

A person in a red robe is shown in profile on the left side of the frame, looking out over a vast landscape. The sun is setting in the distance, creating a warm, golden glow across the sky and the horizon. The landscape is filled with greenery and some structures in the distance. The overall mood is peaceful and contemplative.

# **TECHNOLOGY CENTRE SYSTEMS PROGRAM**

## **Social Management Framework Summary**

The proposed Technology Centre Systems Program (TCSP) focuses on upgrading and development of TCs which have as their mission the improvement of technological capabilities of MSMEs and technical skills of students in selected manufacturing industries and States, with a strong emphasis on Low Income States. A Technology Centre is specialized in a given industry/ technology. It provides on fee basis: technical training to workers and students as well as advisory services to MSMEs on both technology and business issues. It also helps MSMEs get exposure and access to state of the art technology, and can help MSMEs develop prototypes and get their equipment tested and calibrated. In all, the focus of the TCSP is on introducing 'innovation and transformative' activities in advanced states to make them globally competitive, while at the same time, ensure socio-economic opportunities in Low Income and Special Category states as defined by World Bank's Country Partnership Strategy for India (CAS, FY13-FY17).

The proposed Project's Development Objective is to set up 15 New TCs and upgrade the development of existing Technology centres to enable enhancement of competitiveness of MSMEs, improve employability of trainees in manufacturing industries and financial sustainability of the Technology Center Systems. The project beneficiaries are Indian MSMEs, larger firms, entrepreneurs, small and marginal farmers along the value chains, as well as young students and workers including women and others who belong to socially disadvantaged groups, particularly from Low Income States (LIS).

### **The Social Management Framework – An Evolving Document**

The Social Management Framework (SMF) has two distinct sections – one on Social Safeguards and another on Gender Equality and Social Inclusion (GESI). The SMF is also considered to be a living and evolving document that would be periodically reviewed and updated both by the Office of the Development Commissioner and the World Bank during the period of the Program and if dated if necessary.

### **The Process of Social Management Framework**

In the context of TCSP, a sub-project means an expansion/ modernization of an existing Technology Centre and establishment of a new Technology Centre outside the existing complex/ campus and also outside the established and operational Industrial Estates, Industrial Parks etc. that require additional land acquired from private title holders of land and/ or Government land under different tenure systems transferred by the Government resulting in adverse impacts – social, economic and cultural.

All such sub-projects will go through the process of Full Social Screening (FSS) as the basis for determining whether or not these sub-projects will go through the process of Resettlement and Indigenous Peoples Development Plan as set out in the Resettlement Framework. Such a process will

help to determine whether or not a Full or Abbreviated Resettlement Plan and also whether or not an Indigenous Peoples Development are required to be prepared.

The mitigation of adverse impacts that will be identified initially by FSSP and later by the Social Impact Assessment (SIA) will be planned and implemented as part of Resettlement Action Plan and, where required, as part of Indigenous People Development Plan by the Technology Centre concerned through participatory process involving Project Affected Families and facilitated by Non-Government Organizations and/or Community Based Organizations.

The responsibilities related to social management will ultimately reside with the respective Technology Centre. The Project Management Unit (PMU) of the Project will facilitate, support the implementation of the Social Management Plans.

The Resettlement Process, beginning (wherever required) with Social Screening will be initiated and completed by the PMU prior to undertaking of any construction activities. If there are issues related to social safeguards for a particular site or TC, the PMU will update the O/o DC-MSME and World Bank and will facilitate and support O/o DC-MSME in all the processes of Resettlement.

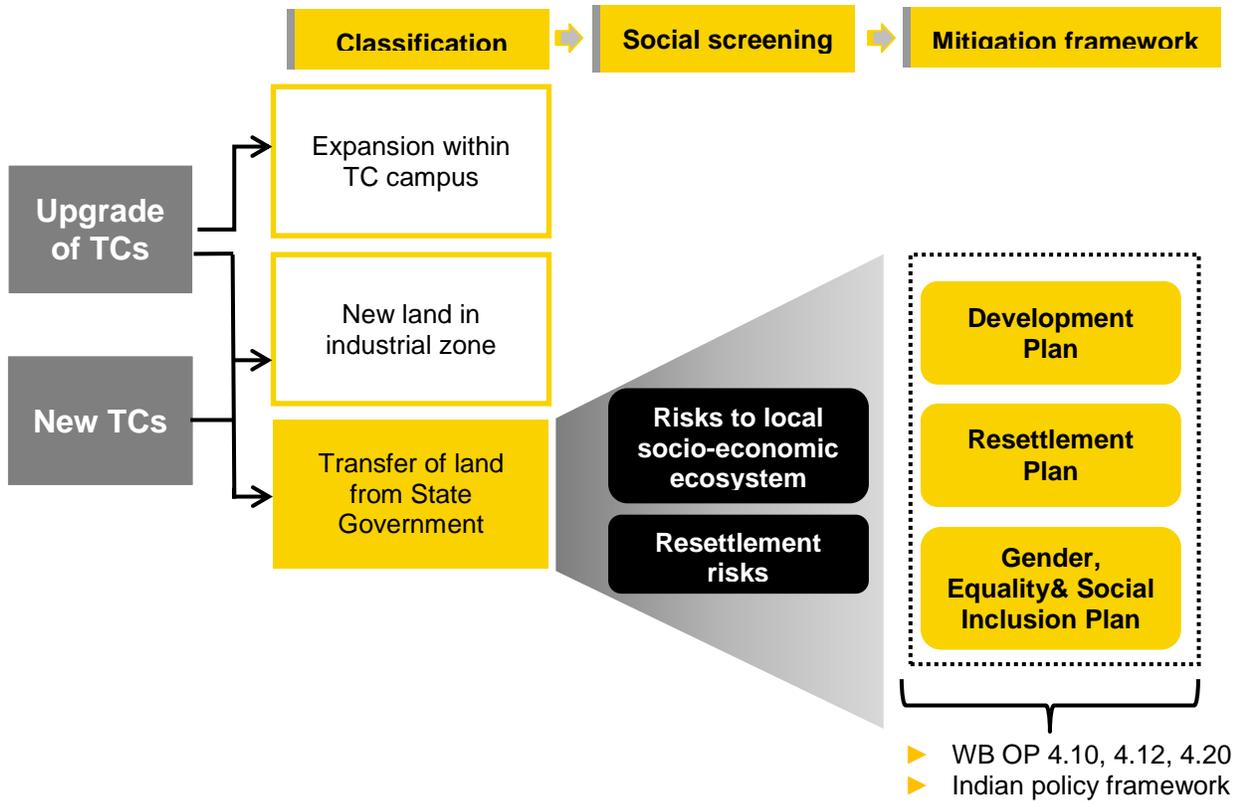
The following specific social safeguard performance indicators will be used to monitor social safeguard processes before the award of construction contract.

- ▶ Completion of Resettlement Policy Framework and Processes resulting in preparation of full/abbreviated Resettlement Action Plan and, where required Indigenous People Development Plan
- ▶ Payment of compensation and resettlement assistance, if any, to all project affected in accordance with the Entitlement Matrix prior to initiation of construction activities

The Social Safeguard Process and the preparation of SMPs will be completed before the award of contracts for construction.

The PMU will prepare and submit a six-monthly report on all aspects of Resettlement Policy Framework and Process to World Bank through the Office of Development Commissioner, MSME. The monitoring by the PMU will cover implementation of Resettlement Action Plans and where required Indigenous People's Development Plan also the overall management of Resettlement Process based on specific and measurable social, economic, cultural indicators including indicators related to participation of project affected families.

The process flow for implementing the social safeguards has been captured in the phase-wise diagram in the image below:



**Capacity Building Activities for Social Safeguard Management**

Each Technology Centre will have a designated Nodal Officer for Social Development who will not only be responsible for social safeguard process but also for social development aspects of the Centre such as Gender, Equality and Social Inclusion. The Nodal Officer will be someone who is at present working on extension activities of the Centre such as support to Community Based Organizations such as Self-Help Groups for sustainable sources of livelihood and income and also Corporate Social Responsibility programs.

In case it is not possible for a Centre to appoint a Nodal Officer from among its existing staff, the Centre will appoint a Social Development Consultant who will also work with the PMU on aspects related to social safeguard and social development. The designation of a Nodal Officer and/or appointment of a Social Development Consultant will be completed within three months of the approval of TCSP on the basis of terms of reference to be approved by World Bank.

The Nodal Officers and Social Development Consultants will undergo a series of training programs related to (i) structure and process of social safeguard management; (ii) grievance redress; (iii) indigenous peoples development, where required; (iv) gender, equality and social inclusion. The training

will also focus on participatory planning, implementation and monitoring of Social Management Plans and IPDPs.

The PMU, through O/o DC-MSME, will also organize series of training programs for Project Affected Families, vulnerable sections among Project Affected Families, Non-Government Organizations, Civil Society Organizations and Community Based Organizations on:

- ▶ Income generating programs
- ▶ Participation and grievance redress
- ▶ Access to technical/vocational programs provided by the Centre to facilitate gender, equality and social inclusion.

The PMU will prepare a detailed plan for capacity building through a series of training programs and this would include the contents of training program, the methodology, the time frame and the budget in consultation with the Nodal Officers, the Social Development Consultants, the Project Affected Families, NGOs, CSOs and CBOs based on Focus Group Discussions with a view to identify the exact needs. This means the proposed specific capacity building programs will be an outcome of participatory process of training needs analysis (TNA) within the broad framework outlined.

### Review of policy framework on social safeguards

This chapter captures the policy implications of TCSP’s social impact across three main policy frameworks: (1) Operational policies and directives of the World Bank on social safeguards (2) applicable Government of India policies, and (3) Other relevant national policies and schemes.

#### 1. Operational policies and directives of the World Bank

##### Operational policies and directives of the World Bank

Policy	Key features	Applicability to TCSP
OP 4.10 – Indigenous Peoples	<p>The <b>objective</b> are to avoid mitigate adverse impact on Indigenous People and to ensure indigenous peoples benefit from Bank financed development projects</p> <p>The <b>scope</b> includes:</p> <ul style="list-style-type: none"> <li>▶ Self-identification of Indigenous People as members of distinct indigenous cultural group and recognition of this by others</li> <li>▶ Collective attachment to distinct habitats/ancestral territories in project</li> </ul>	<p>Undertaking of Indigenous Peoples Social Screening/ Social Assessment as the basis for preparing Indigenous Peoples Development Plan in accordance with the Guidelines for preparing IPDP as set out in the Resettlement Framework (RPF) of TCSP, if required in a site to be identified</p>

	<p>area and to natural resources in these habitats;</p> <ul style="list-style-type: none"> <li>▶ Customary social, economic, cultural and political institutions that are separate from dominant society and culture and</li> <li>▶ Indigenous language often different from the official language of the State</li> </ul> <p><b>Implementation</b> requires participation of indigenous peoples in creation of “indigenous peoples development plans”.</p>	
OP 4.12 – Involuntary Resettlement	<p>The <b>key objectives</b> are</p> <ul style="list-style-type: none"> <li>▶ Avoid, minimize, mitigate adverse impacts</li> <li>▶ Absence of legal title/claim is not bar to resettlement assistance as all Program affected are eligible for resettlement assistance and compensation</li> <li>▶ Resettlement of all affected will be planned and implemented as a development project as an integral part of the Program and through a transparent and participatory process of consultation</li> </ul>	<p>Applicable to both <b>new TCs and upgrades</b> wherever expansion beyond existing property of TCs is necessary and caused by acquisition of private land and/or transfer of Government land under different tenure systems</p> <p>Application of the provisions of Resettlement Policy Framework – Social Screening, SIA, Categorization of SMP and preparation of RAP</p>
OP 4.20 – Gender and development	<p>The <b>objective</b> is to ensure equitable access to opportunities to poverty eradication and economic growth across women and other target groups.</p>	<p>Given the focus of TCs across sectors in the local economies, their direct and indirect impact on creating economic opportunities across genders and minority groups is likely to be high. TC specific GESIP would be prepared as part of TCSP implementation</p>

## 2. The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013

The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013 (RFCTLAR&RA 2013Act) as Amended by the Amendment Ordinance, No. 9 of 2014, dated December 31, 2014, provides a systematic and time-bound procedure for land acquisition, allowing for necessary

checks and safeguards to ensure an equitable and transparent process of land acquisition for industrialization, development of essential infrastructural facilities and urbanization with the least disturbance to the owners of the land and other affected families.

### **Implementation process**

Most of the key principles of RFCTLAR&R Act are in accordance with World Bank's social safeguard policy and, therefore, have been incorporated in the Resettlement Policy Framework for TCSP including institutional arrangements for participatory planning and implementation and also for grievance redress to facilitate accountability.

- ▶ Standardization of principles and process steps by providing a roadmap for data collection and execution of identified processes as part of the activities defined under the Act, with a focus on ensuring equitable compensation to affected stakeholders, while allowing for customization as per the requirements of individual projects.
- ▶ Independence and accountability of the SIA process is expected through a credible and objective assessment of public purpose, alternatives, and positive and negative social impacts, collected through clearly defined and rigorous methods. The institutional arrangements anchoring the process must ensure that the SIA team is free of pressure from the Requiring Body or appropriate Government.
- ▶ Informed and participatory decision making is a requisite and will be ensured through clearly written, systematically presented and publicly accessible documents which will only be finalised after public hearings have been held and all feedback and inputs from stakeholders have been incorporated
- ▶ Disclosure and transparency at every stage in the SIA and decision-making process is a requisite. A transparency checklist is required to be prepared to enable representatives of the affected community to track and verify that all records, process and activities
- ▶ Resource support and capacity building is necessary at the state and national levels for conducting independent SIAs. The SCSIA will be the nodal institutional responsible for commissioning and supporting SIAs and will respond immediately to the State Government's request for an SIA to be conducted for any case of land acquisition proposed under the new legislation.

### **3. Other applicable national level policies:**

Other national level policies include National Policy for the Empowerment of Women (2001); The Persons with Disabilities (Equal Opportunities, Protection of Rights and Full Participation) Rules, 1996; Untouchability Offences Act, 1955; The Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Rules, 1995; Minimum Wages Act, 1948; Factories Act, 1948; Contract Labour Act, 1970; The Bonded Labour System (Abolition) Act, 1976; Child Labour (Prohibition and Regulation) Act 1996 along with Rules, 1988; Children (Pledging of Labour) Act, 1933 (as amended in 2002); The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006, Panchayats (Extension to

Scheduled Areas) Act, 1996.

State level policies and schemes, such as the State Industrial Policy (including the special provisions for thrust sectors) may also be reviewed for each state and zone wherein the TCs are proposed to be set up. In addition to this, State-specific policies and schemes related to eligibility and admission criteria will also be reviewed to facilitate gender and social inclusion so that women and members of other vulnerable sections of society could enjoy the benefits of TCSP's vocation/technical skills development programs.

### **The Resettlement Policy Framework**

This Resettlement Policy Framework and its Entitlement Matrix are based on World Bank's social safeguard policy that consists of OP 4.12 – Involuntary Resettlement and OP 4.10 – Indigenous Peoples and also Government of India's The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, (RFCTLAR&R Act) 2013.

OP 4.12 on Involuntary Resettlement has clearly stated policy objectives, impacts covered, mitigation measures and eligibility criteria. It also has guidelines for preparing Resettlement Policy Framework and this RPF is in accordance with these guidelines. As far as OP 4.10 – Indigenous Peoples is concerned; it uses the term Indigenous Peoples in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing certain characteristics in varying. The RPF uses the term Scheduled Tribes (ST) rather than Indigenous Peoples.

The social screening process as set out in this document would help to determine whether or not Bank's social safeguard policy either on Involuntary Resettlement or Indigenous Peoples will be triggered.

### **Objectives of Resettlement Policy Framework**

The social safeguard policy objectives of Technology Centre Systems Program (TCSP) are the following and are in accordance with Bank's social safeguard policy requirement:

- ▶ To avoid or minimize involuntary resettlement by exploring viable alternative project designs
- ▶ To plan resettlement activities as sustainable development program, where it is not feasible to avoid resettlement by allocating resources to enable the persons affected to share in project benefits
- ▶ To assist the affected to improve their livelihoods and standards of living or at least to restore them to pre-displacement levels
- ▶ To see whether or not the affected persons are self-identified as members of a distinct cultural group with collective attachment to distinct places and to natural resources in the project area

### **Entitlement Matrix for Project Affected persons**

An Entitlement Matrix has been prepared to for all categories of Project Affected Persons (PAPs), based

on The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013. This Matrix can be used as a guide for designing Resettlement Action Plans for sub-projects. All the families will be entitled to two broad categories of assistance; 1) compensation for land loss; and 2) livelihood (rehabilitation) assistance for starting some income generation activity, which may include the purchase of lands, as decided by the PAF. The livelihood assistance in the matrix are rather indicative (as they are average figures), whereas, the actual assistance will relate to, at the minimum restoring, if not enhancing the pre-land loss income levels. It may also be noted that livelihood assistance figures have been worked out such as to yield an annual income of INR 50, 000 per family, an income level corresponding to the initial ladder of the Above Poverty Line. The amounts given in the Entitlement matrix are for the financial year 2013-14. After this year these amounts will be revised to compensate for inflation.

### **Social Safeguards**

The project involves investments to upgrade and build the facilities for the existing and new Technology Centres would involve upgrading the existing Technology Centres and financing the construction of new facilities for about 15 new Technology Centres.

This requires land – both for the expansion of existing Centres and establishment of new Centres. The land provided for expansion and establishment of new centres can be classified into three categories. (1) Where expansion will take place on land within the existing gated complexes. (2) Where new Centres will be set up on sites that are well within clearly demarcated, existing and functioning industrial growth centre and are free from any claims, encumbrances and use by anyone for any purpose. (3) Where a new TC will be established on plots that are not within functioning growth centres / areas of land that are not clearly demarcated and protected. This means that some parts of such land could be under different use by different people to meet some of their needs.

The States have also expressed their commitment to allocate land for expansion and for the new Technology Centres. The scope for having a transformative impact together with the time it will take for the facilities to become operational will be a decisive factor that would influence the selection of sites for expansion and the setting up of new Centres. This would mean that the States have already completed the process of land acquisition and/or transfer of Government land under different tenure system in accordance with relevant Acts, Policies and Procedures concerning them and that the land should be available free of any encumbrances. This would also mean that there will not be any claim related to private as well as Government land by any affected persons.

### **Social Safeguard Screening**

## **The Screening Process and Impact and Risk Approach**

### **1. Tiered Approach to Social Screening Process**

The TCSP will have two-tier approach to Social Screening Process (SSP) and they are (i) No Social Screening Process (NSSP) and (ii) Full Social Screening Process (FSSP). At a separate level, Indigenous People's Social Screening Process (IPSSP) will be undertaken if a new Technology Centre is to be established in an area with high indigenous population comprising tribal populace and if the area is covered by Government Policies and Plans such as Tribal Sub Plans and Panchayati Raj Extension to Scheduled Areas.

**No Social Screening Process (NSSP):** There will not be any Social Screening Process if an expansion/modernization of an existing Technology Centre takes place within its existing complex/ campus. Similarly, sites for expansion / modernization or establishment of new TC will not go through SSP if it is within an established and operational sites such Industrial Estates, Industrial Parks, and Export Promotion Zones etc. Since expansion/ modernization/ establishment of the TC does not require acquisition of private land or transfer of Government land under different tenure systems, there will not be any adverse social impacts.

**Full Social Screening Process (FSSP):** There will be FSSP if a new Technology Centre is to be established on land acquired from private title holders and/or on Government land under different tenure systems that are not located within an established and operational sites such as Industrial Estates, Industrial Parks, Export Promotion Zones etc. provided by the Government to establish a new Centre. The acquisition of private land and/or transfer of Government land under different tenure systems are likely to have adverse impacts – social, economic and cultural.

**Link to Resettlement Policy Framework:** The Social Screening Process (SSP) has been fully integrated into the Resettlement Policy Framework

### **2. Indian Legal System for Social Safeguard Management:**

The Indian legal system for social safeguard management centres on the very recently enacted The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 (RFCTLAR&RA 2013) as Amended by the Amendment Ordinance, No. 9 of 2014, dated December 31, 2014. The Entitlement Matrix, for example, is based on this RFCTLAR&RA (refer Annex 1). In addition the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act (FRA), and Panchayats Extension to Scheduled Areas Act (PESA), are two important Acts in the context of this programme.

The Project Management Unit (PMU) will undertake Social Safeguard Screening (SSS) for land provided for expansion of existing Technology Centre and also the new site for setting up of a new Technology Centre. The screening is to identify potential adverse social, economic and cultural impacts likely to be caused in order to determine whether or not the OP 4.12 on Involuntary Resettlement and/or OP 4.10 on Indigenous Peoples are applicable. Formats for screening are attached as Annex 2A, Annex 2B, and Annex 2C to this RPF. Social Safeguard Screening (SSS) will be done separately for each Technology Centre.

Social Impact Assessment (SIA) including census socio-economic survey will be undertaken once the SSS indicates that a particular social safeguard policy is triggered. This will provide the basis for categorizing each Technology Centre (sub-project) into two categories. And this will be followed by preparation of Resettlement Action Plan (RA), full or abbreviated, and/or Indigenous Peoples Development Plan.

### **Gender Equality and Social Inclusion Plan (GESIP)**

A very important aspect of the Social Management Framework is the Gender, Equity and Social Inclusion Plan (GESIP). One of the aims of the Program is to create more choices for young people entering labor force in terms of providing opportunities for hands-on-technical skills development at varying levels and types through Technology Centres. This is expected to provide young people, including women and those who belong to vulnerable sections of society, economic and social returns. This is in accordance with Government of India's focus on inclusive growth focusing on poverty reduction and group equality and also with World Bank's Country Partnership Strategy with emphasis on engagement, transformation and inclusion.

The PMU will facilitate the TCs to prepare a Strategy to help with the preparation and implementation of a Gender, Equity and Social Inclusion Plan (GESIP) with particular emphasis on inclusion of young women and also those who belong to weaker and underprivileged sections of society such as those belong to Scheduled Castes, Scheduled Tribes, Backward Castes, minorities and those who are differently abled. Good practices coming out of the GESIP will be documented and replicated/scaled up in existing and new TCs.

The GESIP will be based on the policies of Government of India and the State Governments concerned with regard to criteria for admission and eligibility. The Strategy will be planned and implemented at two levels: (1) at the level of Project Affected Families and (2) at the level of other potential candidates from the States, including Low Income States, where the Technology Centres are located or are to be located. The PMU will also monitor the implementation of Gender Equality and Social Inclusion Plan (GESIP).

### **Participatory Process of GESIP**

The Strategy for GESIP will have two sets of primary stakeholders – those who belong to project affected families and those from families with potential beneficiaries and will be the outcome of the following participatory process.

- Identification of primary stakeholders, as mentioned above, particularly young people including women and those who belong to vulnerable sections of society –Schedule Castes, Scheduled Tribes, Backward Casts, minorities, differently abled and other such cohorts.
- Involvement of primary stakeholders in an informed and transparent consultative and participative process that includes Focus Group Discussions (FGDs) involving Community Based Organizations/ groups of women and other vulnerable sections, NGOs/ CSOs, key opinion/traditional leaders of the community and the documentation of the process;
- Involvement of existing trainees/students and also trainers and other staff of a Technology Centre in the participatory process to understand the criteria used for selection and admission into a TC
- Explaining of the benefits of the Program in terms of access to vocational education and training for skills development and employment
- Explaining of eligibility criteria – age, educational qualification etc. – for admission based on policies of the Government of India and State Governments such as Reservation of seats, financial assistance for those who belong to weaker sections;
- Review of patterns of admission in these Centers in the context of national and State policies for reservations and admission and use the findings to complement findings of FGDs and other processes mentioned here and
- Finalization of GESIP with support/facilitation of private sector firms in the value chains, NGOs and CSO

### **The Methodology**

The preparation of GESIP would complement the findings of its primary source of information/details and data collected through the participatory process with documents, data, information/details collected from secondary sources including those collected through questionnaires administered on selected participants such as current trainees/students, the Centres selected for the study and also those provided by the national level at the O/o DC-MSME.

### **The GESIP**

Each Technology Centre will have its own GESIP that would not only be an outcome of the participatory process but would also be rooted in the national and State policies for gender and social inclusion in the context of admission into vocational education and training for skills development and increased opportunities for employment. The GESIP would serve as a tool for selection and admission of trainees/students, access to scholarship and employment opportunities.

## **Contents of GESIP**

The Technology Centre specific GESIP will have the following contents:

1. Findings of participatory process, particularly related to selection and admission criteria in the context of applicable national and State policies for admission, reservation, scholarship, etc.;
2. Findings of the review of patterns of admission in 5 Technology Centres selected on the basis of purposive random sampling method;
3. Review of Findings 1 and 2 above and how they compare with national and State policies;
4. Analysis of existing pool of potential trainees and their eligibility in terms of gender and social inclusion and also in terms of eligibility criteria as set out in national and State policies;
5. Identification of factors, issues, concerns etc. that are likely to help or hinder the implementation of GESIP;
6. Incorporation of such identified factors, issues and concern and recommendations for to address them to facilitate GESIP and
7. Setting up of institutional arrangement at Technology Centre level for transparent and accountable implementation and monitoring of GESIP based, among others, on specific and measurable indicators.

The GESIP is one of the important aspects of the Technology Centre Support Program that would contribute towards generating increased awareness among the people at large about the Program and in the process creating more choices for the young people who belong to weaker and vulnerable sections of the society so that they enjoy the expected economic and social benefits of the Program.