capacity Building Training Module

A brief training module will be developed for various components of Environmental and Social Safeguards. It will provide a brief outline of the OSFDP II project, stakeholders and their participation, management principles, detailed procedures on environment and social risks etc. as a trainer's guide. The same module will also consist of the trainee's intervention on each aspect of environmental and social safeguards for the trainees.

11.5 Number of Capacity Building Trainings

The number of Capacity Building Trainings required for the purpose will be worked out while preparation of the CBT Module. However, the tentative numbers of Batches of CBT are given below:

Type of training	PMU/DMU		FMU		Total	
	No	Person days	No	Person days	No	Person days
Refreshers' training	10	40	120	40	130	5200

12.0 Monitoring System for Environment and Social Consideration

Environment and Social Management System Framework (ESMSF) and the Scheduled Tribe and Forest Dwellers Plan Framework (STFDPF) shall be monitored in the Project. ESMSF /STFDPF will be monitored through regular project monitoring and evaluation structure proposed for the Project.

The structure of monitoring system is basically same as the Project component monitoring system. At the village level, periodic monitoring and reviews will be conducted by respective VSSs/EDCs. FMU shall compile monitoring and reviews monthly and thereafter, DMU shall collate the data and report it monthly to PMU, which analyse the result and report it to concerned departments in the State Government as well as to JICA in case of any negative impact being reported.

The PMU shall submit to JICA the monitoring form Annexure 1, in case if any activity categorized as B is reported in its target VSS/EDC at the timing of approval of Micro Plans. Annual Progress Reports shall also deal with the crosscutting issues on Environmental and Social Consideration and any negative impact must also be recorded.

PMU shall hire expert(s)/ specialist(s) in the field of Environment and Social Consideration so as to ensure implementation of the Project according to the JICA guidelines. The experts/specialists shall support PMU in preparation of monitoring framework and schedule based on ESMSF.

Annexure I

Performance Monitoring Form for ESMSF

1. Basic Information _____

Name of Organization: _____ From: _____

Completed by (Name): _____

Position in Organisation: _____ To: _____

Reporting Period: _____

Completed in (MM/YY): _____

2. Sub-projects using JICA Funds during the Reporting Period

Name of Sub-projects Approved During the Reporting period	Industry/ Sector	Project Scope	Project Cost (JPY)	Approval Date	Environmental category*	Reason of Categorization	Documents Made (e.g., EIA, RAP, IPP)	Any Outstanding Environmental IR or IRR** Issues

*Please refer Environmental and Social Categorization: Definition or II.2.2. of JICA Guidelines for Environmental and Social Considerations (April 2020)**IR=Involuntary Resettlement, IP=Indigenous People

3. Sub-projects using JICA funds to be Approved in the Next FY

Name of Sub-projects Approved During the Reporting period	Industry/ Sector	Project Scope	Project Cost (JPY)	Approval Date	Environmental category*	Reason of Categorization	Documents Made (e.g., EIA, RAP, IPP)	Any Outstanding Environmental IR or IRR** Issues

4. Environmental and Social Management System (ESMS)

Please describe if ESMS of your organization has changed in any way (e.g establishment of a new division for environmental and social management) since JICA's appraisal.



Annexure II

Framework for Environmental Safeguards at VSSs/ EDCs Level

S. No.	Item of Work	Environmental Safeguards at VSSs/ EDCs Level	Measures Taken	
			Yes	No
1.	Sustainable Forest and Biodiversity Management			
2.	Forest Protection	Forest Protection Measures taken by VSS Members		
		Controlled grazing is adopted by VSS Members		
3.	Fire Control and Management	Planning for Protection of Fire		
		Fire line tracing done		
		Fire incidences		
		Fire protection awareness measures taken		
4.	Soil and Moisture Conservation Measures	Earthen structures made and maintained		
		Stone Structures made and maintained		
		Cement Concrete structures made and maintained		
5.	Ground water and surface water level	Water Available near the Village		
		Prolonged availability of water in local wells		
		Prolonged availability of water in local ponds		
6.	Forest Growth	Improved forest growth		
		Plantation of Indigenous species		
		Use of bio-pesticides and bio- fertilizers		
		Proper disposal of Polybags used for growing seedlings		
		Sustainable harvest and use of forest resources		
7.	Community Development Infrastructure	Measures taken to mitigate dust pollution due to transportation of construction materials taken		
		Solid Waste Management practice followed.		
8.	Any other item of work			

Annexure III

Framework for Social Safeguards at VSSs/ EDCs Level

S. No.	Item of Work	Environmental Safeguards at VSSs/ EDCs Level	Measures Taken	
			Yes	No
1.	Community Mobilization	Involvement of VSS members in Capacity Building Measures		
		Economically and socially vulnerable sections of the VSS included in community development activities		
		Finalisation of boundary and demarcation of assigned area of the VSS in presence of representative of all villages with common boundary along with the Member Convenor of concerned VSSs.		
		Adequate consultation and representation by all section of the community in deciding the list of entitlement linkages		
2.	Micro-plan Preparation	Adequate consultation and participation of vulnerable groups done in micro planning preparation		
		Participatory procedures followed for micro planning, screening of sub-projects and avoidance of projects leading to conflict		
		Participatory process followed for selection of indigenous species		
		Poorest of Poor HHs & Vulnerable HHs identified		
3.	Livelihood promotion	Convergence of schemes of line Department		
		Generation of employment through forestry activities		
		Income generating Activities taken up in the village		
		Poorest of Poor HHs & Vulnerable HHs included in IGA Activities		
		Availability of Community Infrastructure		
		Waste management taken up by clusters taking production/ processing activities		
4.	Gender Mainstreaming	Participation of all genders in the decision making processes on community development activities		
		Issues related to all genders considered and addressed in community development works		
		Participation of all genders in the community development activities		
		Participation of members in VSS functioning and meetings		
		Use of community assets created under the project by all genders		
5.	Social Inclusion	Priority is given to employ the poorest of poor households and women in wage generating employment under SFM Works		
		Discrimination in term of caste / class / gender / religion is avoided		
6.	Any other items of work			



Annexure IV-A

1. Compilation of Environmental Safeguards of VSSs/ EDCs at FMU level

Sl. No.	Item of Work	Environmental Safeguards at VSSs/ EDCs Level	Measures Taken by No. of VSSs	
			Yes	No
1.	Sustainable Forest and Biodiversity Management			
2.	Forest Protection	Forest Protection Measures taken by VSS Members		
		Controlled grazing is adopted by VSS Members		
3.	Fire Control and Management	Planning for Protection of Fire		
		Fire line tracing done		
		Fire incidences		
		Fire protection awareness measures taken		
4.	Soil and Moisture Conservation Measures	Earthen structures made and maintained		
		Stone Structures made and maintained		
		Cement Concrete structures made and maintained		
5.	Ground water and surface water level	Water Available near the Village		
		Prolonged availability of water in local wells		
		Prolonged availability of water in local ponds		
6.	Forest Growth	Improved forest growth		
		Plantation of Indigenous species		
		Use of bio-pesticides and bio- fertilizers		
		Proper disposal of Polybags used for growing seedlings		
		Sustainable harvest and use of forest resources		
7.	Community Development Infrastructure	Measures taken to mitigate dust pollution due to transportation of construction materials taken		
		Solid Waste Management practice followed.		
8.	Any other item of work			

Annexure IV-B

2. Compilation of Social Safeguards initiatives of VSSs/EDCs at FMU level

Sl. No.	Item of Work	Environmental Safeguards at VSSs/ EDCs Level	Measures Taken by No. of VSSs	
			Yes	No
1.	Community Mobilization	Involvement of VSS members in Capacity Building Measures		
		Economically and socially vulnerable sections of the VSS included in community development activities		
		Finalisation of boundary and demarcation of assigned area of the VSS in presence of representative of all villages with common boundary along with the Member Convenor of concerned VSSs.		
		Adequate consultation and representation by all section of the community in deciding the list of entitlement linkages		
2.	Micro-plan Preparation	Adequate consultation and participation of vulnerable groups done in micro planning preparation		
		Participatory procedures followed for micro planning, screening of sub-projects and avoidance of projects leading to conflict		
		Participatory process followed for selection of indigenous species		
		Poorest of Poor HHs & Vulnerable HHs identified		
3.	Livelihood promotion	Convergence of schemes of line Department		
		Generation of employment through forestry activities		
		Income generating Activities taken up in the village		
		Poorest of Poor HHs & Vulnerable HHs included in IGA Activities		
		Availability of Community Infrastructure		
		Waste management taken up by clusters taking production/ processing activities		
4.	Gender Mainstreaming	Participation of all genders in the decision making processes on community development activities		
		Issues related to all genders considered and addressed in community development works		
		Participation of all genders in the community development activities		
		Participation of members in VSS functioning and meetings		
		Use of community assets created under the project by all genders		
5.	Social Inclusion	Priority is given to employ the poorest of poor households and women in wage generating employment under SFM Works		
		Discrimination in term of caste / class / gender / religion is avoided		
6.	Any other items of work			



Scheduled Tribe and Forest Dependents Planning Framework (STFDPF) : Monitoring of STFDPF Safeguards at VSS Level



Project Management Unit (PMU)
Odisha Forestry Sector Development Project-II
Bhubaneswar

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1.0 STFDPF and its Rationale:

Any development project executed in the indigenous peoples' area with the International financial assistance must follow the "Indigenous Peoples' Planning Framework" in accordance with the World Bank's Operational Policy 4.10. This framework is also followed under JICA Guideline for Environmental and Social Considerations, 2010.

The term indigenous people is synonymous with the communities defined by the Constitution of India as Scheduled Tribe. A scheduled tribe (ST) is identified under the Constitution of India, taking into consideration various factors such as (i) primitive traits, (ii) distinctive culture, (iii) geographical isolation, (iv) social and economic backwardness, and others. However, the identification of tribes is a state subject. Thus, the scheduled tribe is judged by one or more of these factors by the respective state. Besides, the Tribes notified for Odisha State are Scheduled Tribes in Odisha only, and their category may vary in other states.

As per the Census 2011, the state of Odisha has the third highest percentage of tribal population in the country which stands at 95,90,756 in numbers. The state has the unique distinction of having 62 different tribal communities spread over 30 districts and 314 blocks. They constitute 22.85% of the total population of the state and contribute 9.17% to the total tribal population of the country. As the growth and distribution of ST population have a special significance, analysis of distribution and location of scheduled tribes in the state is extremely essential for meaningful planning, research and policy formulation. Further, any development project should not jeopardise the habitats of tribal population and its distribution, socio-cultural issues tagged with the natural resources and their NRM based economies. Therefore, the indigenous peoples planning framework as internationally accepted should synonymously be prepared through the Scheduled Tribe and Forest Dependents' Planning Framework (STFDPF) as proposed under OFSDP – II. Hence the Scheduled Tribes and Forest Dependents would constitute the indigenous people under the Project

The Odisha Forestry Sector Development Project, Phase-II (OFSDP-II), while implementing various interventions pertaining to sustainable forest management, biodiversity conservation, livelihood promotion, community development through convergence and capacity building for community empowerment in the identified 12 Forest Divisions of the state, also earnestly strives to ensure that the project positively impacts the forest fringe dwelling households, however remotely located in the project area, by addressing the livelihood promotion amongst them.

The OFSDP II project is currently categorised as "Financial Intermediary (FI)" in accordance with the JICA guidelines (2010) which means that the project would not exhibit any significant negative impact on environmental and social dimensions, particularly with respect to the ST and Forest Dependents (FD) and other Poorest of the Poor (PoP) communities / households in the project area. However, keeping the key project components into centre stage, a specific framework on Scheduled Tribe and Forest Dependents Plan Framework (STFDPF) has been developed so as to safeguard the environmental and social interests of the ST and FD community members.



2.0 STFDPF: Objectives and Need

The STFDPF intends:

- i. To ensure that the proposed project interventions uphold the social and cultural norms and constitutional rights of the tribal and forest dependent communities, while engaging with them in a free, prior and informed process of consultation so that their meaningful participation in the process of preparation, planning and implementation of project interventions is assured and they derive full benefits of the project interventions in a culturally appropriate and equitable manner.
- ii. To ascertain that the project does not inadvertently induce disempowerment, or increase disparities between the tribal and other communities.
- iii. To propose ways for avoiding, minimizing and/or mitigating adverse impacts on tribal households and their livelihoods.
- iv. To establish appropriate strategies for information sharing, communication and capacity building of tribal stakeholders at all stages of the project, and
- v. To propose additional interventions/ investments that may be required to enhance project benefits and their outreach/ access to the tribal communities.

2.1 Objectives of STFDPF:

Hence, the main objectives of STFDPF are:

- i. To ensure that the project engages in free, prior and informed consultation with tribal people in the entire process of planning, implementation and monitoring of project
- ii. To identify the views and choices of tribal forest dependent communities regarding the proposed project and ascertain broad community support for the project.
- iii. To avoid or minimize any kind of adverse impact on the tribal community and to suggest appropriate mitigation measures;
- iv. To provision a framework for addressing and monitoring the impacts of project interventions on the tribal and forest dependent communities.

2.2 Need for STFDPF at VSS level

The Environmental & Social Management Systems Framework (ESMSF) developed under OFSDP-II is a primary reference document outlining how Environmental and Social Considerations, if any, will be addressed while implementing different project components. Along with ESMSF, the STFDPF developed under the project has to follow proper procedures including the free, prior & informed consultations with the stakeholders such as VSS / EDC Members, Forest Staff at FMU level on possible Negative & Positive Environmental & Social Impacts of the project interventions on the beneficiaries, especially those belonging to the Schedule Tribe, Schedule Caste and other Poor Forest Dependent Communities.

Micro plan is the key-planning tool that envisages the implementation of the project interventions at the grass root level. It also visualizes the possible environmental and social impacts of different project interventions related to forest protection and management, forest-based livelihood, forest product harvesting, its use and trading etc. The broad checklist for monitoring of the environmental and social safeguard measures has to be integrated into the micro-plans. For this purpose, two types of assessment frameworks, namely- ESMSF & STFDPF for monitoring of the environmental and social safeguard measures have been developed and have to be integrated in the micro plan document during its re-visiting process. Thus, the monitoring of STFDPF safeguards is to be a participatory process in which VSS / EDC members, especially the Executive Committee members are involved. The Annexure-I & II contain the Criteria & Indicators (C&I) for monitoring the STFDPF safe guards and the check list of questions developed to elicit response from the VSS members, more importantly from those belonging to the target group of STFDPF. The checklist (Annexure-II) to be responded by the VSS members, contains simple questions with easy dichotomous (yes / no) type of response options.

3.0 Application, Revision and Target Groups of STFDPF:

3.1 Application:

The STFDPF will be integrated towards implementation of following project components:

- Sustainable Forest Management
- Biodiversity conservation
- Soil and moisture conservation
- Livelihood promotion including Income Generating Activities (IGAs)
- Safeguarding the socio-cultural issues of the STs, SCs, OBCs and other forest dwellers and dependents

It is an essential ingredient aligned with the project activities and is to be followed through the entire project cycle. The use / implementation of the STFDPF along with ESMSF will support the achievement of compliance with applicable laws and regulations as well as with the requirements of relevant JICA policies¹ on environment and social aspects.

3.2 Revision and Updating

The STFDPF along with the ESMSF will be a 'live document' enabling revision, as and when necessary. Unexpected situations and/or changes in the project or sub-component design would therefore be assessed and appropriate management measures will be incorporated by updating the STFDPF and ESMSF. Such revisions will also cover and update any changes/modifications introduced in the legal/regulatory regime of the components during the project implementation.

¹ Japan International Cooperation Agency: Guidelines for Environmental and Social Considerations, April 2010



3.3 Target Groups

The STFDPF would be specifically applicable to the following target groups under the OFSDP – II:

- Scheduled Tribes (STs)
- Scheduled Castes (SCs)
- Other Backward Castes (OBCs)
- Other Forest Fringe Dwellers/Dependents

3.4 Target Areas

Generally, the STFDPF would be applicable in the areas where the target groups are present and predominantly in the Scheduled Areas in the project area.

In Odisha, the scheduled areas are situated in the southern and northern parts of the state mainly in the 13 Districts out of which seven Districts are fully and six districts are partly covered under the provision of the Scheduled Areas as referred to clause (1) of Article 244 of the Indian Constitution.

The Districts of Mayurbhanj, Sundargarh and Sambalpur are having the Territorial Forest Divisions of Baripada, Karanjia, Rairangpur, Sundargarh and Sambalpur. Hence the project area has a sizeable population of the target groups.

The scheduled areas are detailed out in following table below:

Table-1: Profile of the Scheduled Areas of Odisha

S. No.	District	Scheduled Area Coverage	Area in Sq. Km		Blocks		Gram Panchayats	
			Total	Sch Area	Total	Sch Areas	Total	Sch Areas
1	Sundargarh	Whole District	9712	9712	17	17	262	262
2	Mayurbhanj	Whole District	10418	10418	26	26	382	382
3	Koraput	Whole District	8379	8379	14	14	226	226
4	Rayagada	Whole District	7585	7584.7	11	11	171	171
5	Nobarangpur	Whole District	5294	5294	10	10	169	169
6	Malkangiri	Whole District	5791	5791	7	7	108	108
7	Kendujhar	Part of District	8303	6935.60	13	10	287	218
8	Sambalpur	Part of District	6702	2367.30	9	3	148	55
9	Balasore	Part of District	3634	223.60	12	1	257	25
10	Kandhamal	Whole District	7649	7649	12	12	153	153
11	Kalahandi	Part of District	7920	1323.30	13	2	273	37
12	Ganjam	Part of District	8071	912.00	22	2	475	39
13	Gajapati	Part of District	3850	3574.40	7	5	129	96
Total	13	7 Fully & 6 Partly	93307	58402.1	173	120	3040	1941

4.0 Policies to be adopted under STFDPF

The policies, laws and rules applicable to the project are being examined and the relevant ones are mentioned below at international to local levels. This section will be further upgraded as and when new laws, regulations and policies are made and enforced or existing ones are revised.

4.1 At the International level:

4.1.1 Safeguard Policies of JICA on Indigenous People (ST & Forest dependents)

The STFDPF aims to ensure that JICA's safeguard policies relating to the protection of indigenous people with respect to their land, territories & livelihood to be an essential part in the project framework. The JICA guidelines for Environmental & Social Consideration (2010) states that appropriate environmental and social considerations for indigenous people should be undertaken, according to the nature of the project, based on the following:

- Any adverse impact that a project may have on indigenous people are to be avoided whenever feasible by exploring all viable alternatives. When, such avoidance is proved un-feasible, effective measures must be taken to minimise the impacts on indigenous people for their loss.
- When projects may have adverse impacts on indigenous people, all of their rights in relation to land & resources must be respected in accordance with the spirit of relevant international declarations & treaties, including the United Nations Declaration on the Indigenous People (UNDRIP). Efforts must be made to obtain consent of indigenous people in a process of Free, Prior & Informed Consultation (FPIC).
- Measures for the affected indigenous people must be prepared in the form of an indigenous people plan (which may be a part of other documents for environmental & social consideration). In preparing the indigenous people plan, consultations must be made with the affected indigenous people based on sufficient information made available to them in advance. When consultations are held, it is desirable that explanations are given in a form, manner, and language that are understandable to the people concerned.

The JICA guidelines states that it is desirable that the indigenous people plan include the elements laid out in the World Bank Safeguard Policy.

4.2 At the National level:

4.2.1 Existing Legal & Policy Frame Work for ST & Forest dependents:

A. Constitutional Safeguards

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



permits the States to make reservation in public services in case of inadequate representation and requires them to consider their claims in appointments to public services.

The Constitution provides setting up of separate Departments in the States and National Commission at the Centre to promote tribal welfare and safeguard their interests (Art. 224, Fifth and Sixth Schedules) and grant in aid are provided to the States to meet the cost of such development schemes to be undertaken for prompting the welfare of Schedule Tribes or raising the level of development in the Schedule Areas (Art. 275 (1)). The constitutional safeguards related to tribal are:

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

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

B. Provision of Scheduled Areas under Fifth Schedule of Constitution

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

- Preponderance of tribal population,
- Compactness and reasonable size of the area,
- Available administrative entity such as District, Block or Gram Panchayat, and
- Economic backwardness of the area as compared to neighbouring areas.

C. The National Forest Policy 1988

The National Forest Policy 1988 of the Government of India envisages people's involvement (including tribals) in conservation, protection and management of forest. It emphasized that forest produce must go first to the people living in and around forests.

D. The Scheduled Castes and Scheduled Tribes: (Prevention of Atrocities) Act, 1989 & Rules, 1995

This Act provides for specific provisions to prevent atrocities on the Scheduled Castes and the Scheduled Tribes and suggests State Governments to frame rules for the same. These include identification of areas where atrocity may take place or there is an apprehension of reoccurrence of an offence under the Act. The State Government is required to set up a "Scheduled Castes and the Scheduled Tribes Protection Cell" at the state headquarters headed by the Deputy Inspector General of Police. This Cell is mainly responsible for restoring the feeling of security amongst the members of the Scheduled Castes and the Scheduled Tribes. The protective provisions under this Act safeguard tribal people from social injustices and all forms of exploitation, while the developmental provisions promote special care for the educational and economic interests of the weaker sections like the STs and SCs. Further, the administrative provisions under the Fifth and Sixth Schedules give special powers to the state for the protection and governance of tribal areas and the reservation provisions ensure due representation in legislative bodies and government.

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

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

- i. Right to hold and live in the forest land under individual or collective occupation for habitation or for self-cultivation for livelihood by ST or OTFD members;
- ii. Community rights over forest resources
- iii. Right of ownership, access to collect, use, and dispose of minor forest produce which has been traditionally collected within or outside village boundaries;
- iv. Other community rights of uses or entitlements such as fish and other products of water bodies, grazing (both settled or transhumant) and traditional seasonal resource access of nomadic or pastoralist communities;
- v. Rights, including community tenures of habitat and habitation for primitive tribal groups or agricultural communities;
- vi. Right of access to biodiversity and community right to intellectual property and traditional knowledge related to biodiversity and cultural diversity;
- vii. Any other traditional right customarily enjoyed by the forest dwelling Scheduled Tribes or other traditional forest dwellers



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

4.3 At the State Level:

4.3.1 Resolution of Government of Odisha on Joint Forest Management, 2011 read with its amendment of 2015

The Joint Forest Management (JFM) in Odisha is being implemented with the objectives of forest restoration, promotion of sustainable management of forest by strengthening participatory forest management and improvement of livelihood of forest dependent communities. The project interventions are village need-based and implemented in JFM mode through the community-based institutions. These forestry-based community institutions are VSS in the peripheral Reserved Forest areas and EDC in the case of protected areas and coastal mangroves. The JFM resolution recognizes the development rights of communities residing within the forests or on forest fringe by providing smooth, encumbrance free access to development facilities in their habitations.

5.0 Primary Procedures of STFDPF

There are several procedures defined under STFDPF for providing free and fair access to the forest fringe communities in sustainable forest management and simultaneously address the livelihood aspects. Some key-procedures are narrated below:

5.1 Stakeholders' Consultation

- Stakeholders would mandatorily include scheduled tribe/caste members, forest dwellers/dependents members of VSSs under OFSDP II.
- Their involvement mechanisms are central to the implementation of the project and provide opportunities for information sharing, consultation and collaboration measures.
- During planning stage, involvement pertains to participation in site selection & design and in implementation phase, communities are encouraged to provide feedback and engaged in the process of participatory monitoring.
- Due convergence should be achieved through stakeholders' participation to maximise the distribution of benefits.

5.2 Free, prior and informed consultation

In order to ensure the adequate participation of the key-stakeholders i.e. the ST, SC and forest dependent communities in the exercise in safe guarding the STFDPF at VSS level, following steps are to be followed:

- The ST/SC/OBC/other forest dependent and forest fringe dwelling communities involved in the VSS are adequately represented in consultation meetings and during the information disclosure.

- The Consultation meetings and disclosing information must include written materials and the language of communication must be local language or Odia.
- Contents of written materials should be simple enough for everyone to follow.
- Opportunities to facilitate participation of women, elders and other vulnerable should be considered.
- It will be the responsibility of the project personnel to make sure that visualization and visual presentations are used to the maximum possible extent.

5.3 Stages of Stakeholder's Consultation

Stakeholders' consultation should be held at both the levels of implementation of a component as well as during capacity building initiatives, reviews and meetings depending upon the role played by the stakeholder group.

Table-2: The prescriptive stakeholder consultations

S. No.	Stakeholder	Stages of consultation
1	Project implementors <ul style="list-style-type: none"> • Officials – at PMU, DMU and FMU • Hired Personnel – staffs at DMU/FMU and support teams • PNGO teams • Animators • During capacity building initiative 	<ul style="list-style-type: none"> • While planning for implementation of a component • During capacity building initiative • During actual implementation • While preparation of guidelines on various aspects
2	Community <ul style="list-style-type: none"> • VSS members (Including STs/ SCs/ OBCs/ Other Forest Dependents and Dwellers) 	<ul style="list-style-type: none"> • During initial meetings for mobilisation of VSS • During PRA exercise • During finalisation of micro plan • During constitution and functioning of SHGs/ CIGs/ PoPs
3	Personnel of the line Departments	<ul style="list-style-type: none"> • At the time of planning for convergence • At the time of participating in the PRA exercise during micro planning • During the actual convergence of schemes of line Departments



5.4 Capacity Building:

5.4.1 Target Groups

Capacity building processes are to be adopted by which the PMU, DMU, FMU, VSS and SHG members would develop, the skill, knowledge and other resources needed for STFDPF safeguards under the OFSDP II.

5.4.2 Processes and Periodicity

Training activities:

The Capacity Building Module on STFDPF along with the training materials will be prepared for conducting Orientations and refresher trainings on Environmental and Social Considerations that includes ESMSF and STFDPF and related safeguards and monitoring methods for all stakeholders at various levels. One day orientation programme will be conducted for different stakeholders associated in implementation of OFSDP-II.

6 Tools to be adopted under STFDPF

Tools to be adopted under STFDPF include as below:

6.1 Social Assessment

- Social assessment is a type of social analysis that will be undertaken by the implementing agency during the project implementation.
- Social assessment is envisaged to be included in the micro planning process from the results of the Rapid Rural Appraisal, Participatory Rural Appraisal, livelihoods assessment, natural resource assessment and community feedbacks.

6.2 Micro Plan Preparation

- Under OFSDP II, micro plan will be prepared for each VSS with major participation of STFDPF target groups and duly ratified by Gram Panchayat, so that the Annual Action Plan of Micro Plan may be included in Annual Action Plan of Gram Panchayat.
- During the preparation of Micro Plan, the infrastructure, livelihood and other forestry activities related to environmental and social safeguards will be incorporated.

6.3 Grievance Redressal Mechanisms:

- The grievances received by various project personnel at PMU/ DMU/ FMU levels will be duly redressed in the manner prescribed by the State Government.
- However, if deemed necessary, a grievance redressal committee may be constituted to respond effectively in a timely and responsible manner.
- The committee may be formed at the FMU Level with the following constitution:
- Asst DMU Chief - Chair person

- FMU Chief of the Head Quarter Range - Member
- President of any VSS to be nominated by the DMU Chief - Member
- Local Forester of the nominated VSS - Member
- Two women representatives belonging to STFDPF target groups of the nominated VSS - Member
- Ward member (s) concerned – Ex-Officio member
- Secretary of the nominated VSS – Convener
- In case the aggrieved person is not satisfied with the decision of the aforesaid committee, the matter will be referred to the DMU Chief & the decision of the DMU Chief shall be final.

6.4 Monitoring and Integration with MIS:

- The field level environmental and social safeguard data would be collected through structured questionnaire for monitoring the environmental and social safeguards.
- The data collected would be integrated into the OFSDP II Management Information System (MIS) for analysis of gathered information and periodic reports would be generated.
- These periodic reports would assist in decision making on the OFSDP II project developments.
- Based on the updated information improved decision making will be made.
- The decisions should include Monthly Progress Reports on the physical and financial progress, timeline, personnel and management measures taken to minimise the environmental and social risks those have emerged within OFSDP II.

7 Institutional Support

The institutional set up supporting the implementation of the project interventions under OFSDP-II would also support the implementation, management and monitoring of STFDPF safeguards.



Table 3: The roles and responsibilities of different institutions:

Institution	Roles in the project	Responsibilities in the ESMSF
At OSFDS level		
High Power Committee (HPC)	<ul style="list-style-type: none"> • Highest decision-making body • Facilitates interdepartmental coordination 	<ul style="list-style-type: none"> • Facilitation and coordination with various line departments and other agencies • Provide directions and advice to PMU to ensure smooth and efficient project implementation of STFDPF
Governing Body (GB) of OSFDS	<ul style="list-style-type: none"> • Decision Making Body 	<ul style="list-style-type: none"> • Review the functioning of PMU on implementation of environmental and social assessments, management plans and monitoring programmes • Guide the PMU in preparation of proposals and various components of environmental and social assessment activities.
Project Management Unit	<ul style="list-style-type: none"> • Project implementation, supervision and monitoring of all activities • Documentation and reporting 	<ul style="list-style-type: none"> • Responsible for planning and implementation of the STFDPF • Report to the concerned Departments in the State Government as well as to JICA in relation to environmental and social consideration in Annual Report in case of environmental negative impacts is identified. • Information disclosure including elaboration of project information brochures and project homepage. • Consultation and guidance to DMUs and FMUs and field level officers on information disclosure and consultation

Institution	Roles in the project	Responsibilities in the ESMSF
		<ul style="list-style-type: none"> • Development of Management Information System (MIS) • Development of approach and guidance for micro planning • Impart Training on micro planning to field level officers • Technical guidelines for beneficiary selection, design of component technical approaches, safeguard checks/guidelines for particular activities (if required) • Development of monitoring forms, review of monitoring data, reporting, assistance with evaluations • Review participatory Environmental and Social Assessments • Regular follow up • Guide, instruct, prepare guidelines, establish and operate Monitoring and Evaluation, GIS/ MIS, dissemination of project information, hand holding support in the field for all project activities.
DMUs	<ul style="list-style-type: none"> • Additional DMU Chief under guidance of DMU Chief would organise the Environmental and Social Considerations programmes in DMU. • Assist PMU in implementation of project activities. Both signed hard and soft copies of reports to be sent to PMU for record • Coordinate with subject matter experts at PMU 	<ul style="list-style-type: none"> • Supervise project activities of FMUs • Supervise the works carried out by partner NGOs and Resource Organisations • Report the result of categorisation of sub projects by the monitoring form to PMU • Facilitate convergence at divisional level
FMUs	<ul style="list-style-type: none"> • Assist DMUs and PMU in implementation of project activities 	<ul style="list-style-type: none"> • Undertake project monitoring and reporting, provide logistical support for independent evaluations



Institution	Roles in the project	Responsibilities in the ESMSF
	<ul style="list-style-type: none"> • Coordinate with Gram Sabha and animators with organisation of project activities, ensure appropriate beneficiary selection, promotion of convergence etc 	<ul style="list-style-type: none"> • Coordinate with Gram Sabha to select sub-projects with screening procedures and to conduct participatory Environmental and Social Assessments • Support and encourage EDC/VSS for micro planning at village levels, finalization of micro-plans • Conduct free, prior and informed consultations and due diligence checks.
Field level Officers	<ul style="list-style-type: none"> • Assist Gram Sabha and implementing bodies for implementation of project activities • Assist Gram Sabha with organisation of project activities, ensuring appropriate beneficiary selection, promotion of convergence etc 	<ul style="list-style-type: none"> • Support Gram Sabha with project monitoring and reporting, logistical support for independent evaluations • Assist Gram Sabha to select sub-projects with screening procedures • Support Gram Sabha to conduct participatory Environmental and Social Assessments • Support EDC/VSS for micro planning at village levels, finalisation of Micro plans • Support OSFDS for free, prior and informed consultations and due diligence checks.
At PRI (Local Self Government) level		
Gram Sabha	<ul style="list-style-type: none"> • Assist the Project in selecting target beneficiaries • Clarify local needs and expectations on the project 	<ul style="list-style-type: none"> • Conceive and raise local awareness on environmental and social considerations • Provision of support in micro planning at village level • Participating in Environmental and Social Assessments • Supporting OSFDS for free, prior and informed consultation and due diligence checks.

Institution	Roles in the project	Responsibilities in the ESMSF
Vana Suraksha Samiti / Eco Development Committee	<ul style="list-style-type: none"> • Individually and collectively protect the forest, wildlife and biodiversity. • Put in necessary efforts so that adjoining catchments area, water resources and other ecologically sensitive areas are protected. • Plantation of indigenous medicinal and NTFP species in the assigned forest area adjoining the village. • Decisions taken in the Pali Sabha to regulate access to community forest resources and stop any activity which adversely affects the wildlife, forests and the biodiversity, are complied with. 	<ul style="list-style-type: none"> • Protection of the forest, wildlife and biodiversity. • Protection of adjoining catchments area, water resources and other ecologically sensitive areas. • Plantation of indigenous medicinal and NTFP species in the forests as well as outside the forest area adjoining the village.



8.0 Management, Monitoring and Reporting of STFDPF:

The project components under the OFSDP II Project would mostly create positive impacts. The social management framework (specific tribal/forest dependents'/dwellers' plans) would be taken up during the revisit of Micro plans duly integrated into the chapter on demographic profile of the village.

The social monitoring frameworks are to be devised to supervise/examine the impact of proposed social consideration measures under the influence of the project implementation.

Table-4: Management of possible Social Impacts on Indigenous People during Implementation of Project Interventions

S.No.	Item	Social Impacts	Mitigation Measures
1.	Stakeholder Consultation	Absence of involvement mechanisms (information, awareness and modalities) Absence of participation in site selection, choice of species for plantation and choice of IGAs	Free, prior and informed participation Explicit willingness, membership and participation to be recorded in Resolution Register of the VSS/ EDC
2.	Participation of economically and socially weaker sections	Lack or inadequate attendance and participation	Participation to be ensured during meetings, in PRA exercises and other social assessments by project personnel during planning and implementation processes
3	Contents and language of written material	Contents of written material not understandable	Contents of written material are to be simple and in Local language/ Odia Orientations and Capacity Building Measures to be adopted for explaining about the Project implementation
4	Grievance Redressal Mechanisms	Absent or inadequate	Grievance redressal to be ensured at PMU/ DMU and FMU/ VSS or EDC Levels

The broad Framework for Management of Scheduled Tribe and Forest Dwellers Planning Processes along with Criteria and Indicators, Means of Verification and responsibility of monitoring is given below:

Table-5: Broad Framework for Management of STDFPF

S. No	Framework	Indicator	Means of Verification	Frequency	Responsible Party
1.	Stakeholder Consultation	Demographic Profile Membership in VSS/ EDC Capacity Building Trainings and orientation	Collation of segregate data Records in Membership and Resolution Register Specially designed CBT modules	During the Micro plan and IGA plan Preparation During the meetings and CBT trainings	Project personnel & Executive Committee of VSS/ EDC
2.	Participation of economically and socially weaker sections	Participation in micro plan, VSS level and Palli Sabha meetings Participation in the project activities and involvement and benefit sharing level	Records of planning, Membership and Resolution Register at VSS and FMU level	During Meetings	Project personnel & Executive Committee of VSS/ EDC
3.	Contents and language of the of written material	Material translated into local language/ Odia Materials use local dialects	Guidelines, Formats, Checklists, Documents and Handbooks	During preparation of Guidelines and instruction relevant to VSS/ EDCs	Project personnel & Executive Committee of VSS/ EDC/ Resource person
4.	Grievance Redressal Mechanisms	Petitions complaints received at different levels	Grievance day Number of cases disposed/ rejected	Grievance day schedule	Project personnel & Executive Committee of VSS/ EDC/ Grievance redressal committee



8.1 Processes for Monitoring the STFDPF Safeguards

The project interventions under different components of OFSDP II are mostly expected to create positive ecological, social and economic impacts within the project jurisdiction. However, the application of environmental and social safeguards, especially pertaining to tribal and forest dependent communities would certainly minimize any kind of hidden adverse impacts on these communities and ensure upholding their socio-economic interests.

The STFDPF monitoring Framework is to be devised to supervise/examine the impact of proposed social consideration measures under the influence of the project implementation. The formal and structured monitoring of implementation of STFDPF safeguards would be taken up during the revisit of micro plans. For this purpose, structured assessment formats of STFDPF safeguards are duly integrated into the revised micro plan handbook. Periodic monitoring of the possible impacts is to be followed with structured tools during the revisit of micro plans and the results are to be reported in the form of progress reports to be integrated into the MIS of OFSDP II.

8.12 VSS Level Sub - Group for Monitoring STFDPF Safeguards Reporting Processes

Regular monitoring of the application and impact of STFDPF safeguards with respect to different project components and reporting the results STFDPF safeguard measures is a specialized activity and has to be carried out by the informed sub-group within VSS. Moreover, the monitoring has to be done in an objective and un-biased manner, safeguarding the genuine socio-economic interests of the tribal and forest dependent communities. Hence, the VSS level sub-group, responsible for monitoring the application of STFDPF safeguards should also include informed VSS members from key-stakeholder group i.e. tribal (ST) and forest dependent communities. In order to safeguard gender and women related interests, the sub-group may be constituted with equal mix of men and women members; if not, at least 30% members of the sub-group may be comprised of women.

A. Composition of the Proposed VSS Sub-Group for Monitoring STFDPF Safeguards

- i. Two VSS-EC members (one male & one female) who are knowledgeable on ESMSF and STFDPF safeguard measures. Out of these two members, one may volunteer or be selected to act as the Chairperson of the Sub-group;
- ii. Four members (two male & two female) from VSS General Body must be those who are knowledgeable on ESMSF and STFDPF safeguard measures. Out of these four members, two (preferably one male & one female) should be from ST /FD communities;
- iii. Animator (preferably female) of the VSS as the Member-Convener of the Sub-group;
- iv. Member-Secretary of VSS (Forest Guard /Forester) as the Member & Technical Advisor;
- v. One FMU Coordinator / PNGO staff as the Member and
- vi. One Subject Expert-Member from FMU / DMU staff may be co-opted if needed for a specific period & purpose.

(The role of co-opted Expert Member is confined to providing technical advice / assistance as per the demand during the monitoring process only. The member will not have role in the process of decision making)

B. Major Functions of the Sub-Group

The VSS Sub- Group will have following functions with respect to monitoring the application of STFDPF safeguards in different project components:

- i. The STGDPF Sub-Group monitors implementation of STFDPF safeguards with respect to implementation of different project components based on prescribed monitoring framework, which includes the check list containing simple dichotomous questions (added to the revised micro plan formats) at prescribed intervals;
- ii. The monitoring may be done on annual basis and
- iii. The Sub-Group would report the results of monitoring to the Chairperson of VSS, who in turn would send the same to the FMU Chief.

8.13 Schedule and Frequency for Monitoring the STFDPF

The process of monitoring of application of STFDPF safeguards with respect to implementation of different project components involves not only annual monitoring by the VSS-Sub Group, but also proper and timely reporting of the results to the concerned authorities and uploading in the IMS portal. The process will be carried out in following stages:

- i. The VSS Sub-Group will carry out the monitoring of the application of STFDPF safeguard measures with respect to implementation of the project components on annual basis;
- ii. The Sub-Group will report the results of monitoring to the FMU Chief through the Chairperson of VSS. Monitoring reports from all the VSSs in the concerned FMU will be consolidated by the FMU Chief and sent to the DMU Chief / Deputy Chief. Then, with the approval of DMU Chief, the consolidated monitoring reports from all FMUs will be uploaded in the PMU-IMS portal for further needful action and monitoring;
- iii. After the completion of the annual monitoring process, the entire reporting process, right from VSS level to the final uploading in PMU-IMS portal is to be done within one month period.

NB: The detailed Criteria and Indicators for Assessment Framework for monitoring STFDPF at VSS level along with Format for Assessment of STFDPF Safeguards at VSS level are placed at Annexure-I & II respectively.



Framework for Monitoring STFDPF Safeguards

Annexure-I

S. No	Major Item of work under STFDPF	STFDPF Related Criteria	Monitoring Indicators	Means of Verification	STFDPF Responsive Actions at VSS / EDC Level (Questions to be answered by VSS members)
1.	Stakeholder consultation for identification of possible negative environmental and social impacts of project interventions on the STFDPF target group	<ul style="list-style-type: none"> i. Participation of key stakeholders -Scheduled tribe/caste members, forest dwellers/dependents of VSS members/ SHGs in consultation meetings ii. Participation of women and elders of SC/ ST/FD groups in consultation meetings iii. Free and prior and informed consultation 	<ul style="list-style-type: none"> i. Demographic Profile - Number of ST/ SC/Forest dwellers recorded in the GB and EC Meetings ii. Number of women and elders of SC/ ST/ FD groups of VSS participated in consultation meetings - Voluntary participation based on prior / advance information 	<ul style="list-style-type: none"> i. Collated segregated demographic data ii. Records of Membership and Resolution Register iii. Notices issued for meeting 	<ul style="list-style-type: none"> i. Are the SC/ST/ forest dweller members of VSS regularly participating in consultations on formulating ST & FD planning? ii. Are the women & elder ST/SC/FD groups of VSS regularly participating in the consultations? iii. Are the scheduled consultation meetings informed to the members in advance? iv. Do the SC / ST/ FD members of VSS attend the consultation meetings voluntarily / freely without compulsion? v. Do the SC / ST/ FD members freely express their opinion / ideas in the consultation meetings?
2.	Capacity building / Trainings / Review meetings on STFDPF at VSS level	<ul style="list-style-type: none"> iv. Opportunities for information sharing, consultation and collaboration measures i. Conducting capacity building / training programs / review meetings at different stages: <ul style="list-style-type: none"> -VSS /SHG inception; - PRA exercise; - Micro planning exercise; - Implementing micro plan; - Convergence stages etc ii. Participation of key stakeholders: <ul style="list-style-type: none"> - Scheduled Tribes (STs) - Scheduled Castes (SCs) - Other Forest Fringe Dwellers / Dependents 	<ul style="list-style-type: none"> iv. Members are provided with opportunity to share opinions / ideas for collaboration and action i. Trainings / review meetings conducted in different stages as per records 	<ul style="list-style-type: none"> v. Recorded meeting proceedings i. Training / meeting registers and schedules 	<ul style="list-style-type: none"> i. Are the capacity building / training programs / review meetings on STFDPF conducted at regular intervals and at relevant stages of project implementation ii. Are the SC/ST/ FD members of VSS regularly participating in capacity building / training programs / review meetings conducted at different stages of project implementation?

S. No	Major Item of work under STFDPF	STFDPF Related Criteria	Monitoring Indicators	Means of Verification	STFDPF Responsive Actions at VSS / EDC Level (Questions to be answered by VSS members)
		<p>iii. Creating awareness among SC/ST/FD communities and motivating their participation in micro planning & convergence activities and their implementation.</p> <p>iv. Women members of SC/ST / FD communities to participate in trainings / review meetings</p> <p>v. The trainings / review meetings to explain how project addresses the key-aspects of STFDPF to SC/ST/ FD participants</p>	<p>iii. SC/ST/FD communities have increased awareness on benefits of micro plans & convergence activities and actively participate in the process</p> <p>iv. Number of women members of VSS belonging to ST/SC category participated in trainings / review meetings</p> <p>v. The listed key-aspects of STFDPF are covered in the training module / agenda of review meetings</p> <p>vi. Participants of the trainings are able to recall the key aspects of STFDPF covered in the trainings & review meetings</p>	<p>iii. Records of VSS member participation in micro planning & process- planning & implementation</p> <p>iv. Training participants register</p> <p>vii. Specially designed capacity building / training modules & agenda of review meetings</p> <p>viii. Randomly selected participants for assessing their awareness on STFDPF contents covered in the trainings and review meetings</p>	<p>ii. Are the SC/ST / FD communities well aware and convinced about the impacts of micro plan interventions?</p> <p>iii. Do they actively participate in planning & implementation of micro plan and convergence activities?</p> <p>iv. Do the women ST/SC/ FD members of VSS regularly participate in capacity building / training programs / review meetings?</p> <p>v. Are all the important topics of STFDPF covered in the training modules / agenda of review meetings?</p> <p>vi. Do the randomly selected participants recall most of the STFDPF topics covered in the trainings / review meetings?</p>
3.	Preparation of micro plan with participation of STFDPF target groups, including PoP households	The STFDPF target group, including the identified PoP households participate in the process of micro plan preparation, its implementation and benefit sharing	<p>i. Number of representatives from STFDPF & PoP households participated in the micro plan preparation</p> <p>ii. Number of STFDPF & PoP households regularly participate in the micro plan implementation process</p> <p>iv. Number of STFDPF & PoP households get economic & livelihood benefits from micro plan interventions</p>	<p>i. List of participants in micro plan preparation</p> <p>i. Records on micro plan implementation / proceedings of VSS meetings & discussions</p> <p>iii. List of beneficiaries</p>	<p>i. Are the STFDPF target & PoP households actively involved in the micro plan preparation exercise / process?</p> <p>ii. Do the STFDPF target & PoP households actively participate / contribute in the micro plan implementation?</p> <p>iii. Have the STFDPF target & PoP families benefited from the implementation of micro plan?</p>



S. No	Major item of work under STFDPF	STFDPF Related Criteria	Monitoring Indicators	Means of Verification	STFDPF Responsive Actions at VSS / EDC Level (Questions to be answered by VSS members)
4.	The broad checklist for monitoring environmental and social safeguard measures integrated in the micro-plans.	<p>The check list included in the micro plan monitors environmental & social safeguards in terms of</p> <ul style="list-style-type: none"> - upholding social and cultural norms of the tribal &FD communities - flow of project benefits to STFDPF target group in culturally appropriate manner - inducing empowerment or decreasing disparities between the tribal and other communities - creating an 'enabling environment' for positive impact on SC/ST/FD livelihood 	<p>The check list for E&S safeguards monitor following indicators:</p> <ul style="list-style-type: none"> - Project (Micro plan) interventions are compatible with social & cultural norms / practices of tribal SC/ST communities - Project benefit sharing mechanism maintains equitable distribution of benefits and harmonious with local / tribal culture - Micro plan interventions provide livelihood opportunities to SC/ST/FD communities 	STFDPF check list included in the micro plan	<p>Do the micro plan interventions create any disturbance to existing tribal / local cultural practices?</p> <p>ii. Are the project / micro plan benefits equitably distributed among SC/ST communities?</p> <p>iii (a) Do the project / micro plan benefits acquired by SC/ST communities disturb or alter their cultural practices?</p> <p>iii (b) Even if those benefits alter the cultural practices of SC/ST communities, is at an acceptable level?</p> <p>iv. Do the micro plan interventions for socio- economic promotion impact the SC/ST/FD Communities?</p> <p>v. Have the micro plan interventions provided livelihood opportunities to SC/ST/FD communities?</p>

S. No	Major Item of work under STFDPP	STFDPP Related Criteria	Monitoring Indicators	Means of Verification	STFDPP Responsive Actions at VSS / EDC Level (Questions to be answered by VSS members)
5.	Alignment of STFDPP ingredients with entire project cycle and activities	Social safeguards in STFDPP applicable across the following project components: - Forest management, including farm forestry - Biodiversity conservation - Livelihood promotion & IGAs - Convergence - Institutional (VSS & SHGs) management - Capacity building	Each listed component of the project is periodically assessed against social safeguards wrt SC/ST/ FD communities with the VSS participation and results shared among all stakeholders	STFDPP safeguard assessment report jointly prepared by VSS and FMU / PNGO staff	i. Has the participatory assessment on application of STFDPP safeguards been done wrt following project components? - Sustainable Forest Management (SFM), including Farm Forestry i (a) If yes, are the safeguards applied to SFM including Farm Forestry? - Biodiversity Conservation... i (b) If yes, are the safeguards applied to biodiversity conservation? - Livelihood promotion & IGAs i (c) If yes, have the safeguards been applied to livelihood promotion? - Convergence..... i (d) If yes, have the safeguards been applied to convergence activities? - Institutional (VSS & SHGs) management..... i (e) If yes, are the safeguards applied to Inst. management? - Capacity building..... i (f) If yes, are the safeguards applied to capacity building? ii. Have the assessment results been documented and shared among all stakeholders?



S. No	Major Item of work under STFDPF	STFDPF Related Criteria	Monitoring Indicators	Means of Verification	STFDPF Responsive Actions at VSS / EDC Level (Questions to be answered by VSS members)
6.	Documentation of the process and results of assessment of STFDPF safeguards wrt project components for communicating to all stakeholders	<p>i. Contents of the document to be simple enough for all stakeholders to follow</p> <p>ii. Visualization and visual presentations to be used to maximum possible extent</p>	<p>i. Document written in simple language with short sentences and minimum technical terms.</p> <p>ii. Visual based document with appropriate pictures wherever needed</p>	The document / report containing the results of assessment of STFDPF safeguards	<p>Is the report containing the results of the assessment of STFDPF safeguards written in simple local language?</p> <p>ii. Does the document contain adequate and appropriate visuals for easy comprehension?</p>
7.	Institutional (VSS / EDC) support	VSS / EDC supports and contributes in implementing social safeguards wrt STFDPF	<p>i. VSS / EDC members (specially EC members) are well aware about the STFDPF safeguard measures and their need in project implementation</p> <p>ii. VSS / EDC members are involved in planning (micro planning) and implementing STFDPF safeguards wrt key project components</p> <p>iv. Informed / knowledgeable VSS / EDC members are involved in assessment of STFDPF safeguards wrt key project components, documentation of its results and communication to stakeholders</p>	<p>i. VSS-EC members,</p> <p>ii. VSS-EC members, Animators & FMU staff</p> <p>iii. VSS records of participation and proceedings of VSS meetings</p> <p>vi. STFDPF assessment report and communication materials</p>	<p>i. Are the VSS-EC members well aware about the STFDPF safeguard measures and their importance in the project implementation?</p> <p>ii. Are the VSS members (especially EC / informed members) involved in planning & implementation of STFDPF safeguard measures?</p> <p>iii. Are the informed / knowledgeable VSS / EDC members (including EC members) involved in assessment of STFDPF safeguards wrt key project components?</p> <p>iv. If yes, are they involved in documentation of assessment results and communication to stakeholders?</p>

S. No	Major Item of work under STFDPF	STFDPF Related Criteria	Monitoring Indicators	Means of Verification	STFDPF Responsive Actions at VSS / EDC Level (Questions to be answered by VSS members)
8.	Monitoring and Reporting of STFDPF	Regular monitoring of STFDPF safeguard measures wrt project components by VSS-EC members and reporting to DMU for appropriate actions	<p>i. Responsibility of monitoring STFDPF safeguards wrt to different project components assigned to a special group of members at VSS level</p> <p>ii. The VSS sub- group monitors implementation of safeguards wrt to its concerned project component based on prescribed monitoring framework(included in the revised micro plan) at prescribed intervals (schedule)</p>	<p>i. VSS-EC members, Animators, PNGO& FMU staff</p> <p>ii. Proceedings of VSS meetings / decisions</p> <p>iii. Prescribed schedule of monitoring and its compliance by the VSS sub- group</p>	<p>i. Has the VSS constituted a sub-group to monitor STFDPF safeguards wrt to different project components?</p> <p>ii. Does the VSS sub-group monitor the implementation of STFDPF safeguards wrt its assigned project component as per prescribed schedule?</p>
9.	Creating mechanism for redressing grievances received from STFDPF target group	<p>i. Constituting a Grievance redressal committee at DMU level</p> <p>ii. The committee duly redresses the grievances related to STFDPF target group received at DMU level for redressal</p>	<p>iv. The sub- group gives its monitoring report to VSS / FMU as per schedule?</p> <p>i. The grievance redressal committee constituted with prescribed members at DMU level</p> <p>ii. Grievances related to STFDPF target group received at DMU level duly redressed by the GRC</p>	<p>vi. Monitoring reports regularly submitted by the VSS Sub- group</p> <p>i. Records regarding committee formation at DMU office</p> <p>ii. Concerned GRC members</p> <p>iii. Records on grievances redressed by the GRC available at DMU office</p>	<p>iii. Does the VSS sub-group submit its monitoring reports to VSS as per schedule?</p> <p>i. Has the Grievance Redressal Committee with prescribed members constituted at DMU level for the redressal of grievances received from the STFDPF target group?</p> <p>ii. Does the Grievance Redressal Committee redress the grievances received from STFDPF target group?</p>



Annexure-II

Format for Assessment of STFDPF Safeguards at VSS Level

Name of the VSS: _____/Batch No: _____/ VSS Code _____

Name of FMU: _____

Name of DMU: _____ Date of Response: _____

S. No	Major Item of work under STFDPF	STFDPF Related Criteria	STFDPF Responsive Actions at VSS / EDC Level (Questions to be answered by VSS members)	Responses / Measures Taken	
				Yes	No
1	Stakeholder consultation for identification of possible negative environmental and social impacts of project interventions on the STFDPF target group	i. Participation of key stakeholders -Scheduled tribe/ caste members, forest dwellers/dependents of VSS members/ SHGs in consultation meetings	i. Are the SC/ST/ forest dweller members of VSS regularly participating in consultations on formulating ST & FD planning?		
		ii. Participation of Women & elders of SC/ST/FD groups in consultation meetings	ii. Are the women & elder ST/SC/ FD groups of VSS regularly participating in the consultations?		
		iii. Free and prior and informed consultation	iv. Are the scheduled consultation meetings informed to the members in advance?		
		iv. Opportunities for information sharing, consultation and collaboration measures	v. Do the SC / ST/ FD members of VSS attend the consultation meetings voluntarily / freely without compulsion?		
2	Capacity building / Trainings / Review meetings on STFDPF at VSS level	i. Conducting capacity building / training programs / review meetings at different stages: -VSS /SHG inception; - PRA exercise; - Micro planning exercise; - Implementing micro plan; - Convergence stages, etc.	i. Are the capacity building / training programs / review meetings on STDDPF conducted at regular intervals and at relevant stages of project implementation?		

S. No	Major Item of work under STFDPF	STFDPF Related Criteria	STFDPF Responsive Actions at VSS / EDC Level (Questions to be answered by VSS members)	Responses / Measures Taken	
		ii. Participation of key stakeholders: - Scheduled Tribes (STs) - Scheduled Castes (SCs) - Other Forest Fringe Dwellers / Dependents	ii. Are the SC/ST/ FD members of VSS regularly participating in capacity building / training programs / review meetings conducted at different stages of project implementation?		
		iii. Creating awareness among SC/ST/ FD communities and motivating their participation in micro planning & convergence activities and their implementation.	iii. Are the SC/ST / FD communities well aware and convinced about the impacts of micro plan interventions?		
		iv. Women members of SC/ST/ FD communities to participate in trainings / review meetings	1v. Do they actively participate in planning & implementation of micro plan and convergence activities?		
		v. The trainings / review meetings to explain how project addresses the key-aspects of STFDPF to SC/ST/FD participants	v. Do the women ST/SC/ FD members of VSS regularly participate in capacity building / training programs / review meetings?		
			vii. Do the randomly selected participants recall most of the STFDPF topics covered in the trainings / review meetings?		
3	Preparation of micro plan with major participation of STFDPF target groups, including PoP households	The STFDPF target group, including the identified PoP households [its member(s)] participate in the process of micro plan preparation, its implementation and benefit sharing	i. Are the STFDPF target & PoP households actively involved in the micro plan preparation exercise / process? ii. Do the STFDPF target & PoP households actively participate / contribute in the micro plan implementation? iii. Have the STFDPF target & PoP families benefited from the implementation of micro plan?		



S. No	Major Item of work under STFDPF	STFDPF Related Criteria	STFDPF Responsive Actions at VSS / EDC Level (Questions to be answered by VSS members)	Responses / Measures Taken	
4	The broad checklist for monitoring environmental and social safeguard measures integrated in the micro-plans.	<p>The check list included in the micro plan monitors environmental & social safeguards in terms of</p> <ul style="list-style-type: none"> - upholding social and cultural norms of the SC/ST/FD communities - flow of project benefits to STFDPF target group in culturally appropriate and equitable manner - inducing empowerment or decreasing disparities between the tribal and other communities - creating an 'enabling environment' for positive impact on SC/ ST/PoP livelihood 	<p>i. Are the project / micro plan benefits equitably distributed among SC/ST/FD communities?</p> <p>ii (a) Do the project / micro plan benefits acquired by SC/ST/FD communities disturb or alter their cultural practices?</p> <p>ii (b) Even if those benefits alter the cultural practices of SC/ST/FD communities, are they acceptable?</p> <p>iii (a) Do the micro plan interventions have an impact on the socio- economic condition of the target communities?</p> <p>iii(b) Have the micro plan interventions provided livelihood opportunities to SC/ ST/ FD communities?</p>		
5	Alignment of STFDPF ingredients with entire project cycle and activities	<p>Social safeguards in STFDPF applicable across the following project components:</p> <ul style="list-style-type: none"> - Forest management, including farm forestry - Biodiversity conservation - Livelihood promotion & IGAs - Convergence - Institutional (VSS & SHGs) management - Capacity building 	<p>i. Has the participatory assessment on application of STFDPF safeguards been done wrt following project components?</p> <ul style="list-style-type: none"> - Sustainable Forest Management (SFM) - Livelihood promotion - Convergence..... i - Institutional management.. - Capacity building..... <p>ii. Have the assessment results been documented and shared among all stakeholders?</p>		

S. No	Major Item of work under STFDPF	STFDPF Related Criteria	STFDPF Responsive Actions at VSS / EDC Level (Questions to be answered by VSS members)	Responses / Measures Taken	
6	Documentation of the process and results of assessment of STFDPF safeguards wrt project components for communicating to all stakeholders	Contents of the document to be simple for all stakeholders to follow and to be in local language	i. Is the report containing the results of the assessment of STFDPF safeguards written in simple local language?		
		ii. Visualization and visual presentations to be used to maximum extent	ii. Does the document contain adequate and appropriate visuals for easy comprehension?		
7	Institutional (VSS / EDC) support	VSS / EDC supports and contributes in implementing social safeguards wrt STFDPF	i. Are the VSS members (especially EC / informed members) involved in Planning & implementation of STFDPF safeguard measures?		
8	Monitoring and Reporting of STFDPF	Regular monitoring of STFDPF safeguard measures wrt project components by VSS-EC members and reporting to project management for appropriate actions	i. Has the VSS constituted a sub-group to assess /monitor STFDPDF safeguards wrt to different project components?		
			ii. Does the VSS sub-group assess / monitor the implementation of STFDPF safeguards wrt its assigned project component as per prescribed schedule?		
			iii. Does the VSS sub-groups document the results of assessment / monitoring and reports to VSS as per schedule?		
9	Creating mechanism for redressing grievances received from STFDPF target group	i. Constituting a Grievance Redressal Committee at DMU / level	i. Has the Grievance Redressal Committee with prescribed members been constituted at DMU level for the redressal of grievances received from the STFDPF target group?		
		ii. The committee duly redresses the grievances related to STFDPF target group	ii. Does the Grievance Redressal Committee redress the grievances received from STFDPF target group?		

Name & Signature of Member
Secretary

Name & Signature of President





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