

**UNDP/WWF/GEF India Wild Cats Project**  
**Strengthening conservation and resilience of globally-significant wild cat  
landscapes through a focus on small cat and leopard conservation**

**Indigenous Peoples Planning Framework (IPPF) & Process  
Framework (PF)**

**Government of India**  
**Ministry of Environment Forests and Climate Change (MEFCC)**  
**October 2020**



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## UNDP/WWF/GEF India Wild Cats Project

<b>Project:</b>	Strengthening conservation and resilience of globally-significant wild cat landscapes through a focus on small cat and leopard conservation	
	GEF Project ID: 10235	UNDP PIMS ID: 6355

<b>Report Title:</b>	Indigenous Peoples Planning Framework (IPPF) & Process Framework (PF)
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## Abbreviations and Acronyms

AP	Arunachal Pradesh State
APR	Annual Project Report
AWP	Annual Work Plan
BD	Biodiversity
BPL	Below Poverty Level
CBD	Convention on Biological Diversity
DG	Director General
EA	Executing Agency
EDC	Eco-Development Committee
FD	Forest Division
GEF	Global Environment Facility
GIS	Geographic Information System
GTF	Global Tiger Forum
GTI	Global Tiger Initiative
Ha	Hectare
IAS	Invasive alien species
IG	Inspector General
IUCN	International Union for Conservation of Nature (World Conservation Union)
KAP	Knowledge, Attitudes, and Practices
LPG	Liquified petroleum gas
LRP	Livelihood Restoration Plan
M&E	Monitoring and evaluation
MoEFCC	Ministry of Environment Forests and Climate Change
NGO	Non-Governmental Organization
NP	National Park
NTCA	National Tiger Conservation Authority
NPD	National Project Director
NWAP	National Wildlife Action Plan 2017-31
PA	Protected Area
PMU	Project Management Unit
PM	Project Manager
PPG	Project Preparation Grant (for GEF)
PSC	Project Steering Committee
RF	Reserved forest as defined in the Indian Forest Act, 1927
RTA	Regional Technical Advisor
SBVCR	Singchung Bugun Village Community Reserve
SHG	Self help group
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
STPF	Special Tiger Protection Force
SRF	Strategic Results Framework
SOP	Standard Operating Procedure
TBD	To Be Determined
TCP	Tiger Conservation Plan
TE	Terminal Evaluation
TNA	Training Needs Analysis
TOR	Terms of Reference
TR	Tiger Reserve
UNDP	United Nations Development Program
UNDP CO	UNDP Country Office

UP	Uttar Pradesh State
USD	United States Dollar
WCT	Wildlife Conservation Trust
WII	Wildlife Institute of India
WLS	Wildlife Sanctuary
WTI	Wildlife Trust of India
WWF	World Wide Fund for Nature

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## Executive Summary

This Indigenous Peoples Planning Framework (IPPF) & Process Framework (PF) has been prepared to cover components 2 & 3 of the project entitled “Strengthening conservation and resilience of globally-significant wild cat landscapes through a focus on small cat and leopard conservation”. This project will secure the conservation of globally-significant wild cat landscapes in northern, north-eastern and western India through a landscape conservation approach for wild cats that brings together the species conservation programs, connects stakeholders and empowers communities, and operates across PAs, tiger corridors and buffer zones. The project will focus on the Dudhwa landscape in Uttar Pradesh and Pakke-Eaglenest landscape in Arunachal Pradesh, with further limited intervention in Ranthambhore landscape in Rajasthan.

The components 2 and 3 will be funded under WWF GEF and will be implemented in two project landscapes (Dudhwa and Pakke-Eaglenest), putting in place the required local capacity, collaborations and community stewardship for landscape-scale conservation in globally-significant landscapes for wild cats that are focused on Key Biodiversity Areas where small cat distribution overlaps with big cat habitats. Component 2 will bring together key government departments with roles to play in wild cat conservation to support the implementation of landscape-scale master plans. This will help to build a complementary and coordinated action portfolio for wild cat conservation bringing together big cat and small cat conservation under the guidance and supervision of NTCA. Working in parallel with Component 2, in the same wild cat landscapes, Component 3 will build community stewardship and engagement towards the co-management of wild cat habitats.

Project implementation (activities related to Components 2 & 3) will take place in Arunachal Pradesh and Uttar Pradesh States, working with Indigenous/Tribal communities in areas buffering national parks and tiger corridors (Katerniaghat Tiger Reserve and Dudhwa National Park in Uttar Pradesh; Pakke Tiger Reserve and Eaglenest Wildlife Sanctuary in Arunachal Pradesh). The project landscapes are inhabited by Indigenous/Tribal communities including potentially vulnerable groups that might not have stable land rights arrangements. Indigenous/Tribal communities in project landscapes include the Monpas, Sherdukpens, Buguns and Nyishi in Arunachal and the Tharu in Uttar Pradesh.

While the proposed project is unlikely to cause displacement of people, the project aims to support implementation of landscape conservation master plans, demonstration of targeted interventions to improve or rehabilitate key habitats used by wild cats and to manage their prey base (Output 2.1), including measures such as forest, grassland and wetland habitat management, and removal of invasive species. More specifically, the intervention in Dudhwa landscape will be the grasslands and wetlands of Katerniaghat WS and Dudhwa NP, including engagement of surrounding farming communities. In Pakke-Eaglenest landscape, the project interventions will focus on securing the connectivity and integrity of forest cover across the landscape by addressing critical bottlenecks (eg Tenga RF and Sessa Orchid Sanctuary) and forested areas under active encroachment and degradation, mainly in buffer zone areas (e.g. tree felling in Papum RF). This triggers the WWF’s Policy on Involuntary Resettlement as the proposed project is likely to restrict access to grazing<sup>1</sup>, collection of fodder, roofing and fencing materials, timber, firewood and other Non-Timber Forest Products (NTFPs) that the local peoples including IPs/tribal communities have been using within the Project areas.

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<sup>1</sup> As a result of managing grazing pressure, especially finding a solution for abandoned cattle. Restrictions on grazing are necessary to restore the grasslands in Buffer Areas. Law enforcement or awareness raising on rules will be executed in the area where open grazing is common practice. Exclosures would be applied for limited areas linked to monitoring of changes in habitat condition. The continued deforestation and destruction of wild small cat habitat in Pakke-Eaglenest landscape due to uncontrolled extraction of resources and open grazing will be regulated providing support for alternatives such as agroforestry, medicinal plant cultivation, domestication of highbred animals with stallfeeding approach.



The WWF Environmental and Social Safeguards Categorization Memorandum (30 March, 2020) categorized the project as "B" and also confirmed that project triggers WWF Policies on Natural Habitat, Involuntary Resettlement and Indigenous People as per the WWF's Environment and Social Safeguards Integrated Policies and Procedures (SIPP). Accordingly, an Indigenous Peoples Planning Framework (IPPF) & a Process Framework (PF) have been prepared by Ministry of Environment Forest and Climate Change (MoEFCC), Government of India (GOI) for the WWF funded components 2 and 3 activities that need to comply with WWF's E&S safeguards policies and procedures.

A social assessment process was carried out as part of preparation of the IPPF and Process Framework (PF) and was based on the following:

- Review of project documents, applicable legal and policy documents, past studies and social assessments conducted in the project areas.
- Review of reports related to consultations with Tribal/Indigenous and local communities in the project landscape by PPG team between mid-July and late September 2019.
- Community consultations in Dudhwa and Pakke- Eaglenest areas during January- February, 2020, as part of preparation of IPPF and PF to collect baseline information and to assess likely impacts of the project on the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend.
- Similarly, consultation with government officials, including officials of District Forest Offices, National Parks, Tiger Reserves have also been conducted to validate and confirm the information collected from communities as well as for understanding impacts of the project on communities (the consultation report of each project landscape with details of consultations (dates, location and number of participants etc., issues and concerns raised) have been provided in Annex 1 and 2).
- Consultation with key project stakeholders, including officials of District Forest Offices, National Parks, Tiger Reserves and several other community stakeholders such as civil society organizations working for community development, agriculture and other line departments, EDC members were consulted in order to understand the impacts of the project on the communities, how the project engage with different stakeholders for implementation of the project while benefiting local communities and wild cat population simultaneously (see Annex 1 & 2).

The Indigenous Peoples Planning Framework (IPPF) clarifies the principles, procedures and implementation arrangements to assess likely impacts and to ensure culturally appropriate benefits for indigenous communities. The IPPF provide guidelines and procedures to be followed to ensure that affected IPs and local communities (i) receive culturally appropriate social and economic benefits; (ii) do not suffer adverse impacts (avoid negative effects on the IP communities) as a result of the project; (iii) when negative impacts cannot be avoided, provide measures to minimize/mitigate or compensate for the damage caused by the project activities and (iv) can participate actively in the project. The IPPF is also intended to provide guidelines for the preparation, conduct and documentation of processes related to Free, Prior and Informed Consent (FPIC).

The Process Framework (PF) describes a process to be established by which members of potentially affected communities (due to project restriction of access to resources & economic displacement) participate in designing, implementation and monitoring of relevant project activities to mitigate the impacts. The Process Framework (PF) aims to address possible project restriction of accessing public and community resources and private assets in line with the requirements of the SIPP. The PF establishes procedures and guides the executive and implementing agencies to address potential adverse social impacts, particularly, loss of livelihood as a result of access restriction due to project implementation.

Overall, the IPPF and PF identify the steps for detailed screening and assessment for the project's potential social and environmental risks, and for preparing and approving the required management plans for avoiding, and where avoidance is not possible, reducing, mitigating and managing these potential adverse impacts.

The project will be executed by the Ministry of Environment Forest and Climate Change (MoEFCC) through its Project Management Units and will be responsible for the development, execution and monitoring of all safeguards plans prepared as per the WWF Environment and Social Safeguards Integrated Policies and Procedures (SIPP). The IPPF and PF serve as guidance to the project execution agencies and management units in the implementation of the proposed project to:

- a. Enable them to prepare an Indigenous Peoples Plan (IPP) for activities proposed consistent with WWF's Environment and Social Safeguard Integrated Policies and Procedures;
- b. Enable IPs/Tribal communities to benefit equally from the project;
- c. Engage affected IPs/tribal and local communities following principles and approaches of Free Prior Informed Consent (FPIC);
- d. Enable them to adopt participatory processes by which criteria for eligibility of affected persons will be determined, project components will be prepared and implemented with participation of the potentially affected persons; and
- e. Enable them to identify suitable measures to assist affected persons in their efforts to improve their livelihoods or restore them to livelihoods conditions before the project, while maintaining the sustainability of the landscapes.

The IPPF and PF will be disclosed on the website of the Ministry of Environment Forest and Climate Change (MoEFCC), in the National Park areas, Wildlife Sanctuary and Buffer Zones as well as the WWF Safeguards Resources website before GEF agency approval as per WWF's Standard on Public Consultation and Disclosure.

# 1 Background and Introduction

## 1.1 Background of the Project

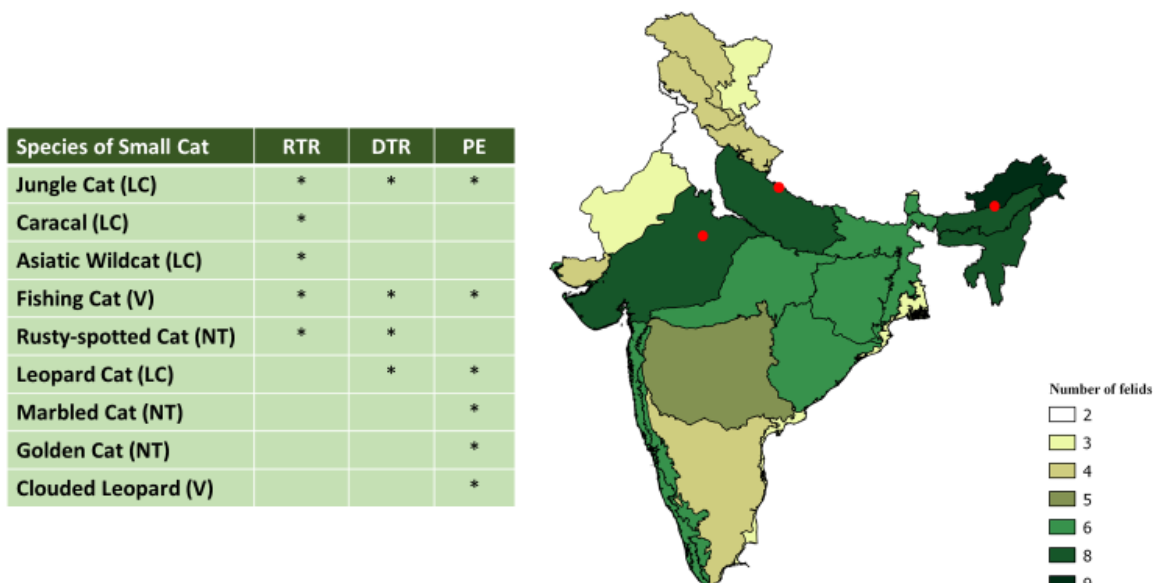
This project has been designed to secure the conservation of globally-significant wild cat landscapes in northern, north-eastern and western India through a landscape conservation approach for wild cats that brings together species conservation programs, connects stakeholders and empowers communities, and operates across PAs, tiger corridors and buffer zones. It will aim to integrate small cat needs into existing large cat conservation initiatives so that all wild cats are considered together.

Small cats are keystone species, providing crucial economic and ecosystem services such as pest and disease control, and their conservation is essential to underpin the integrity of big cat conservation efforts and maintain large natural ecosystems across India. While India's network of tiger reserves provides a safe refuge to many cat species, a substantial part of the distribution of small cats occurs outside the Protected Area (PA) network, making protection, restoration and connectivity of habitats at a landscape scale essential for their long-term conservation. These areas are subject to varying degrees of habitat degradation and fragmentation, and cats are threatened by poaching and human-wildlife conflict (HWC) – threats that are increasing in extent and frequency as ongoing development and land use changes extend the human-wild cat interface and increase the potential for local-level conflicts. Ongoing development impacts reduce and fragment habitat, increasing the interface between humans and wild cats. Increasing human populations and economic development that does not consider environmental needs are drivers of the threats to wild cats.

The project will adopt a landscape conservation approach in line with the National Wildlife Action Plan 2017-31, that broadens and brings together the conservation programs of individual species, connects stakeholders and empowers communities, and operates across PAs, identified tiger corridors and in buffer zones surrounding and connecting these areas. The landscape conservation approach represents a shift away from the traditional approach of focusing resources solely on increasingly isolated protected areas, given that these PAs are ecologically and socio-economically inter-dependent on the mosaic of land uses in their surrounding landscapes. The proposed project will support the Government of India to put in place an integrated model for wild cat conservation at landscape scale that can be replicated nationally and in other range states.

The project will focus on the selected landscapes in wild cat hotspots in northern, north-eastern and western India that each contain multiple species of small cats as well as tiger and leopard. These are critical sites for the maintenance of wild cat diversity in India, representative of their respective biotic provinces. Each demonstration landscape is built around a key PA for wild cat conservation and surrounding buffer zones that contain important habitats for small cats. Activities will be conducted within PAs, buffer zones and identified tiger corridors within these landscapes. The project landscapes are: Dudhwa landscape in Uttar Pradesh and Pakke – Eaglenest landscape in Arunachal Pradesh, with further limited intervention in Ranthambhore landscape in Rajasthan. The location and significance of each landscape for small cat conservation is shown in Figure 1. These landscapes face habitat loss, degradation and fragmentation, and the wild cats they host are also directly impacted by HWC, poaching for illegal markets, retaliatory killing, free-ranging dog populations and roadkill.

## Distribution of cat diversity in India



**Figure 1 Location & Significance of each project landscapes for small wild cat conservation**

Key: RTR - Ranthambhore Tiger Reserve; DTR - Dudhwa Tiger Reserve; PE - Pakke Tiger Reserve – Eaglenest Wildlife Sanctuary. IUCN Red List status: LC – Least Concern; NT – Near-threatened; V - Vulnerable

Source: Project Document June 2020

## 1.2 Project Objectives and Components

The project objective is to secure populations and habitats of wild cats subject to habitat encroachment, human-wildlife conflict, poaching and illegal trade in priority landscapes of northern, north-eastern and western India. This will be achieved through four complementary components that aim to build the required enabling policy framework and institutional capacity (Component 1); strengthen government management of wild cats and habitats (Component 2) and build community stewardship (Component 3) at landscape level; and enhance corporate sector partnerships, regional collaboration, and knowledge transfer and learning (Component 4).

The project will accomplish its objectives through the implementation of four interconnected components:

Component 1 (UNDP GEF funded) will put in place a landscape-level approach to wild cat conservation that will guide the revision and implementation of existing policies, plans and programs of government departments at national and sub-national levels, and other donor/partner initiatives.

Components 2 and 3 (WWF GEF funded) will be implemented in two project landscapes (Dudhwa and Pakke-Eaglenest), putting in place the required local capacity, collaborations and community stewardship for landscape-scale conservation in globally-significant landscapes for wild cats that are focused on Key Biodiversity Areas where small cat distribution overlaps with big cat habitats. Component 2 will bring together key government departments with roles to play in wild cat conservation to support the implementation of landscape-scale master plans. This will help to build a complementary and coordinated action portfolio for wild cat conservation bringing together big cat and small cat conservation under the

guidance and supervision of NTCA. Working in parallel with Component 2, in the same wild cat landscapes, Component 3 will build community stewardship and engagement towards the co-management of wild cat habitats. Target locations for community collaboration on wild cat conservation were determined during the PPG phase, and local consultations were conducted to confirm support for project activities.

Component 4 (UNDP GEF funded) will build the necessary partnerships and information sharing platforms for integrated and collaborative wild cat conservation. This will include the establishment and initial operation of a national-level platform for green business including development of a corporate-sector fund for community-based wildlife conservation.

An Indigenous Peoples Planning Framework (IPPF) & a Process Framework (PF) have been prepared by Ministry of Environment Forest and Climate Change (MoEFCC), Government of India (GOI) for the WWF funded components 2 and 3 activities that need to comply with WWF's E&S Safeguards policies and procedures.

### **1.3 Purpose and Scope of IPPF & PF**

As per the WWF Environmental and Social Safeguards Categorization Memorandum (30 March, 2020), the project has been categorized as "B" given that it is a conservation initiative, expected to generate significant positive and durable social, economic and environmental benefits. The Categorization memo also confirms that project triggers WWF Policies on Natural Habitat, Involuntary Resettlement and Indigenous People as per the WWF's Environment and Social Safeguards Integrated Policies and Procedures (SIPP) (See details in section 3.2).

The components 2 and 3 which will be funded by WWF GEF Agency required to comply with the WWF's Environment and Social Safeguards Integrated Policies and Procedures (SIPP). Thus, an Indigenous Peoples Planning Framework (IPPF) & Process Framework (PF) has been prepared to address project's impacts on IPs and possible restriction of accessing public and community resources and private assets in line with the requirements of the SIPP. The Executing Agency (EA) of the project is Ministry of Environment Forest and Climate Change (MoEFCC). The EA through its Project Management Units (PMUs) will follow these frameworks to ensure any social risks and impacts are fully assessed and management measures are in place prior to the implementation of the relevant Project activities.

### **1.4 Rationale & Objective of Preparing IPPF**

The WWF's Policy on Indigenous Peoples is triggered given that proposed project activities will involve Indigenous/Tribal communities. Project implementation (activities related to Components 2 & 3) will take place in Arunachal Pradesh and Uttar Pradesh States, working with Indigenous/Tribal communities in areas buffering national parks and tiger corridors (Katarniaghat Tiger Reserve and Dudhwa National Park in Uttar Pradesh; Pakke Tiger Reserve and Eaglenest Wildlife Sanctuary in Arunachal Pradesh). The project landscapes are inhabited by Indigenous/Tribal communities including potentially vulnerable groups that might not have stable land rights arrangements. Indigenous/Tribal communities in project landscapes include the Monpas, Sherdukpens, Buguns and Nyishi in Arunachal and the Tharu in Uttar Pradesh. An Indigenous Peoples Planning Framework (IPPF) is prepared to clarify the principles, procedures and organizational arrangements to be applied to indigenous peoples (IP) for the proposed project. The IPPF aims to safeguard the rights of IPs to participate and equitably receive culturally appropriate benefits from the project. More specifically, the IPPF provides policy and procedures to screen project impacts on IPs and to prepare an Indigenous Peoples Plan (IPP), an appropriate planning document, to safeguard their rights prior to the implementation of project activities affecting IPs to ensure compliance with WWF's Indigenous Peoples Policy.

The main objective of this IPPF is to help ensure that the project activities are designed and implemented in a way that fosters full respect for IP identity, dignity, human rights, livelihood systems, and cultural uniqueness as defined by the IPs themselves. This IPPF aims to safeguard the rights of IPs to participate and equitably receive culturally appropriate benefits from the project. The IPPF provide guidelines and procedures to be followed to ensure that affected IPs and local communities (i) receive culturally appropriate social and economic benefits; (ii) do not suffer adverse impacts (avoid negative effects on the IP communities) as a result of the project; (iii) when negative impacts cannot be avoided, provide measures to minimize/mitigate or compensate for the damage caused by the project activities and (iv) can participate actively in the project. The IPPF is also intended to provide guidelines for the preparation, conduct and documentation of processes related to Free, Prior and Informed Consent (FPIC).

## **1.5 Rational & Objective of Preparing Process Framework (PF)**

While the proposed project is unlikely to cause displacement of people, the project aims to support implementation of landscape conservation master plans, demonstration of targeted interventions to improve or rehabilitate key habitats used by wild cats and to manage their prey base (Output 2.1), including measures such as forest, grassland and wetland habitat management, and removal of invasive species. More specifically, the intervention in Dudhwa landscape will be the grasslands and wetlands of Katerniaghat WS and Dudhwa NP, including engagement of surrounding farming communities. In Pakke-Eaglenest landscape, the project interventions will focus on securing the connectivity and integrity of forest cover across the landscape by addressing critical bottlenecks (eg Tenga RF and Sessa Orchid Sanctuary) and forested areas under active encroachment and degradation, mainly in buffer zone areas (e.g. tree felling in Papum RF). This triggers the WWF's Policy on Involuntary Resettlement as the proposed project is likely to restrict access to grazing, collection of fodder, roofing and fencing materials, timber, firewood and other Non-Timber Forest Products (NTFPs) that the local peoples including IPs/tribal communities have been using within the Project areas [Output 2.1 (2.1.3, 2.1.4, 2.1.7 & 2.1.8)]. Thus, this Process Framework (PF) has been prepared during project preparation. The Process Framework (PF) describes a process to be established by which members of potentially affected communities participate in design of project activities, determination of measures necessary to mitigate likely impacts, and implementation and monitoring of relevant project activities. The PF establishes procedures and guides the executive and implementing agencies to address potential adverse social impacts, particularly, loss of livelihood as a result of access restriction due to project implementation.

The Executing Agency ((Ministry of Environment Forest and Climate Change (MoEFCC) will be responsible for developing, implementing and monitoring safeguard related instruments and complying with WWF's Environment and Social Safeguards Integrated Policies and Procedures (SIPP). The IPPF and PF serve as guidance to the project implementing partners and project management units in the implementation of the proposed project to:

- f. Enable them to prepare an Indigenous Peoples Plan (IPP) for activities proposed consistent with WWF's Environment and Social Safeguard Integrated Policies and Procedures;
- g. Enable IPs/Tribal communities to benefit equally from the project;
- h. Engage affected IPs/tribal and local communities following principles and approaches of Free Prior Informed Consent (FPIC);
- i. Enable them to adopt participatory processes by which criteria for eligibility of affected persons will be determined, project components will be prepared and implemented with participation of the potentially affected persons; and
- j. Enable them to identify suitable measures to assist affected persons in their efforts to improve their livelihoods or restore them to livelihoods conditions before the project, while maintaining the sustainability of the landscapes.

Overall, the IPPF and PF identify the steps for detailed screening and assessment for the project's potential social and environmental risks, and for preparing and approving the required management plans for avoiding, and where avoidance is not possible, reducing, mitigating and managing these potential adverse impacts.

## 1.6 Methodology Adopted for Preparing IPPF and PF

The presence of IPs/Tribal communities in the project sites required a social assessment to generate the necessary baseline information on demographics, social, cultural, and political characteristics of affected IP communities as well as the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend. A social assessment process was carried out as part of preparation of the IPPF and Process Framework (PF) and was based on the following:

- Review of project documents, past studies and social assessments conducted in the project areas;
- Consultations with Tribal/Indigenous and local communities in the project landscape by PPG team between mid-July and late September 2019 and by Safeguard Consultant during January-February, 2020.
  - As part of project preparation nine consultations were organized in the core, buffer and periphery regions of Dudhwa, Katarniaghat, Kishanpur and Pilibhit<sup>2</sup> tiger reserves with indigenous “Tharu” community, Scheduled caste and Other Backward Caste communities. In Nameri<sup>3</sup>-Pakke-Eaglenest area, more than 12 community consultations were organized with Nishi, Bugun, and Shertukpen tribes among others. A standalone Community Consultation Report has been prepared as part of project preparation.
  - Three community consultation in Dudhwa and three in Pakke- Eaglenest area were organized by the safeguard consultant during January- February, 2020, as part of preparation of IPPF and PF to collect demographics, social, cultural, and political characteristics of affected IP communities as well as assess the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend. Similarly, consultation with government officials, including officials of District Forest Offices, National Parks, Tiger Reserves have also been conducted to validate and confirm the information collected from communities as well as for understanding impacts of the project on communities (the consultation report of each project landscape with details of consultations (dates, location and number of participants etc., issues and concerns raised) have been provided in Annex 1 and 2).
- Consultation with key project stakeholders, including officials of District Forest Offices, National Parks, Tiger Reserves and several other community stakeholders such as civil society organizations working for community development, agriculture and other line departments, EDC members were consulted in order to understand the impacts of the project on the communities, how the project engage with different stakeholders for implementation of the project while benefiting local communities and wild cat population simultaneously (see Annex 1 & 2) .

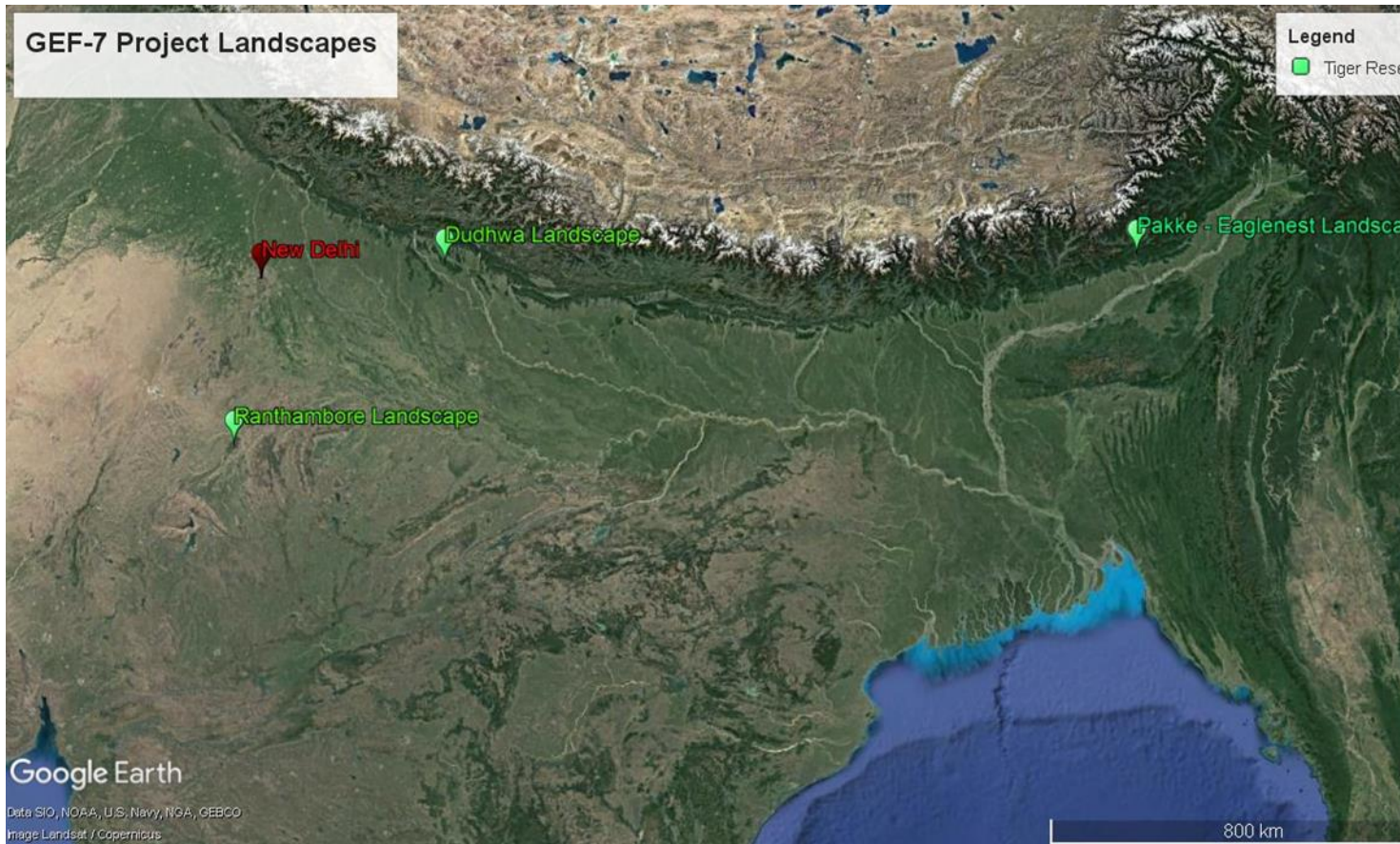
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<sup>2</sup> Pilibhit was covered and considered during the PPG consultations, but it lies outside the scope of the Dudhwa landscape for project implementation.

<sup>3</sup> Though covered during the PPG consultations, Nameri NP was dropped out of this project landscape during the PPG process and will not be included in full project implementation.

## 2 A Brief Description of the Project Landscapes

The WWF GEF funded components of the project (C2, C3) will focus on two landscapes in wild cat hotspots in northern and north-eastern India that each contain multiple species of small cats as well as tiger and leopard. These are critical sites for the maintenance of wild cat diversity in India. Each project landscape is built around a key PA for wild cat conservation and surrounding buffer zones that contain important habitats for small cats. Activities will be conducted within PAs, buffer zones (demarcated as up to 10km around each PA) and identified tiger corridors within these landscapes. The project landscapes are: Dudhwa landscape in Uttar Pradesh, and Pakke – Eaglenest landscape in Arunachal Pradesh. In addition, Ranthambhore landscape in Rajasthan is covered under the UNDP GEF funded components of the project for soft support (e.g. staff training) and as such is excluded from the scope of WWF/GEF intervention in project Components 2 and 3, and from this IPPF and PF. The map 2 below shows the locations of the three project landscapes



**Figure 2 Map showing the locations of the three project landscapes**

*Source: Project Document June 2020*

### 2.1 Dudhwa Landscape

The Dudhwa landscape is comprised of three protected areas-- Dudhwa National Park and Kishanpur Wildlife Sanctuary in Lakhimpur-Kheri district and Katerniaghat Wildlife Sanctuary in the adjacent Bahraich district, which together form the Dudhwa Tiger Reserve. The Tiger Reserve was established in 1975. The

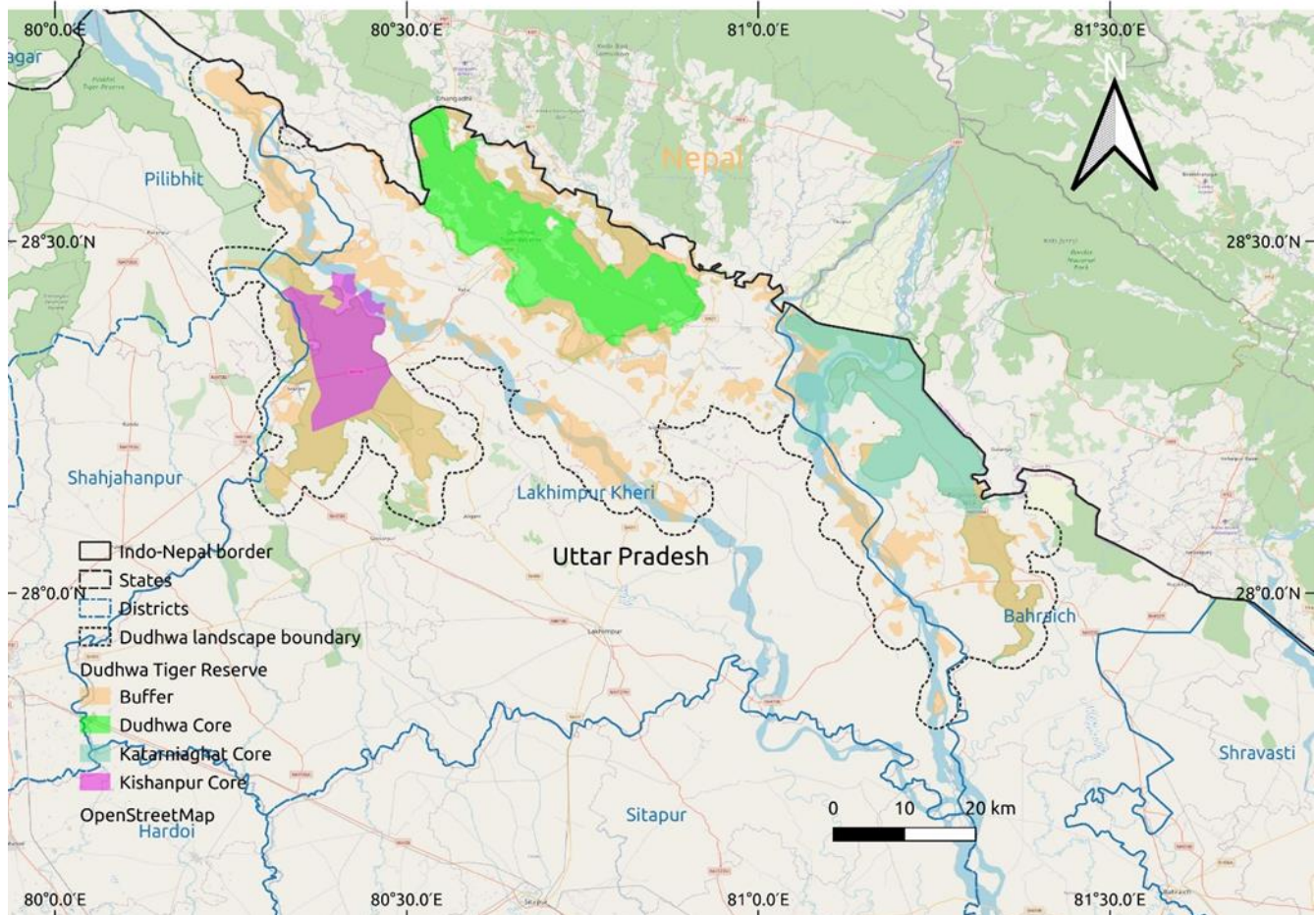


surrounding land is primarily agriculture with sugarcane and paddy being dominant crops. The landscape lies in Eastern Uttar Pradesh in Lakhimpur-Kheri and Bahraich districts. International boundary with Nepal forms the northern boundary of the landscape. The northern boundaries of Dudhwa NP (approx. 56 km) and Katarniaghat WS sanctuary (approx. 55 km) is also the international India-Nepal border. The Katarniaghat WS is a protected area in the Upper Gangetic plain in Uttar Pradesh and covers an area of 400.6 km<sup>2</sup> in the Terai of the Bahraich district. The Katarniaghat Forest provides strategic connectivity between tiger habitats of Dudhwa and Kishanpur in India and the Bardia National Park in Nepal.

The landscape comprises a complex ecosystem of wetlands, marshes, grasslands and forests and is maintained by periodic natural flooding since it falls within the catchment areas of the Ghagra, Saryu and Sharada Rivers. Apart from these, the other major rivers flowing through the landscape are the Suheli, Mohana, Ull, and Gerva, among others. Several lakes dot the landscape and include Bankey, Kakraha, Jhadi, SiBhandara, and Chapra, to name a few. The Katarniaghat WLS is particularly rich in water sources and the Girijapuri barrage is located here.

The region experiences three distinct seasons, cold winters (min 5°C) with ground frost and dewfall, very warm summers (max 44 °C) and monsoon months from July to August which receive 90% of the total annual rainfall of 2230 mm (Singh and Prasad 2015).

The landscape encompasses a mosaic of sal and teak forests, lush grasslands, numerous swamps and wetlands. Apart from the natural vegetation, classified as Northern moist and dry deciduous forests, swamp forests, savannah woodland, tropical semi-evergreen by Champion and Seth (1968) (as mentioned in Singh and Prasad 2015) there are several plantations, notably of teak (Singh and Prasad 2015). Three hundred and five plants, including fungi, bryophytes and algae have been listed as occurring in Dudhwa TR by Singh and Prasad (2015).



**Figure 3 Map of Dudhwa Landscape, Uttar Pradesh**

*Source: Project Document, June 2020*

The landscape is home to several large iconic mammals such as the Tiger, Indian Rhinoceros, Swamp Deer/Barasingha, Elephant and Gangetic Dolphin. The Hispid Hare and Bengal Florican which are listed as Endangered and Critically Endangered in the IUCN Red List (Birdlife International 2018, Aryal and Yadav 2019) also occur here. Singh and Prasad (2015) list 47 mammalian species belonging to 10 orders and 21 families. Besides, 449 species of birds and 34 reptiles, 10 amphibians, 79 species of fish and > 100 invertebrate species have been recorded in the landscape (Singh and Prasad 2015).

Most importantly, the landscape comprises lowland sal forest, grassland and wetland habitats, supporting a wide range of globally significant wildlife species including at least four species of small wild cats – fishing cat, jungle cat, leopard cat and rusty-spotted cat.

Joint Forest Management Committees (JFMCs) and Forest Protection Committees (FPCs) have been constituted following the Gol's JFM Resolution of 1990, and subsequent passage of supporting executive orders by the state government. Eco-Development Committees (EDCs) are created in the fringe/ buffer zones of Protected Areas (sanctuaries and national parks), and their primary purpose is to link livelihood gains for local populace with improved protection and conservation measures.

The project will focus its activities in the selected locations of Katharniyaghat Tiger Reserve and Dudwa National Park. Tharu tribes are indigenous to the landscape and inhabit several enclaves bordering the Indo-Nepal border. They practice agriculture, animal husbandry and depend on forest resources for their

livelihood. The largest aggregation of Scheduled tribes (mainly Tharu) are in Palia and Nighasan in Lakhimpur-Kheri district (17.8% and 2.5% of the population respectively) and in Mihinpurwa in Bahraich (2.8% of the population). All three population centers of tribal populations are adjacent to the Tiger Reserve. Overall, in Lakhimpur-Kheri district 26.4% of the total population belong to the Scheduled Castes and 1.33% to Scheduled Tribes. In Bahraich district 14.6% belong to the Scheduled Castes and 0.32% to Scheduled Tribes.

## 2.2 Pakke-Eaglenest Landscape

Located in the State of Arunachal Pradesh, the most striking feature of this landscape is the range of elevations it offers, from the lower elevations (150 m) of Pakke TR (area: 862 km<sup>2</sup>) to the high elevations (>3000 m) of Eaglenest WLS (area: 217 km<sup>2</sup>). This is perhaps the reason for the high biodiversity in general and specifically of small cats in the region. The elevational range provides a variety of habitats that the different cat species are adapted to, including the wetlands and open areas of Pakke TR for Jungle Cat and Fishing Cat, the dense rainforests of Pakke TR and Eaglenest WLS for Marbled Cat and Clouded Leopard and the high elevation areas of Eaglenest WLS for Golden Cat (Mukherjee *et al.* 2016c, Mukherjee *et al.* 2019). The Leopard Cat occurs throughout the landscape.

The Pakke Tiger Reserve and Eaglenest Wildlife Sanctuary are legally distinct units but together form a contiguous area known as Kameng Protected Area Complex (3500 km<sup>2</sup>). The Bhalukpong– Bomdila highway cuts through the landscape separating Eaglenest WLS and Sessa Orchid Sanctuary from Pakke TR. The Kameng protected area complex is situated in the districts of West Kameng and East Kameng in the western part of the State of Arunachal Pradesh, India. Eaglenest WLS is also contiguous with Sakteng WS across the border in Bhutan. It also embraces Singchung Bugun Village Community Reserve and Sessa Orchid Sanctuary<sup>4</sup> (under the Forest Research Institute), as well as Territorial Forest areas contiguous with Pakke TR.

The protected areas of Pakke TR (862 km<sup>2</sup>), and Eaglenest WLS (217 km<sup>2</sup>) cover a large altitudinal gradient from the foothills in Pakke to about 3000 m in the Eaglenest sanctuary, thus encompassing a large fraction of the biodiversity of this exceptionally biodiverse part of the Himalayas. It harbors six small cat species, Jungle Cat, Fishing Cat, Leopard Cat, Marbled Cat, Golden Cat and Clouded Leopard along with the Tiger and Leopard (Landscape Profile, 2019).

The major forest types in the Pakke-Eaglenest landscape according to Champion and Seth (1968) are Upper Assam Valley Tropical Evergreen, Eastern Sub-montane Semi Evergreen, Broadleaved Temperate, East Himalayan Moist Temperate and East Himalayan Dry Temperate Coniferous, with small areas of sub-alpine Birch/Fir and Dry Birch in the upper elevations. In Eaglenest there are large patches of bamboo species above elevations of 1800 m (Landscape Profile, 2019).

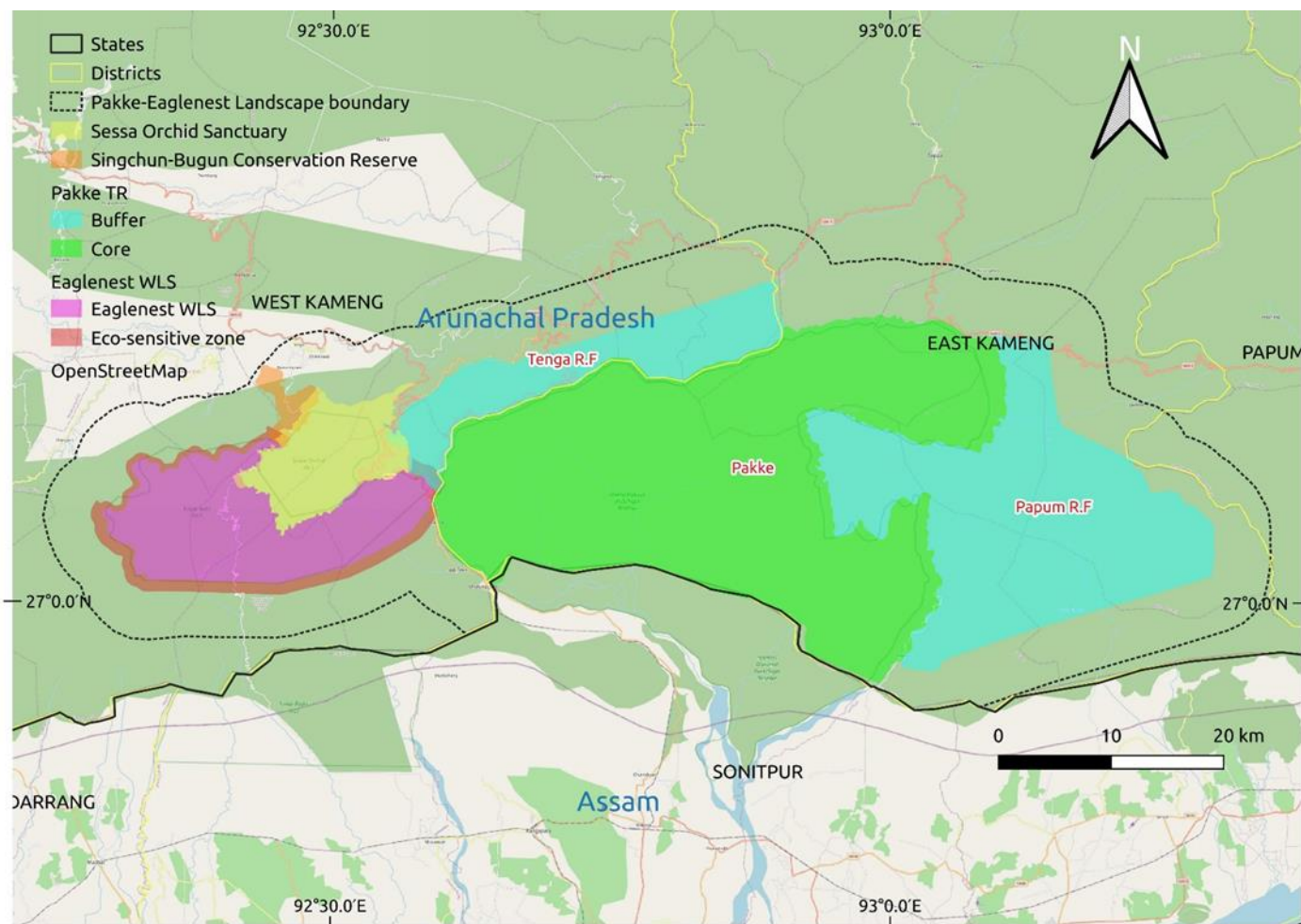
The average rainfall in Pakke is 2500 mm (Tapi 2015). In the Eaglenest region it exceeds 3000 mm in WLS which lies in the southern aspect while the Singchung Bugun Village Community Reserve on the Northern drier aspect receives less than 1500 mm of rain (Choudhury 2003). The higher elevations in Eaglenest WLS and Singchung Bugun Village Community Reserve experience snowfall in winter with temperatures dipping to minus 3° C.

The spectacularly rich biodiversity of this landscape is best documented in birds with around 700 species reported here, the second highest globally (Velho 2013). A camera trapping study for cats recorded 27 mammal species of which 13 belonged to Order Carnivora, including four felids (Leopard Cat, Golden Cat,

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<sup>4</sup> The Bugun tribe around Eaglenest sanctuary have declared a 17 km<sup>2</sup> area of community forests as a voluntary conservation reserve. This area harbors the newly discovered bird species *Bugun Liochicla*, and so far, known only from this locality.

Marbled Cat and Clouded Leopard) (Mukherjee *et al.* 2016c). Apart from these, 250 species of butterflies, 400 species of moths (with an equal number predicted to be identified), 32 species of snakes, 35 species of frogs with several discoveries new to science and several rediscoveries after decades (<https://eaglenestmemoryproject.in/> accessed on 28<sup>th</sup> October 2019).



**Figure 4 Map Pakke-Eaglenest Landscape, Arunachal Pradesh**

Source: Project Document, June 2020

Declared in 2002 under Project Tiger scheme of Government of India, Pakke Tiger Reserve evolved from Camo Sanctuary, created in 1977 and then Pakhui Wildlife Sanctuary created in 2001. Pakke Tiger Reserve is governed by the Field Director (of the rank of Chief Conservator of Forest). Seijosa town in East Kameng is the headquarters of the field director. Seppa town is the headquarter of the East Kameng district, the District Commissioner and headquarters of other line agencies are based there. Nyishi is the major tribal group living around this reserve. The Nyishi tribe uses fiber glass replicas of hornbills beaks as their head gear and has fines for hunting of tigers, among other regulations.

Eaglenest Wildlife Sanctuary (West Kameng) is headed by Divisional Forest Office, Shergaon Forest Division, the headquarters are in Rupa. The district headquarter is located in Bomdila town. The District Commissioner and headquarters of other line departments are also located there.

The Monpas, Sherdukpens , and Bugun are the key tribe groups who have been inhabited around the

Eaglenest WLS for many generations and play a vital role in the conservation of this sanctuary. The area around the Pakke Tiger Reserve is mainly inhabited by the Nyishi Tribe. Besides these tribes, substantial number of Nepali speaking people are also inhabiting in these areas who form the third largest linguistic/ethnic group in West Kameng and the second largest in East Kameng district.

Most of the landscape is rugged and forested. No large industry is present in the landscape. However, it was reported that a new 90 W hydro-electric project has been proposed near the northern boundary of Pakke Tiger Reserve, 200 m below the Pau and Pasa Rivers. The water is proposed to be diverted through an underground channel and released in the Kameng River upstream.

Agriculture is the main land-use around settlements. Traditionally shifting agriculture has been practiced for subsistence. In recent years cultivation of tomato and cabbages in particular around the Eaglenest Sanctuary has started, which are grown as cash crops. Agriculture is mainly done by manual labor. Cattle are raised for agriculture or food. Ecotourism has a large potential but so far has remained under-developed.

Until a few years ago, timber harvest was also permitted for commercial purposes according to quotas fixed by the government. Much of the forests are "Unclassified", i.e. they are not Reserved Forests, National Parks or Sanctuaries. With increasing demand for timber from the rest of the country, deforestation had started at a rapid pace. Taking cognizance of the serious environmental crisis in the state, the Hon. Supreme Court of India passed a judgement to completely halt all commercial timber extraction. This ban continues to be in force and has brought a new lease on life to the forests.

Dependence of tribal/indigenous communities on forests is high, both by tradition and necessity. The tribes also claim that they are the dominant forest land holders customarily. Tribal communities maintain traditional use rights of NTFP collection. Timber extraction is allowed for domestic, non-commercial use to the local communities outside the protected areas. In recent years, several government initiatives have also promoted cultivation and sustainable harvest of medicinal and aromatic plants. Several wild plants and mushrooms are an important part of the local food. These are collected for consumption as well as for sale in local markets.

No villages exist inside the core areas of Pakke Tiger Reserve and Eaglenest Wildlife Sanctuary. Human wildlife conflict (HWC) is rampant in the areas. Conflict in the form of crop damage by wild elephants is a serious problem around both Pakke TR and Eaglenest WLS. Locals also reported that their livestock are frequently killed by tigers and other wildlife in Pakke area. According to the local people, Tiger and Leopard are absent or occur in very low numbers in Eaglenest WLS or surrounding areas thus livestock depredation is not a serious concern here.

## 3 Legal and Policy Framework

The Ministry Forests and Climate Change (MoEFCC) as Executing Agency (EA) of the project is responsible to comply with policies, guidelines, and legislations of the Government of India in addition to WWF's Environmental and Social Safeguards Integrated Policies and Procedures (SIPP). This chapter provides an overview of applicable legislative and policy measures of Government of India as well as Safeguards Integrated Policies and Procedures (SIPP) of WWF.

### 3.1 Government of India Legislative and Policy Requirement

Several constitutional and legislative measures have been put in place to protect the environment and safeguard Scheduled Tribes, their cultural and social elements including the land rights and other rights. Following are the key constitutional and legislative measures in favor of the welfare of Scheduled Tribes:

#### 3.1.1 Constitutional Measures

Several provisions have been incorporated in the Constitution for safeguarding and promoting the interests and rights of the Scheduled Tribes in various spheres so as to enable them to join the national mainstream. Part X of the Constitution contains special provisions relating to administration of Scheduled Areas and tribal areas. Sub-paragraph 2 of Paragraph 5 of Part B of Schedule-V, under Article 244 (1) of the Constitution provide safeguards against displacement of tribal population because of land acquisitions etc. The Governor of the State, having scheduled areas, is empowered to prohibit or restrict transfer of land from tribal and regulate the allotment of land to members of the Scheduled Tribes in such cases; regulate the carrying on of business as money-lender by persons who lend money to members of the Scheduled Tribes in such areas. In making any such regulation, the Governor may repeal or amend any Act of Parliament or of the Legislature of the State or any existing law which is for the time being applicable to the area in question.

The Panchayats (extension to the Scheduled Areas) Act, 1996 provides for the extension of part IX of the Constitution relating to Panchayat to the Scheduled areas. The Act, inter-alia, requires that the Gram Sabha or Panchayats at the appropriate shall be consulted before making the acquisition of land in the scheduled areas for development projects and before resettling or rehabilitating persons affected by such projects in scheduled areas.

The constitution has provisions to prohibit any forms of discrimination. As per this constitutional provision, the States shall not discriminate against any citizen on grounds only of religion, race, caste, sex, place of birth or any of them. Other provisions are:

- a. No citizen shall, on grounds only of religion, race, caste, sex, place of birth or any of them, be subject to any disability, liability, restriction or condition with regard to (a.) access to shops, public restaurants, hotels and places of public entertainment; or (b.) the use of wells, tanks, bathing Ghats, roads and places of public resort maintained wholly or partly out of State funds or dedicated to the use of general public.
- b. Nothing (clause (2) of article 29) shall prevent the State from making any special provision for the advancement of any socially and educationally backward classes of citizens or for the Scheduled Castes and the Scheduled Tribes.
- c. Nothing (sub-clause (g) of clause (1) of article 19) shall prevent the State from making any special provision, by law, for the advancement of any socially and educationally backward classes of citizens or for the Scheduled Castes or the Scheduled Tribes in so far as such special provisions relate to their admission to educational institutions including private educational institutions,

whether aided or unaided by the State, other than the minority educational institutions referred to in clause (1) of article 30.

### **3.1.2 Legislative Measures**

*Forest Rights Act (FRA), 2006. The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006* (also known as FRA (Forest Right Act) grants legal recognition to the rights of traditional forest dwelling communities and makes a beginning towards giving communities and the public a role in forest and wildlife conservation. The Act secures the individual or community tenure or both and gives forest rights of forest dwelling Scheduled Tribes and other traditional forest dwellers on all forest lands, namely:- (a) right to hold and live in the forest land under the individual or common occupation for habitation or for self-cultivation for livelihood by a member or members of a forest dwelling Scheduled Tribe or other traditional forest dwellers; (b) community rights over forest; (c) right of ownership, access to collect, use, and dispose of minor forest produce which has been traditionally collected within or outside village boundaries. In addition, FRA provides for restitution of traditional forest rights to forest dwellers across India, including individual rights to cultivated land in forested landscapes and collective rights to control, manage and use forests and its resources as common property. It also stipulates the conditions for relocation of forest dwellers from 'critical wildlife habitations' with their 'free informed consent' and their rehabilitation in alternative land (section 4.2(e)).

The salient provisions related to community rights, listed in Chapter 2 of the Act, cover the following rights over all forest lands that forest-dwelling scheduled tribes (ST) and other traditional forest dwellers are entitled to:

- Sub-Section 1 (b) of Section 3: It covers community rights such as usufruct (nistar), or by whatever name it is called, including those used in erstwhile princely states, zamindari or such intermediary regimes. It confers the right of ownership and access to collect, use and dispose of minor forest produces (MFPs) traditionally collected within or outside the village boundary.
- Section 2 (i): It defines MFPs to include all non-timber forest produce of plant origin, including bamboo, brushwood, stumps, cane, tussar, cocoons, honey, wax, lac, tendu or kendu leaves, medicinal plants and herbs, roots, tubers and the like.
- Sub-Section 1 (c) of Section 3, further clarified under Rule 2 (d): It covers local-level processing, value addition and transportation of MFPs in forest areas by head-loads, bicycle and handcarts for use or sale by the gatherer or community for their livelihood. The use of motor vehicles is regulated by existing transit rules.
- Sub-Section 1 (d) of Section 3: It covers other community rights for use or entitlements, such as fish and other products of water bodies, grazing (both settled and transhuman) and access to traditional seasonal resources by nomadic or pastoral communities.
- Sub-Section 1 (e) of Section 3: It covers rights of primitive tribal groups (PTGs) and pre-agricultural communities to community tenures for habitat and habitation;
- Sub-Section 1 (f) of Section 3: It covers rights in or over disputed lands under any nomenclature in any state where claims are disputed;
- Sub-Section 1 (g) of Section 3: It covers rights to convert pattas, leases or grants of forest lands issued by a local authority or state government into titles;
- Sub-Section 1 (i) of Section 3: It covers the right to protect, regenerate, conserve or manage any community forest resource that forest dwellers have been traditionally protecting and conserving for sustainable use;

- Sub-Section 1 (k) of Section 3: It covers the right of access to biodiversity and community rights to intellectual property and traditional knowledge related to biodiversity and cultural diversity;
- Sub-Section 1 (l) of Section 3: It covers any other traditional rights customarily enjoyed by STs or other traditional forest dwellers that are not mentioned in the earlier clauses, excluding the traditional right to hunt, trap or extract a part of the body of any species of wild animal.
- Section 4(5) of FRA, 2006 ensure that no member of a forest dwelling Scheduled Tribe or Other Traditional Forest Dweller shall be evicted or removed from forest land under his occupation till the recognition and verification procedure is complete.
- In-situ rehabilitation, including alternative land in cases where the Scheduled Tribes and other traditional forest dwellers have been illegally evicted or displaced from forest land of any description without receiving their legal entitlement or rehabilitation prior to the 13th of December 2005.

However, the Government of India reserves the right to modify forest rights and resettle forest dwellers to create inviolate areas for wildlife conservation in critical wildlife habitats (national parks and sanctuaries) subject to the following conditions as per section 4.2:

- The process of recognising and vesting rights of forest dwellers in the areas under consideration is completed in accordance with the specifications in section 6.
- The concerned agencies of the state government establish, in exercise of their powers under the Wild Life (Protection) Act, 1972, that the activities or presence of the forest dwellers can cause irreversible damage and threaten the existence of the animal species and their habitat.
- The state government concludes that other reasonable options, such as co-existence are not available.
- A resettlement or alternative package to provide a secure livelihood for the affected individuals and communities that fulfils their requirements under the relevant laws and policies has been prepared and communicated.
- The free and informed consent of the Gram Sabhas in the area for the proposed resettlement package has been obtained in writing. No resettlement can take place until facilities and land allocation at the resettlement location are complete as per the promised package (section 4.2(e)).
- The critical wildlife habitats from which the rights holders are being relocated are not subsequently diverted by the state or central government or any other entity for other uses.

The proposed project is not expected to take any such measure that may affect the basic interest of the forest dwellers, contrary to the prescription of the Act. Rather, the implementation of the project will create scope for the forest dwellers, who have been allotted rights over the forest land for agriculture. They may take up climate and wildlife resilient agricultural practices in their fields to cope with the climate variability and damage of crops by wildlife for improved livelihoods security. The project suggested measures are supportive to the act and can add value to the current initiatives in terms of improving livelihood and food security of the forest dwellers

*Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (RFCTLARR) Act, 2013.* This act supersedes all other old acts for land acquisition and determining R&R activities throughout the country. The act shall apply, when the Government acquires land for its own use, hold and control, including for Public Sector Undertakings and for public purpose. In order to ensure fair compensation and timely and proper rehabilitation of displaced tribal people across the country, adequate provisions have been made. The act defines the Scheduled Tribes and other traditional forest dwellers who have lost any of their forest rights recognized under the Scheduled Tribes and Other



Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 due to acquisition of land and other forest dependent family whose primary source of livelihood for three years prior to the acquisition of the land is dependent on forests or water bodies and includes gatherers of forest produce, hunters, fisher folk and boatmen, and such livelihood is affected due to acquisition of land for the purpose of fair compensation of the lost livelihoods. The Act also provides an institutional mechanism for conducting social impact studies and conducting consultations with all affected peoples and parties.

As per section 41 of the Act, as far as possible, no land is to be acquired in the Scheduled Area<sup>5</sup>. In case acquisition or alienation of any land in the Scheduled Areas, prior consent of Gram Sabha or the Panchayats or the Autonomous District Councils, as the case may be, is required to be obtained along with the carrying out Social Impact Assessment (SIA) study. The Act also lays down procedure and manner of rehabilitation and resettlement (R&R) wherein R&R is an integral part of the land acquisition plan itself. Chapter-V and VI of the said Act contain detailed provisions of R&R awards and their implementation. As per the provisions of Section 48 of the RFCTLARR Act, 2013, a national Monitoring Committee is to be set up for reviewing and monitoring the implementation of Rehabilitation and Resettlement Schemes, looking into issues related to displacement of people, payment of compensation, rehabilitation and resettlement, and the status of land acquisition.

*Panchayat Extension to Scheduled Areas (PESA) Act (1996).* The Government of India enacted the Panchayats Extension to Scheduled Areas Act (PESA) on the recommendations of the Bhuria Committee to ensure that traditional governance systems in scheduled areas were conserved. PESA conferred significant powers on the Gram Sabhas, specifically mentioning that these local governance bodies should have the control over natural resources within their jurisdiction. Under section 4(d) of PESA: "every Gram Sabha shall be competent to safeguard and preserve the traditions and customs of the people, their cultural identity, community resources and the customary mode of dispute resolution."

The PESA recognized traditional rights of tribal peoples to community resources (land, water and forests) and decentralized existing approaches to forest governance by bringing the Gram Sabha at the centerstage for managing Minor Forest Products (MFPs) and social forestry. Some of its key provisions spell out the extent to which the Gram Sabha can exercise control over community resources and MFPs.

In line with PESA, ARUNACHAL PRADESH PANCHAYATI RAJ ACT, 1997 has been passed by Arunachal Pradesh Government. A three-tier Panchayati Raj system has been introduced in the state under the Arunachal Pradesh Panchayati Raj Act 1997 that came into effect from 14th November, 2001. The State Election Commission has been constituted with powers to conduct elections, delimitation of constituencies and preparation of electoral rolls of the Panchayat segments. The Arunachal Pradesh Panchayati Raj Act 1997 mandated provisions for establishment of Gram Sabha/Gram Panchayat, Anchal Samiti and Zilla Parishad. The Act also envisages the provision for Gram Sabha in each Gram Panchayat area. The Act defines that Gram Sabha is a body consisting of persons registered in the electoral rolls relating to a village comprised within the area of Gram Sabha. Generally, the Gram Sabha exercises the following functions<sup>6</sup>:

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<sup>5</sup>As per the Fifth Schedule, Article 244(1) of the constitution of India, "Scheduled Areas" are those tribal inhabited areas which are located in other parts of the country than the North-East India. These areas are located in the states of Andhra Pradesh, Bihar, Chhattisgarh, Gujarat, Himachal Pradesh, Madhya Pradesh, Jharkhand, Maharashtra, Orissa and Rajasthan. Besides these areas, some other regions of the country also are governed by the special provisions.

The Constitution of India provides for uniform rule over the whole country but certain regions of the country are governed by special provisions. These regions include the tribal hills of the North Eastern States, i.e., Assam, Arunachal Pradesh, Manipur, Nagaland, Mizoram, Meghalaya and Tripura, the state of Jammu and Kashmir and the regions known as the "Tribal Areas". The Sixth Schedule articles 244(2) and 275(1) of the constitution provides special provisions for the administration of the tribal areas in Assam, Meghalaya, Tripura and Mizoram.

<sup>6</sup> The Arunachal Pradesh Panchayat Raj Manual, 2002, p.3.

- To help the implementation of developmental schemes pertaining to the village.
- To help in identification of beneficiaries for the implementation of developmental schemes in the villages.
- Such other matters as may be prescribed from time to time.

Similarly, Rajasthan Panchayati Raj Act 1994 has been enacted in line with PESA. The Act pertains to the details regarding constitution, powers, duties and functions of Ward Sabha, Gram Sabha, Panchayat Samiti and Zilla Parishad.

Uttar Pradesh did not enact a new Panchayat Raj legislation in conformity with the 73rd Constitution Amendment. It amended the two existing Acts namely the United Provinces Panchayat Raj Act, 1947 and the Uttar Pradesh Kshetra Panchayat and Zilla Panchayat Adhiniyam 1961, incorporating provisions to conform to the 73rd Constitutional Amendment. The amended acts came into force on 22nd April, 1994, based on the amendments State Finance Commission and State Election Commission were established in the state also were ensured that the panchayats have fixed terms in office, reservation for SC/ST, OBC and women, devolution of further authority and responsibility to the Panchayats.

*Wildlife Protection Act, 1972.* The Wildlife Protection Act, 1972 is the major legislation which specifically enacted for the protection of the wildlife in India. The Act provides for both species-specific and spatial conservation strategies. The Wildlife Protection Act, 1972 empowers the central and state governments to declare any area a wildlife sanctuary, national park or closed area. Specifically, Chapter IV of the Act provides details of the declaration of sanctuaries, national parks, and closed areas. It has specific provisions to prohibit hunting of wild animals except with permission of authorized officer when an animal has become dangerous to human life or property or as disabled or diseased as to be beyond recovery; to regulate protect specified plants, sanctuaries, national parks, and closed areas; restrict trade or commerce in wild animals or animal articles; and miscellaneous matters.

*Forest (Conservation) Act, 1980 and Forest Conservation Rules, 2003.* The Forest Conservation Act, 1980 prevents the conversion of forest land for other purposes except through the permission of the Central Government. Section 2 of the Act deals with a restriction on the de-reservation of forests or the use of forest-land for non-forest purposes. It provides that anything contained in any other law for the time being in force in a state, no state government or any other authority shall make, except with prior approval of the central government, any order directing-

- (a) That any reserved forest declared under any law for the time being in force in that state or any portion, shall cease to be reserved.
- (b) That any forest land or any portion thereof may be used for any non-forest purpose.
- (c) That any forest land or any portion may be cleared of trees which have grown naturally in that land or portion, for the purpose of using it for re-forestation.

The term 'non-forest purposes' implies the breaking up or cleaning of any forest-land or portion of forest land for-

- (a) The cultivation of tea, coffee, spices, rubber, palms, oil-bearing, plants, or medicinal plants,
- (b) Any purposes other than re-forestation,

But does not include any work related to conservation, development, and management of forests and wildlife.

Forest Conservation Rules, 2003 was enacted in exercise of the powers conferred by sub-section (i) of section 4 of the Forest (Conservation) Act, 1980 (69 of 1980), the Central Government hereby makes the Rules to implement provisions of that Act relating to the composition of the Committee constituted under

section 3 of the Act. Section 4 defines terms of appointment of non-official members and section 5 provides for the conduct of business of the Committee. Proposals for the use of forest land for non-forest purpose shall be submitted to central government under section 2 of the Act for prior approval.

*The Biological Diversity Act, 2002.* The act contains provisions that aim at preserving biodiversity as well as establishing a system for equitable sharing of benefits arising from the use of traditional biological resources and knowledge. Biodiversity Heritage Sites may be declared under this Act (Section 37) and Biodiversity Management Committees shall be constituted not only for biodiversity conservation but also for documentation and chronicling of biodiversity related knowledge. With respect to climate change, this would refer to knowledge on land races, cultivars, etc., that can be used under different climate regimes.

*Tribal Development and Tribal Sub-Plan (TSP) Approach.* The tribal situation varies by states where some areas have high tribal concentration while in other areas, the tribals form only a small portion of the total population. The Constitution of India provides a comprehensive framework for the socio-economic development of Scheduled Tribes and for preventing their exploitation by other groups of the society. A detailed and comprehensive review of the tribal problems was taken on the eve of the Fifth Five Year Plan and the Tribal Sub-Plan strategy took note of the fact that an integrated approach to the tribal problems was necessary in terms of their geographic and demographic concentration.

The tribal areas in the country were classified under three broad categories, i.e., (1) category 1: States and Union Territories having a majority Scheduled Tribes population, (2) Category 2: States and Union Territories having substantial tribal population but majority tribal population in particular administrative units, such as block and tehsils, and (3) Category 3: States and Union Territories having dispersed tribal population.

In the light of the above approach, for the second category of States and Union Territories, tribal sub-Plan approach was adopted after delineating areas of tribal concentration. To look after the tribal population coming within the new Tribal Sub-Plan (TSP) strategy, in a coordinated manner, Integrated Tribal Development Projects were conceived during the Fifth Five Year Plan. During the Sixth Plan, Modified Area Development Approach (MADA) was adopted to cover smaller areas of tribal concentration and during the Seventh Plan, the TSP strategy was extended further to cover even more smaller areas of tribal concentration and thus cluster of tribal concentration was identified. At the time of the delineation of project areas under the TSP strategy, it was observed that the ITDPs/ITDAs are not co-terminus.

At present, Scheduled Areas have been declared in the States of Andhra Pradesh (including Telangana), Chhattisgarh, Gujarat, Himachal Pradesh, Jharkhand, Madhya Pradesh, Maharashtra, Odisha, and Rajasthan. As per the provisions contained in the Fifth Schedule of the Constitution, various enactment in the forms of Acts and Regulations have been promulgated in the states for the welfare of scheduled tribes and their protection from exploitation.

The TSP strategy is having twin objectives, i.e., Socio-economic development of Schedule Tribes and protection of tribal against exploitation, the Government of India in August, 1976 had decided to make the boundaries of Scheduled Areas co-terminus with TSP areas (ITDP/ITDA only) so that the protective measure available to Scheduled Tribes in Scheduled Areas could be uniformly applied to TSP areas for effective implementation of the development programs in these areas. Accordingly, the TSP areas have been made co-terminus with Scheduled Areas in the State.

*The SCs and the STs (Prevention of Atrocities) Act, 1989.* The act was passed in 1989 to protect Scheduled Castes and Scheduled Tribes from atrocities. The act suggests Precautionary and Preventive

Measures, under which State Government shall identify the area where it has reason to believe that an atrocity may take place or there is an apprehension of reoccurrence of an offence under the Act: The state shall order the concerned officer to visit the identified area and review the law and order situation. If deemed necessary, in the identified area cancel the arms licenses of the persons, not being a member of the Scheduled Castes or Scheduled Tribes, their near relations, servants or employees and family friends and get such arms deposited in the Government Armory.

As per the provision of the act, the State Government shall set up a Scheduled Castes and the Scheduled Tribes Protection Cell at the State head quarter under the charge of Director General of Police/Inspector General of Police. This Cell shall be responsible for (i) conducting survey of the identified area; (ii) maintaining public order and tranquillity in the identified area; (iii) recommending to the State Government deployment of special police force or establishment of special police post in the identified area; (iv) making investigations about the probable causes leading to an offence under the Act; (v) restoring the feeling of security amongst the members of the Scheduled Castes and the Scheduled Tribes; (vi) informing the nodal officer and special officer about the law and order situation in the identified area; (vii) making enquiries about the investigation and spot inspections conducted by various officers; (viii) making enquiries about the

action taken by the Superintendent of Police in the cases where an officer in-charge of the police station has refused to enter an information in a book to be maintained by that police station; (ix) making enquiries about the wilful negligence by a public servant.

### **3.1.3 Requirements of FPIC from Indigenous/ Tribal Peoples**

FPIC (Free, Prior and Informed Consent) has emerged as a widely accepted right of indigenous/tribal peoples which recognizes their collective rights to lands and territories they traditionally owned or used. The process of FPIC empowers Indigenous/Tribal Peoples to give or withhold their consent for any project that may affect the lands, territories and resources that they customarily own, occupy or otherwise use. FPIC is an exercise of collective right by indigenous peoples to make decisions through their own freely chosen representatives or other institutions.

*Forest Rights Act (FRA), 2006. The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006* (also known as FRA (Forest Right Act) stipulates the conditions for relocation of forest dwellers from 'critical wildlife habitations' with their 'free informed consent' and their rehabilitation in alternative land (section 4.2 (d)&(e) as follows.

- A resettlement or alternative package to provide a secure livelihood for the affected individuals and communities that fulfils their requirements under the relevant laws and policies has been prepared and communicated (section 4.2(d).
- The free and informed consent of the Gram Sabhas in the area for the proposed resettlement package has been obtained in writing. No resettlement can take place until facilities and land allocation at the resettlement location are complete as per the promised package (section 4.2(e).

*Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (RFCTLARR) Act, 2013* defines the Scheduled Tribes and other traditional forest dwellers who have lost any of their forest rights recognized under the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 due to acquisition of land and other forest dependent family whose primary source of livelihood for three years prior to the acquisition of the land is dependent on forests or water bodies and includes gatherers of forest produce, hunters, fisher folk and boatmen, and

such livelihood is affected due to acquisition of land for the purpose of fair compensation of the lost livelihoods.

The section 41 of the Act mentioned that as far as possible, no land is to be acquired in the Scheduled Area. In case acquisition or alienation of any land in the Scheduled Areas, prior consent of Gram Sabha or the Panchayats or the Autonomous District Councils, as the case may be, is required to be obtained along with the carrying out Social Impact Assessment (SIA) study. The Act also lays down procedure and manner of rehabilitation and resettlement (R&R) wherein R&R is an integral part of the land acquisition plan itself.

### **3.2 Requirements of WWF's E&S Safeguards Integrated Policies and Procedures (SIPP)**

The proposed project is a Category "B" as per **WWF Policy on Environment and Social Risk Management** given that it is essentially a conservation initiative, expected to generate significant positive and durable social, economic and environmental benefits. Any adverse environmental and social impacts due to the project are minor and site specific and can be mitigated.

The project triggered the following safeguards policies as per the WWF's Environment and Social Safeguards Integrated Policies and Procedures (SIPP) and need to fulfill following requirements:

**Policy on Natural Habitat** – is triggered as the proposed project directly targets protecting, managing and restoring globally significant species and habitats in Dudhwa and Pakke – Eaglenest landscapes in Uttar Pradesh and Arunachal Pradesh States; strengthening local communities' ability to conserve the natural resources they depend on. Management of these habitats will involve removal of invasive alien species and use of native species (only) for rehabilitation.

**Policy on Involuntary Resettlement** – While the proposed project is not expected to cause displacement of people, the project may restrict access to natural resources such as collection of fodder, roofing and fencing materials, firewood and other forest products; and also grazing of livestock will be impacted given the project activities include grassland and forest management and rehabilitation. Therefore, WWF's Policy on Involuntary Resettlement will apply and a Process Framework (PF) is prepared as part of project preparation.

**Policy on Indigenous People** – There are some Indigenous People/Tribal communities residing in the areas where the project will execute its activities. In Arunachal Pradesh and Uttar Pradesh States the project will aim to work with communities in the areas buffering national parks and tiger corridors (Katarniaghat Tiger Reserve and Dudhwa National Park in Uttar Pradesh and Pakke Tiger Reserve and Eaglenest Wildlife Sanctuary in Arunachal Pradesh). The majority of the Indigenous People in the project landscapes include the Monpas, Sherdukpens, Buguns and Nyishi in Arunachal Pradesh and the Tharu in Uttar Pradesh. The project will determine the exact demonstration sites during the project execution, therefore an Indigenous Peoples Planning Framework or Tribal people planning framework including FPIC guidelines to obtain consent from IPs/tribal communities has been prepared.

**Policy on Pest Management** – The activities are not expected to trigger the policy on Pest Management, as any agricultural extension activities targeting settlements in the project demonstration landscapes will not include promoting the use of pesticides – in fact, it will promote the reduction in use of agrochemicals in order to benefit the prey base for small wild cats.

Thus, assessment of Gol's constitutional and regulatory provisions related to indigenous peoples/tribal communities indicates that existing policies and legislative measures are adequate and compatible with

WWF safeguard policies for safeguarding and protecting the indigenous peoples and tribal communities from project-related adverse impacts and planning for impact mitigation. The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 (also known as FRA (Forest Right Act) secures the individual or community tenure or both and gives forest rights of forest dwelling Scheduled Tribes and other traditional forest dwellers on all forest lands. Similarly, Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (RFCTLARR) Act, 2013 ensures fair compensation and timely and proper rehabilitation of the project affected tribal people across the country. The Act also provides an institutional mechanism for conducting social impact studies and conducting consultations with all affected peoples and parties. These acts have provisions and defined conditions to obtain FPIC from affected indigenous peoples and lays down procedure and manner of rehabilitation and resettlement (R&R). These provisions and procedures are more or less equivalent with the WWF's SIPP, which places greater emphasis on assessment of differential impacts and vulnerability, conducting meaningful consultation, obtaining consent of Indigenous People, and formulation of culturally appropriate responses

## 4 Brief Ethnographic Overview of IPs/Tribal Communities in the Project Landscapes

### 4.1 An Overview of Scheduled Tribes in India and Project States

The tribal communities in India are enormously diverse and heterogeneous. There are wide ranging diversities among them in respect to languages spoken, size of population and mode of livelihood. There are 705 tribes or ethnic groups notified as Scheduled Tribes (STs) under article 342 of the Constitution of India, spreading across 30 States or Union Territories of the country. These are considered to be India's indigenous peoples<sup>7</sup>.

**The Scheduled Tribes:** The constitution of India, Article 366(25) defines Scheduled Tribes (STs) as “such Tribes or tribal communities or part of groups within such tribes or tribal communities as are deemed under Article 342 to be the scheduled tribes (STs) for the purposes of this constitution”. In Article 342, the procedure to be followed for specification of a scheduled tribe is prescribed. However, it does not contain the criterion for the specification of any community as scheduled tribe. An often-used criterion is based on attributes such as:

1. Geographical isolation – they live in cloistered, exclusive, remote and inhospitable areas such as hills and forests.
2. Backwardness – their livelihood is based on primitive agriculture, a low-value closed economy with low levels of literacy and health.
3. Distinctive culture, language and religion – communities have developed their own distinctive culture, language and religion.
4. Shyness of contacts – they have a marginal degree of contact with other cultures and people.

The scheduled tribe groups who were identified as more backward communities among the tribal the groups have been categorized as ‘Primitive Tribal Groups’ (PTGs) by the government in 1975. There are 75 Primitive Tribal Groups (PTGs) [currently they are known as PVTG – Particularly Vulnerable Tribal Groups] who are characterized by (a) a pre-agriculture level of technology, (b) a stagnant or declining population (c) extremely low literacy and (d) a subsistence level of economy.

**Population:** As per 2011 census, with a population of 104.5 million, they comprise 8.6% of the total population of India – almost 90% of them living in rural areas. The largest concentrations of Scheduled Tribes (STs) are found in the seven northeastern states (comprises the contiguous states of Arunachal Pradesh, Assam, Meghalaya, Manipur, Mizoram, Nagaland, and Tripura) of India, and the so-called “central tribal belt” stretching from Rajasthan to West Bengal, where the STs are usually referred to as Adivasis, which literally means indigenous peoples. The total male ST population according to the 2011 census is 52,409,823 of which 47,126,341 are residing in rural areas and 2,83,482 are in urban areas. The total female ST population is 51, 871, 211 with 46,692,821 in rural areas and 78,390 in urban areas. The sex ratio among the Scheduled Tribes is 991 females to every 1000 males in rural areas and 980 females to every 1000 males in urban areas, the average being 990 which is higher than national average of 943. (Statistical Profile of STs, 2013). The table 4.1 provides the distribution of ST population in the project states compared with total population of India and project states.

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<sup>7</sup> For the purpose of this report, the terms ‘Scheduled Tribes (STs)’, ‘Tribal’ ‘Tribes’ and ‘Adivasi’ have been interchangeably used to refer to ‘Indigenous Peoples. However, according to the Joint Stakeholders’ Submission on the Situation of the Rights of Indigenous Peoples in India (2017) there are many more ethnic groups in India that would qualify for ‘Scheduled Tribe’ status but which are not officially recognized.

Table 4.1 State Wise Overall Population, ST Population, Percentage of STs in India / Project State to Total Population of India / Project State and Percentage of STs in the Project State to Total ST Population

SN	India/Project State	Total Pop.	ST Pop.	% STs in India/ project State to total population of India/ Project State	% STs in the Project State to total ST Population in India
		In Lakh			
1.	India	12108.55	1045.46	8.6	-
2.	Arunachal Pradesh	13.84	9.52	68.8	0.9
3.	Uttar Pradesh	1998.12	11.34	0.6	1.1

Source: Census 2011, Office of the Registrar General, India

Among the project States, Arunachal Pradesh (68.8%) ranks top with the highest proportion of ST population whereas Uttar Pradesh stands last with the lowest proportion of ST population of 0.6 per cent of the total population in the state (Table 4.1).

Table 4.2 presents the decadal growth of Scheduled Tribes. The decadal population growth of the tribes from Census 2001 to 2011 has been 23.66% against the 17.69% of the entire population. The decadal population growth of Scheduled Tribe population has been 35 in Arunachal Pradesh followed by 9.51 in Uttar Pradesh for the same period.

Table 4.2 Number, Population and Decadal Growth of Scheduled Tribes (2001-2011) in India and Project States

SN	India/Project State	Number of STs	Total population of STs		Decadal Growth Rate among STs 2001- 2011
			2001	2011	
1.	India	705	84,326,240	104281034	23.66
2.	Arunachal Pradesh	16	705,158	951,821	35
3.	Uttar Pradesh	15	107,963	1,134,273	9.51

Source: Census 2011, Office of the Registrar General, India

**Distribution of STs:** Out of the total 705 tribal groups notified as STs in India, 31 STs are found in the proposed project States. Out of 31 groups of ST, 16 groups of ST have been inhabiting in Arunachal Pradesh and 15 groups of ST have been occupying Uttar Pradesh (Table 4.2). The table 4.3 provides a list of Scheduled Tribes (STs) and Particularly Vulnerable Tribal Groups (PVTGs) in the Project States. The project activities, however will be implemented in and around of the areas of East Kameng and West Kameng districts of Arunachal Pradesh where STs like Nyshi, Khowa/Bugun, Momba/Monpa and Sherdukpen have been inhabiting. Similarly, project activities will be implemented in and around of the areas of Lakhimpur Kheri district of Uttar Pradesh where Tharu as a dominant ST live. It is notated that none of the tribal groups in the project area belongs to **PTGs/PVTGs** category.



Table 4.3 List of Scheduled Tribes (STs) and Particularly Vulnerable Tribal Groups (PVTGs) in the Project State

<b>Arunachal Pradesh</b>	<b>Utter Pradesh</b>
1. Abor	1. Bhotia
2. Aka	2. Buksa [PVTG]
3. Apatani	3. Jaunsari
4. <b>Nyishi</b>	4. Raji [PVTG]
5. Galo	5. <b>Tharu</b>
6. Khampati	6. Gond, Dhuria, Nayak, Ojha, Pathari, Raj Gond (in the districts of Mehrajganj, Sidharth Nagar, Basti, Gorakhpur, Deoria, Mau, Azamgarh, Jonpur, Balia, Gazipur, Varanasi, Mirzapur and Sonbhadra)
7. <b>Howa also known as Bugun</b>	7. Kharwar, Khairwar (in the districts of Deoria, Balia, Ghazipur, Varanasi and Sonbhadra)
8. Mishmi, Idu, Taroan	8. Saharya (in the district of Lalitpur)
9. <b>Momba/Monpa</b>	9. Parahiya (in the district of Sonbhadra)
10. Any Naga tribes	10. Baiga (in the district of Sonbhadra)
11. <b>Sherdukpen</b>	11. Pankha, Panika (in the districts of Sonbhadra and Mirzapur)
12. Singpho	12. Agariya (in the district of Sonbhadra)
13. Hrusso	13. Patari (in the district of Sonbhadra)
14. Tagin	14. Chero (in the districts of Sonbhadra and Varanasi)
15. Khamba	15. Bhuiya, Bhuinya (in the district of Sonbhadra)
16. Adi	-

Source: Ministry of Tribal Affaires, Annual Report 2018-19, Annex 5B &9A

Note: The yellow highlighted tribes in the table are the ones present in the project area.

**Literacy:** Education forms an important component in the overall development of individuals, enabling them to greater awareness, better comprehension of their social, political and cultural environment and also facilitating the improvement of their socio-economic conditions. These hold true in the case of the Scheduled Tribes in India. The crude literacy rates distinguish of STs and the general population from 1981 to 2011 clearly indicates the gap between STs and the rest of the country's population (Table 4.4). The literacy rate of STs has increased from 8.53 per cent in 1961 to 63.1 per cent in 2011, registering an increase of 54.57 percentage points in five decades. The literacy rate for the general population increased from 28.3 per cent to 74.04 per cent recording an increase of 45.74 percentage point in the same period (Table 4.4).

Table 4.4 Literacy Rate of STs and General Population (Percentage) in India and Project States

Year	Particulars		Literacy Gap STs and General
	Scheduled Tribes (STs)	General Population	
1961	8.53	28.3	19.77
1971	11.30	34.45	18.15
1981	16.35	43.57	19.88

1991	29.6	52.2	22.6
2001	47.1	65.38	18.28
2011(India)	63.1	74.04	14.03
2011(Arunachal)	64.6	65.4	0.8
2011(Uttar Pradesh)	67.7	55.7	12.0

Source: Statistical Profile of Scheduled Tribes in India 2013, Ministry of Tribal Affairs, Statistics Division, Government of India, p. 1 and adopted from S. Ravikumar (2018) Journal of Emerging Technologies and Innovative Research (JETIR) Volume 5, Issue 7, pp 1433-35; Annual Report 2017-18. Government of India Ministry of Tribal Affairs.

There is a gap of about 14 percentage points in literacy rate of STs as compared to the overall Indian literacy rate in 2011. It is a welcome development that the literacy gap between the general population and ST population is narrowing down. The gap of literacy rate between general population and ST in Arunachal Pradesh in 2011 is only 0.8. However, the gap of literacy rate between general population and ST in Uttar Pradesh is higher by 12 percentage points in 2011 (Table 4.4).

**Incidence of Poverty:** The former Planning Commission provided estimate based on Tendulkar Methodology for poverty ratios for the years for which large Sample Surveys on Household Consumer Expenditure have been conducted by the National Sample Survey Office (NSSO) of the Ministry of Statistics and Program implementation. As per these estimates, ST people living below the poverty line in 2011-12 were 45.3% in the rural areas and 24.1% in the urban areas as compared to 25.7% persons in rural areas and 13.7% persons in urban areas below poverty line for all population. Project state-wise details for the years 2009-10 and 2011-12 are given in Table 4.5.

Table 4.5 Percentage of ST Population Below Poverty Line during 2009-10 and 2011-12 (Tendulkar Methodology)

SN	India/Project State	Rural		Urban	
		2009/10	2011/12	2009/10	2011/12
1.	India	47.4	45.3	30.4	24.1
2.	Arunachal Pradesh	NA	NA	NA	NA
3.	Uttar Pradesh	49.8	27	20.2	16.3

Source: Source: Ministry of Tribal Affairs, Annual Report 2018-19, Table 4.12, pp 31

**Land holdings:** According to the Annual Report (2018/19) of the Ministry of Tribal Affairs, the Land and Livestock Holdings Survey (LHS) conducted in the 70th round of National Sample Survey (NSS) during January to December 2013, the NSS Report No. 571 estimated 92.369 million hectares of land owned by households in rural areas during the year 2013, with an average size of 0.592-hectare land per ownership holding. The share of land owned by Scheduled Tribes in rural India was 13.06% of the total 92.369 million hectares and the average area of land owned per household was 0.650 hectares for Scheduled Tribes. Distribution of households at the overall India level by land holding category for each household Schedules Tribes is given in Table 4.6.

Table 4.6 Percentage Distribution of Households by Size Category of Land Holdings for Schedules Tribes and All groups (India)

Category of holdings (land size class in ha)	Scheduled Tribes	All groups (including n.r.)
Landless ( $\leq 0.002$ )	9.41	7.41
Marginal (0.002-1.000)	68.83	75.42
Small (1.000-2.000)	14.64	10
Semi-medium (2.00-4.00)	5.74	5.01

Medium (4.000-10.000)	1.36	1.93
Large (>10.000)	0.03	0.24
All Size	100	100

Source: NSS Report No. 571: Household Ownership and Operational Holdings in India, 2013  
(Note: ha: hectare: n.r.: not reported)

About 9.41% of the ST HHs were categorized as Landless ( $\leq 0.002$  ha) compared to 7.41 % HHs for India in the same category, and 0.03% ST HHs were Large (>10.000 ha) holders. The highest proportion of households (68.83% and 75.42 % for Scheduled Tribes and 75.42% for India) belong to the marginal category of land holdings and lowest proportion of households belong to the large holdings 0.03 % and 0.24% for scheduled tribes and India respectively.

**Modes of livelihood:** Scheduled tribes generally lead a communitarian life sharing a common natural resource base and economic structure. Economic and social differentiation within them does not normally exist or is insignificant because they traditionally lead an egalitarian life. The livelihood of a large proportion of Scheduled Tribes is based on subsistence farming supplemented with collection of forest produce, hunting, shifting cultivation, sedentary and nomadic animal herding and artisanry. Traditional occupations of tribal groups may range from honey-collection to hunting small animals to engaging in metal-work and rope-making. Tribes inhabit the resource-rich areas of the country. For instance, the forest cover is greater than 67 per cent in 58 districts, of which 51 are 'tribal districts'. The tribes use natural resources of their habitat for subsistence, for their bare minimal survival. Many of them have yet not developed the concept of surplus and thus are far away from commercial interests<sup>8</sup>. The Scheduled Tribes (STs) living in hill areas of Arunachal Pradesh greatly depend on land and forest for their livelihood through agriculture, food gathering and hunting. The Tharus of Uttar Pradesh traditionally do cultivation, hunting and fishing for survive.

**Socioeconomic Changes:** With the rapid penetration of external forces and the government efforts of mainstreaming traditional societies, traditional modes of livelihood and resource base of tribal communities are breaking up rapidly. As a result, many are presently involved in industrial and other allied labor often adopting the urban culture. A majority of tribal groups work in the primary sector, and are heavily dependent on agriculture either as cultivators or as agricultural laborers. At the same time, a number of Scheduled Tribes no longer follow their traditional occupations and work as laborer on plantations or in mines and factories (in many cases, since the nineteenth-century). Displacement and forced migration have also led to an increasing number of Scheduled Tribes working as contract laborers in the construction industry and as domestic workers in major cities. Over 80% of Scheduled Tribes work in the primary sector against 53% of the general population, primarily as cultivators<sup>9</sup>.

Similarly, the traditional village council is also losing its importance in the society due to the introduction of the Panchayati raj system (PRIs). The constituents of the council are mostly filled up with the elected/selected members of PRIs instead of the appointed members of the village council. The induction of the younger generation as a member of Zila Parishad, Anchal Samiti, Gram Panchayat (three tier system of Panchayat Raj of India) has also reduced the importance and active role of the village elders in the decision-making process of the village (Nimachow 2011). The function of village council has also taken a different form. The functions which were necessary during the past like war, defense, etc. are being replaced by other developmental works. The changes in the constituents and functions of traditional village council have profound impacts on the social organization of the village as a single entity. The villagers are

<sup>8</sup> Srivastava, V. K (2018) The National Committee Report on Tribal People, *Social Change* 48(1) 120–130

<sup>9</sup> Annual Report (2018/19), Ministry of Tribal Affairs, Government of India

becoming more and more individualistic rather than a collective. The village as a community has significant role in the house construction, hunting, fishing, festivals, rituals, etc. but, the modern political system has forced the villagers to remain aloof from each other even within the village.<sup>10</sup>

Development of STs in India is a constitutional obligation. From independence, large number of programs has been undertaken by the Government of India for the development of STs to ensure better quality of life for STs and also special provisions are made for protection of Scheduled Tribes from exploitation for their development. Thousands of millions of rupees have been spent for developing these people ever since the start of Five-Year Plans. Special programs are formulated and the central government extends adequate resources for developmental programs in the tribal habitations. Despite the various efforts made by the central government, the results show that the quality and quantity of development achieved is far from being satisfactory. STs are still facing the problems of hunger, malnutrition, poverty, illiteracy, ill health and deprivation from natural resources. Though the Government of India provides special attention for the development of these sections, still a majority of the people in these categories are excluded from the development programs<sup>11</sup>.

## 4.2 Brief Ethnographic Description of Schedule Tribes in the Project Area

### 4.2.1 Dudhwa Landscape

Dudhwa National Park is in Lakhimpur Kheri districts and is the only national park in Uttar Pradesh. Lakhimpur Kheri is the largest district in Uttar Pradesh, India, on the border with Nepal. It is situated between 27.6° and 28.6° north latitude and 80.34° and 81.30° east longitudes and comprises about 7,680 square kilometers in area.

Kheri has total population 4,021,243 of which 2,123,187 are males and 1,898,056 are females. It has sex ratio (894), which is lower than the state average of 912 females per thousand males. There are 745,077 households in the district accounting for 2.2 percent of the total households in the state. The average size of households in the district is 5.4 persons.

The total ST population in the district is 53,375 (Males-26,984 and Females-26391) of which 52,446 are rural and 929 are urban residents in 7,101 households. ST population account 1.33% of the total population of the district. The total literate population of ST is 25,281 of which male and female comprise 15,351 and 9,930 respectively. The total illiterate population is 28,094 of which share of male and females is 11,633 and female 16,461 respectively. Of the total population of 53,375 of ST, total workers comprise 19,398 with 12,466 and 6,932 male and female respectively.

## Tharus

Tharus are one out of 15 of indigenous peoples/ scheduled tribes of Uttar Pradesh recognized by the constitution of India. The constitution of India gives many special social, educational and economic rights to these scheduled tribes and they are struggling for their rights and cultural protection. They mostly live in the Terai plains on the border of India and Nepal. It is believed that Tharus were the only tribes who were

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<sup>10</sup> Changing Identity, Livelihood and Biodiversity of Indigenous Communities in the Eastern Himalaya with Special Reference to Aka Tribe accessed from <https://www.researchgate.net/publication/315847392> on 18 may 2020

<sup>11</sup> Ravikumar S. (2018) Development of Scheduled Tribes in India – An Overview, *Journal of Emerging Technologies and Innovative Research (JETIR)*, Volume 5, Issue 7

able to reside comfortably in the malarial jungles all along the Indo-Nepal border. The Tharus are generally found in Champaran District of Bihar and in Udham Singh Nagar District of Uttarakhand, Lakhimpur Kheri, Pilibhit, Gonda, Balrampur, Gorakhpur, Bahraich districts of Uttar Pradesh. The total Tharu population in India is near about 169,209 of which 83,544 are in Uttar Pradesh and 85,665 are Uttarakhand State. They constitute about 9.2 percent of total tribal population of the Uttar Pradesh. According to the 2001 census, the total population of Tharus Lakhimpur Kheri district was 37,949. As per census 2011, total literacy rate among the Tharus is 54.6 percent where male literacy rate is 66.3 percent and female literacy rate is 42.5. The Tharus are divided into a number of endogamous sects. The majority of Tharus in Lakhimpur are 'Ranas' but a small number of 'Kathurias' are also found in Lakhimpur-Kheri district<sup>12</sup>.

Agriculture is the main occupation of the Tharus. They practice agriculture in the primitive way and grow rice, maize, barley, wheat, gram, pea, potato, lentil (masoor dal), sugarcane and mustard as their main crops and grow vegetables, tobacco and bananas in their backyards. Recently some farmers have also started farming menthol mint as cash crop. Besides agriculture which is primarily subsistence in nature, they heavily depend on the forest for livelihood. They also earn a living by hunting and fishing, gathering forest herbs, fruits and vegetables, grazing cows and buffaloes, making ghee and rearing pigs, fowls and goats. The animals which they chiefly hunt are the wild boar (male pig), deer and antelope (ibid).

Tharus have many distinct characteristics which are representative of their culture and socio-economic systems. They have their own language called Tharu which is spoken across most of the areas inhabited by them and Kochila in some of the specific pockets, besides the much competitive Hindi. They have their traditional cultural norms, rites and rituals, which largely vary based upon their geographical locations. They are mostly believers and worship both the spirits of nature, as well as the Hindu deities. Their belief system has seemingly merged animism with Hinduism in sync with their ancient traditions and has taken the form of a new religion of their own. For examples, they worship Hindu Gods and Goddesses along with their own ancient Gods. The Hindu Gods and Goddesses, popular among the Tharus, are Shankar, Parvati and Hanumaan, while some of the tribal Gods, deities and spirits worshipped by them are Mote Baba, Katiyaar Baba, Bhuinya, Nagnihai, Jwala, Meri masan and others. They worship a piece of a Sakhoo wood in the shape of Lingam, symbolic of Lord Shiva. They also worship plants like peepal and Tulsi, Aam and animals like cow, serpent and monkeys.

Traditional dresses of Tharu are vibrant and colorful, their handicrafts are unique and their cooking habits are fascinating. They follow a different dressing system which differentiates women who are unmarried with married and married with children and vice versa. Their dresses are colorful and very beautifully embroidered; they often buy scraps of left-over fabric from the fabric merchants and each woman puts her own dress together in a very unique and gorgeous fashion. They wear beautiful jewelry and make their own clay pots, cooking stoves, woven baskets and fishing nets which look like butterfly wings. This clothing identification regime could be seen amongst Buddhist traditions where individuals wear distinctively different clothes in order to maintain the unique identity of theirs.<sup>13</sup>

They had strong traditional village organization called Pradhans, Bhalamanas and Chowkidar. The administration of the village community was carried out by these village officials who enjoyed a high social position, namely the Pradhans, Bhalamanas and Chowkidar. Traditionally the post of Pradhan was hereditary, being conferred on the head of the family that established the village. The Pradhan enjoyed rights equivalent to those of a village chief/king. Thus, he had the right to allow new members to settle and give them land for agriculture as also to excommunicate members for unforgivable offences. The Pradhan was helped in his duty by the Bhalamanas and Chowkidar. He acted as the representative of the people. It

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<sup>12</sup> Nutan Singh and Dharendra Kumar Singh (2015) Tharus and Their Enhancement in Modern Time of Lakhimpur-Kheri District, U.P, *International Journal of Innovative Social Science & Humanities Research* Vol (2), Issue (June, 2015)

<sup>13</sup> Guneratne, Arjun (2010) Tharu-State Relations in Nepal and India, Himalaya, Volume 29(1-2)

was among his duties to collect taxes from the villagers for the government, to work for the benefit of the villagers and administer justice with the help of members of the Panchayat which was also called Kachari. However, Gram Panchaya replaced the Pradhan but institutions of Bhalamanas and Chowkidar are still functioning, particularly to settle their disputes and to ensure adherence to a common code of conduct.

They lived in clusters of villages in mud houses, known as Tharu huts, these houses are well plastered inside and out with cow dung and mud, so fine it feels like silk. they have acquired mastery over the art of pottery; they generally make almost everything they use by themselves. They give every creation a special touch of art, for instance the walls of their houses are decorated mostly with the relief plaster sculptures and windows which follow a geometric pattern. The houses are large and made in line with the idea of housing a large familial group; the women cook together, care collectively for their children and pass on their cultural knowledge and traditions to the next generation successively.

Scholar like A. K. Singh in his book entitled “Dynamics of Tribal Economy” (2004) has highlighted that tribes like Tharus have been systematically marginalized by alienating or displacing them from the ‘tribal economy’ which have traditionally been centered on land and other land-based resources. He argued that Tharus have been victims of displacement due to industrialization and falling into poverty trap due to lack of access of irrigation facilities, low pricing of agricultural production as well as very low productivity of crops. He also throws light on the problems faced by Tharus due to the restriction imposed on them to access and use of forest and other natural resources.

The main focus of the project intervention in Dudhwa landscape will be the natural grassland and wetland habitats in Sujauli Range of Katerniaghat WLS & South Sonaripur Range of Dudhwa TR, including engagement of surrounding farming communities, who will be selected during project execution. There is a potential site for project demonstration which spreads over 38 sq km in the heart of the Katerniaghat Wildlife Sanctuary and forms part of the core of the Sanctuary is a potential project site for restoration of the degraded once Grassland-dominated ecosystem. The degradation is mainly due to significant cattle grazing and a limited number of species population due to extraction of grass for fencing and roofing and feeding domestic animals. The area provides grazing ground for cattle from all neighboring villages such as Kathotia, Maharaj Singh, Durga Gudi, Pataha Gudi, Dhobiniya, Sujuli, Joliha Simri etc.

There are several Tharu villages situated in and around Katerniaghat Wildlife Sanctuary. Some Tharu villages are also bordering the proposed project intervention site. Among them is Baisahi village where 122 Tharu families have been residing for many generations. The main occupation of these people is agriculture, sugar-cane and rice being the principal crops. Traditional crops like rice, wheat, sugar-cane, mustard, and pulses are grown. While during the summer months, except for the perennial sugar-cane and a few vegetables, fields are left barren. Besides the traditional crops, with the support of the agriculture department and NRLM (National Rural Livelihood Mission) few households have started experimenting with new cash crops such as peppermint and turmeric. The number of farmers adopting alternate cash crops is likely low; this presents an opportunity for livelihood enhancement schemes. Though these people are agriculturalists, only one-fifth of households own land whereas the remaining 80% household do daily wage labor for their living. They also keep cows, buffaloes, goats and hens for consumption and commercial purpose. It was mentioned that due to change in the socio-political and market situation, people are not interested to keep more than two cows. Most people in villages stated that they prefer buffaloes over the cows as the milk of the former fetch a better price in the market and dairies and it is easy to purchase and sell buffaloes unlike cows. Buffaloes are not usually left abandoned as their price is high and can be sold easily compare to cows.

The villagers of this village collect firewood for cooking, fodder for animals, thatch grass for roofing and fencing from the nearby forests including the proposed project demonstration site. Every family in the village is almost entirely dependent on the forests in the protected area to meet their fuel wood needs.

Even those with LPG connections under government subsidy have to go to the forest quite often because refilling a cylinder is expensive for the villagers. Based on the villager rough estimation, on an average a family consumes 10 kg of wood per day in the summers and 15 kg in the winters. The area is being used as grazing field for their cattle for many generations. Cows and goats are left for open grazing in the area nearly a whole year. Buffaloes and oxen are stall fed and fodder for these animals is also collected from forest when the crop residue in the agricultural fields are not available, particularly for three months from April to June. The community collects housing materials from the forests once every alternate year soon after the monsoons. It was informed that on an average, a family needs one cartload (approximately 200kg) of thatch grass for constructing the roof at one time. In addition to the above, the peoples also collect timber for making agricultural implements and fencing around fields, poles for supporting the housing structures. However, these materials are not required every year. On an average the poles for all the above-mentioned purposes are replaced once every five years.

Large numbers of villagers from this village used to work at the Central Seed Farm and it was the main source of employment until its closure in 2012. The villagers opined that suitable alternatives for fodder, firewood and thatching and fencing materials is required if any restriction of access of these resources occurred as a result of restoration of grassland habitat under the project.

The Tharu peoples of this village do not have any formal Indigenous Peoples Organization (IPO) or Tribal council. However, they are organized through a traditional institution called 'Badghar'. Originally, Badghar was almost like a village chief or king to the village people, and worked only at the village level. Nowadays, Badghar is elected chief of a village or a small group of villages for a year. The election generally takes place in January or February after celebrating the Maghi Festival and after completing major farming activities. In most cases, each household in the village which engages in farming has one voting right for electing a Badghar. Thus, the election is based on a count of households count rather than a headcount. The role of the Badghar is to work for the welfare of the village. The Badghar direct the villagers to repair canals or streets when needed. They also oversee and manages the cultural traditions of the villages. They have the authority to punish those who do not follow their orders or who go against the welfare of the village.

A Village Eco-development Committee (VEC) has been formed in each village of protected areas as per the guidelines for eco development programs formulated by the UP-Forest Department. The Village Eco-development Committee is made up of inhabitants of the village, under the supervision of the Forest Department. The VEC should consist of one member of every family in the village. The VEC should in turn elect members of an executive committee consisting of five members from amongst themselves. The executive committee should also include an official from the Forest Department nominated by the PA management. The members of the Executive Committee should then elect a secretary from amongst the elected members. The secretary along with the forest department official functions as the joint treasurer of the committee. A micro-plan with integrated development objectives is set up and validated by the Committee using participatory survey techniques. Activity projects or needs are therefore defined per village and receive funding for their implementation. A village level micro plan (2012/13- 2015/16) for Kathotia was prepared in consultancy with the village representatives, WWF-India and Forest department officials to meet the set objective. The VEC used to be fairly active in the implementation of the activities as had been proposed in the micro plan. Currently, most of the VECs are found to be inactive. The VECs need to be renewed periodically from competent authority. It is reported that most of them failed to renew in time while some are in the process.

#### 4.2.2 Pakke-Eaglenest Landscape

The Pakke-Eaglenest project landscape situated in the districts of West Kameng and East Kameng in the western part of State of Arunachal Pradesh, India. It consists of three protected areas, the Pakke Tiger Reserve, Eaglenest Wildlife Sanctuary, Sessa Orchid Sanctuary (OS) and surrounding Reserved and Unclassified Forests in Arunachal Pradesh.

The inhabitants of the West Kameng district comprise mainly of Monpa (Dirang, Boot, Lish, and Kalaktang monpa), Miji (Sajalong), Sherdukpen, Aka, and Bugun (Khawa). The Monpas belong to the Tibeto-Mongoloid stock and are the largest tribe of the district, inhabiting mainly in Dirang and Kalaktang circles. The Mijis are settled in Nafra and Akas in Thrizino circle. The Khawas inhabit the Wanghoo, Kaspi, Singchung and Tenga areas. The Sherdukpens are mainly settled in 4 villages of Rupa, Jigaon, Shergaon, Thongre and also in Doimara area.

The Major tribes inhabiting in East Kameng this district are Bangnis (Nyishi), Akas, Mijis and Puroiks (Sulung). The Bangnis also called Nishi, Nishang, Nissi or Dafla and Sullungs inhabit the area contiguous to the North Eastern Kameng extending up to Lower Subansiri District. The Akas inhabit the Bana Area and Mijis inhabit to the region eastern of West Kameng District i.e., Lada Circle.

Each tribe has their own dialects, customs, and religion. Social and cultural events are very much associated with their life, environment and other relevant activities. Generally, they all tribes follow Buddhism though Akas, Khawas and Mijis believe in indigenous religion and follow partly Buddhist and Hindu practices. Every tribe has its own society and village council. These tribes have varying traditions about their origin and migration. Some among them trace their course of migration to the areas of their present settlement from the north. Their legends indicate a general north-south or north-east to south-west trend of movements in the olden days. The Monpas, however, migrated from different directions.

Scheduled Tribes (STs) predominantly live in the hills of Arunachal Pradesh (Ar.P) depending on agriculture as their main source of livelihood and income. They are considered to be socially disadvantaged and economically underdeveloped people. They comprise more than two third of total population of Arunachal Pradesh. They share several common disadvantages including geographical isolation, underdevelopment, economic deprivation, illiteracy, impoverishment, indebtedness and less access to assets and public services. They have traditionally lived mainly in forests, hills and undulating inaccessible terrain in plateau areas that have rich natural resources<sup>14</sup>.

The project interventions will focus on securing the connectivity and integrity of forest cover across the Pakke-Eaglenest landscape by addressing critical bottlenecks (eg Tenga RF and Sessa Orchid Sanctuary, between Eaglenest WLS and Pakke TR) and forested areas under active encroachment and degradation, mainly in buffer zone areas (eg tree felling in Papum RF, in the eastern buffer zone of Pakke TR). There will be activities to strengthen community engagement processes for the high conservation value habitats for Pakke & Eaglenest buffer zones (village areas of Rupa Sinchung and Shergaon), and the governance and capacity of existing community and village-level institutions (e.g. Gram Panchayats, Women Self-Help Groups, Eco-Development Committees (EDC), Forest Rights Committees (FRC), Tribal Village Councils (Pakke and Eaglenest), cooperatives, etc.) to take a greater role in wild cat conservation.

The project area is primarily inhabited by Monpas, Sherdukpens, Buguns and Nyishi tribes categorized as Scheduled Tribes (STs) by the Government of India. They primarily depend on land and forest for their livelihood through agriculture, food gathering and hunting. Jhum or shifting cultivation has been commonly practiced as a way of life within the tribal communities from time immemorial. Such cultivation system

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<sup>14</sup> Ministry of Tribal Affairs, 2013.



involves clearing a patch of forest by felling and burning bushes and trees and then cultivating this land for one or more years before abandoning it for rejuvenation in favor of other patches. It is believed that shifting cultivation is the most economical method because it produces the highest net returns; however, policymakers, governments and analysts have often assumed that it is universally unsustainable and causes destruction of forest and wildlife. There is no uniform land tenure system across the tribes in the region. A naturally endowed land is largely owned by the tribal community and the incidence of landlessness is negligible. An individual ownership of land is recognized in certain areas usually confined to homestead and settled farm land. Some ethnic groups or villages follow community, clan or kinship and private or individual land ownership systems. Gradually, private ownership of land has emerged in the areas. Polygamy is socially sanctioned and practiced by most of them. Peoples have their own traditional governance system and customary laws. Each tribe has its own organized institutions that maintain law and order, decide disputes and take up all activities for the welfare of the tribes and the villages. The members constituting these organizations are selected by the people. The following paragraphs will provide a brief ethnographic description of each tribe inhabiting in the proposed project area.

## Nyishis

The Nyishi is one of the largest ST among 16 tribes notified as STs in Arunachal Pradesh. They speak Nyishi language, a Sino Tibetan family. In Nyishi language, *Nyi* refers to "a human" and the word *shi* denotes "a being", which combined together refers to a human being. They are spread across eight districts of Arunachal Pradesh including East and West Kameng districts. Their population of around 300,000 in 2011 census makes them the most populous tribe of Arunachal Pradesh.

Polygyny is common among the Nyishi. It signifies one's social status and economic stability and is also related to hard times like clan wars or social hunting and various other social activities. This practice, however is diminishing especially with the modernization and also with the spread of Christianity<sup>15</sup>. They trace their descent patrilineal and are divided into several clans. According to tribal tradition all Nyishis are descended from one mythical ancestor by name of Takr, and it is also believed that his sons became the forefathers of three branches of the tribe, respectively known as Dopum, Dodum, and Dol<sup>16</sup>.

The Nyishi are agriculturalists who also practice shifting cultivation locally known as *jhum*. The principal crops raised include paddy, maize, cucumber, ginger, yams, millet. Rice is the staple food of the people, supplemented by fish, meat of various animals, edible tubers and leafy vegetables. The present system of land use pattern and tenancy is based on the customary and traditional system of the State, which however, differs from tribe to tribe and area to area. But in spite of local variation, some general information on certain important matters are common in all the corners of the State. The local people can exercise traditional rights over land which is again held individually. They can also exercise right over land for traditional hunting, fishing and extraction of forest products. Dependence of tribal/indigenous communities on forests is high, both by tradition and necessity. They claim that they are the dominant forest land holders customarily and maintain traditional use rights of NTFP collection. Timber extraction is allowed for domestic, non-commercial use to the local communities outside the protected areas. In recent years, several government initiatives have also promoted cultivation and sustainable harvest of medicinal and aromatic plants. Several wild plants and mushrooms are an important part of the local food. These are collected for consumption as well as for sale in local markets.

Before introduction of a modern market economic system, they used a barter system. They greatly valued the generalized reciprocity and also balance reciprocity in their economic system. A locally-made drink known as *upo* (the two types of *upo*: *pone*, made of rice, and *polin* which is made of millet) is served at every social gatherings and important events. The Nyishis are typically fond of it. Traditional ways of

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<sup>15</sup> Fürer-Haimendorf, C. von (1982) Tribes of India: The Struggle for Survival, University of California Press

<sup>16</sup> Fürer-Haimendorf, C. von (1947). Ethnographic Notes on the Tribes of the Subansiri Region. Shillong

preparing them include fermentation, steaming, roasting and smoking. Recently they have been forced to move towards a market-based exchange economy<sup>17</sup>.

The Festival of the Nyishi is *Nyokum Yullo* which is celebrated commemorating their ancestors in the month of February. The local priest (Nibu) does the divination by examining the liver of a fowl and the yolk of an egg respectively. The site where the festival is performed is called Nyokum Kyageng. Christianity is the major religion among the Nyishis since majority of Nyishis have been converted to Christianity during the 1970s. However, some still follow their own indigenous religion, which is influenced by animistic and shamanic traditions (Ibid).

The Nyishis, who traditionally wear cane helmets surmounted by the crest of a hornbill beak (known as *pudum* or *padam*), have considerably affected the population of this bird. Several organizations, such as the Arunachal Wildlife and Nature Foundation and the Wildlife Trust of India have been trying to stop the Nyishi hunting these birds in order to protect them from extinction. Nature reserves, such as the Pakke Tiger Reserve, are being set up to protect the birds, while artificial materials, such as fiberglass have been introduced as an alternative to the hornbill beak in Nyishi dress<sup>18</sup>.

Many Nyishis have faced displacement in the name of nature conservation by declaration of National Park and Wildlife Sanctuary in the areas where they have been occupying from time immemorial. The Mabusos I and II are the relocated settlements in 1993 from original Mabusos village currently located in the core area of Pakke TR, inhabited by the Nyishi tribe. Their ancestors were migrated to original Mabusos from Jhokmara/Zokmara in 1972. The resettlement of families from original Mabusos to Mabusos I and II was initiated by the Deputy Commissioner of Bomdila. Prior to Pakke TR declaration, multiple stakeholder consultations were undertaken with the community by forest department and NGOs. On 7 October 1993, about 50 Nyishi families from original Mabusos were relocated to ex-army abandoned land (Mabusos I and Mabusos II, 25 families in each settlement). There are presently ~30 families in each village. The families were given State Bank of Travancore Housing Scheme (SBT) houses but without land rights. Provisional Land Possession Certificate (LPC) was given but it has already expired. In March 2000, the community requested the Deputy Commissioner and the state government for allotment of land possession certificate. However, the wildlife department did not process it and the community learned they had to pay revenue for it. When the process was initiated, the Forest Department objected to it. In the new location, the rocky soil was unsuitable for agriculture. The community was promised 5,000 acres of forest land, which is yet to be fulfilled (See, Consultation Report, Annex 1).

### **Khowa (Buguns)**

The Khowas/Buguns are one of the earliest recognized schedule tribe of India. They were traditionally distributed in ten villages in the Bomdila Circle of Kameng District. Today, the majority are inhabiting the Singchung Sub-Division of West Kameng District. About half of all Khowa people reside in the two villages of Wanghoo and Singchung near the district headquarters at Bomdila in West Kameng District. In Singchung alone, there are 76 Bugun tribe households. The Bugun/Khowa tribe consists of 4 clans, namely – Fian, Phinya, Sarai and Glo. In the Singchung area, 4 Bugun hamlets (Ramalingam, Chiringbam, Ruchungbam and Lui) are governed by one village council. Total population of Khowa/Bugun is about 1,500, as per 2011 census. Their social organization is based on a system of exogamous clans distributed over all the ten villages. The Khowa settlements are surrounded by the Sherdukpen settlements on the west, with whom they share part of the Tanga valley, by the Monpas on the north, the Mijis or Dhamais on the east, and the Akas on the south. But the tribe is strictly endogamous, and there is no intermarriage with

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<sup>17</sup> op. cit.

<sup>18</sup> Fürer-Haimendorf, C. von (1980) A Himalayan Tribe: From Cattle to Cash. Berkeley and Los Angeles/New Delhi,

any neighboring tribe, such as the Akas and Mijis, whose life-style is similar, or the Sherdukpens, with whom the Khowas have long-standing ritual and economic relations. The Khowas say they originated in the north, in today's Tibet, before they moved southward in search of a new place to live. Locals believe that they arrived in the area before the Sherdukpen.

Traditionally, Khowa/Buguns are the followers of the animistic religion. Today, they believe in a mixture of traditional animism and Tibetan Buddhism. Though the Khowas' traditional religion consists of the worship of numerous deities and nature spirits, which involves sacrifices of cattle, they are now influenced by Tibetan Buddhism and have begun to employ lamas for the performance of rituals. Recently, some Khowas/Buguns have converted to Christianity. Nevertheless, a large portion of Bugun/Khowa population are still following their traditional way of animistic rituals and priesthood. Fear of demonic forces plays a major role in everyday Khowa life. For example, children are named immediately after birth, because 'the Khowas believe if there is a delay, some evil spirit will name the baby, and as a result the baby will suffer. When the child grows up to 16 to 17 years, the parents hold a worship called *chhoacshao*. This ritual is performed to please the spirit responsible for the welfare and betterment of the children'.<sup>19</sup>

Traditionally, the predominant occupation was agriculture, supported with other allied activities like fishing and hunting, cattle rearing etc. They reared animals such as cow, horse, pig, sheep, goat, fowl and the mithun<sup>20</sup>. Animal husbandry is integral part of farming and contribute significant part of source of livelihood among the local peoples in the project area. Apart from private lands, common grazing area or source for fodder includes government land and community forests. Shifting cultivation is part of their livelihood strategy. It is reported that they used to hunt wild animals to enrich their diet, using simple spears, traps, bows and arrows before the creation of Eaglenest Wildlife Sanctuary. Hunting was an important feature of their traditional life until establishment of Eaglenest Wildlife Sanctuary and Singchun Bugun Village Community Reserve. Community members do not go for hunting anymore as this is a prohibited activity.

The notable features of Khowas/Buguns are reflected in their simple life and warm hospitality. The Khowas/Buguns have their own folklores, songs, dances, music and rituals. A rare bird, the Bugun Liocichla was named after the tribe. They maintain very close relationship with the natural environment. For example, across Bugun clans there is symbolism with nature in the wider landscape. The Phiang clan worships the holy mountain Jomou, inside Eaglenest Wildlife Sanctuary. The other holy mountains include Kasi of the Glow clan, Tamashya of the Phinya clan and Srung Ngya-Ngyung of the Sarai clan. Embedded in this landscape are festivities such as *Shaboh* which mark different seasons. When leaves are shed, and wild animal hibernate in January, the Shaboh Rua Puja wishes these animals well. When winter subsides and new leaves emerge, the Sassi Shaboh puja is performed in March-April as insects begin to become more active. And finally, the biggest of all Shaboh is Mu-thong Shaboh in August-September, when maize is about to be harvested. Here the priest and his assistants sit with their backs to the crowd and face the holy mountain of Chharit, adjacent to Eaglenest Wildlife Sanctuary. Maize is mounted on the altar, and when the puja ends, attendees are eager to know about predictions about rain or whether there will be any misfortune or accidents in the village<sup>21</sup>.

Traditionally, Khowas/Buguns have their own socio-politico-administrative decision-making system to regulate their society. The traditional village council of the Bugun/Khowa is known as Nimiyang (Council of Elders), which looks after every aspect of village life, may it be decision-making, utilization of local resources, conflict resolution or regulating the society. Each family is represented in the Nimiyang sessions by its head male member. The traditional village council of Buguns are headed by Thap-Bkhow (Village-Chief). The Thap-Bkhow is an accepted leader and selected unanimously and not hereditary. There is no

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<sup>19</sup> [https://joshuaproject.net/people\\_groups/17180/IN](https://joshuaproject.net/people_groups/17180/IN)

<sup>20</sup> The gayal (*Bos frontalis*), also known as mithun in Arunachal Pradesh, is a large domestic bovine distributed in Northeast India, Bangladesh, Myanmar and in Yunnan, China.

<sup>21</sup> The Eaglenest Memory Project, 2019, WWF

strict criterion for selection of the Thap-Bakhow, but a person with economic affluence, social stature, knowledge of customary laws, sound mentality, physical strength and generosity are taken into consideration. He presides over the meetings and sittings of the Nimiyang session. It is customary that only male member possessing above qualities can become Thap-Bakhow. Women may witness proceedings of the Nimiyang sessions, but can only contribute if its male member is absent<sup>22</sup>. However, the traditional village council is also losing its importance in the society due to the introduction of the Panchayati raj system (PRIs). The constituents of the council are mostly filled up with the elected/selected members of PRIs instead of the appointed members of the village council.

## **Sherdukpens**

The Sherdukpens, a small tribe of numbering about 4,200 individuals as per 2011 census, inhabits a single valley of the West Kameng District. They are mainly settled in 4 villages of Rupa, Jigaon, Shergaon, Thongre and also in Doimara area, each of which has several satellite villages. All of these are at elevations between 5,000–6,000 feet above sea level. Of late, some of them have settled in Kameng bari areas, a new settlement area under Bhalulpong circle. In their own language the Sherdukpens refer to themselves as Senji-Thonji, but the neighboring Monpas call them Sherdukpen, and this name has been adopted in official records.

According to local tradition the Sherdukpens are the descendants of a Tibetan prince and his followers who came originally from Beyalung in Tibet and first settled in Bhut, a village near Dirang Dzong, where the ruins of their first fort are still standing. Like Apa Tani society the Sherdukpen community is divided into two unequal and endogamous classes, known as Thong and Tsao, each of which comprises several exogamous clans. The Thong class is supposed to be descended from the legendary princely ancestor, whereas the inferior Tsao class stems from his attendants who immigrated at the same time<sup>23</sup>.

Like many populations on the periphery of the Tibetan culture sphere, the Sherdukpens practice two religions: an old tribal cult as well as Mahayana Buddhism. However, contrary to the Monpas, Sherdukpens are more inclined to their pre-Buddhist Animistic traditions, which is shown by the relative absence of any Buddhist Lamas within their tribe. The Buddhist rituals are performed by lamas who are of Bhutanese origin or have been trained in Bhutan. A large Mahayana gumpa decorated in a style influenced by Bhutanese and Tibetan prototypes in Rupa is an evidence of such influence. They generally practice monogamy and trace their descent patrilineally. They speak their own language, Sherdukpen, which isn't directly related with the neighboring Bugun and Monpa language. It is possibly of Tibeto-Burman derivation<sup>24</sup>. Their houses are built on strong stone foundations with their wall and floor made from thick wooden planks.

The Sherdukpen are agriculturalists, but traditional hunting and fishing practices are equally popular among them. Using simple tools, both shifting and permanent farming are practiced, and livestock such as ponies, cows, goats, sheep, fowls and bullocks are kept. They plough, using crossbreeds of *mithan* and ordinary cattle for traction. On hill slopes they practice shifting cultivation in the same way as Khowas and many Monpas.

## **Monpas**

Monpa is one of the 25 major tribes and one of the 15 Scheduled Tribes of Arunachal Pradesh recognized by Government of India with population of about 44,000 as per 2011 census. The origin of the Monpa

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<sup>22</sup> Fürer-Haimendorf, C. von (1982) Tribes of India: The Struggle for Survival, University of California Press

<sup>23</sup> op. cit.

<sup>24</sup> Sharma, R. R. P. (1961) The Sherdukpens. Shillong

people is unclear. Like other tribes of Northeast India, the Monpa are believed to have migrated from Western Himalayas and Sikkim to Tawang, in the westernmost part of Arunachal Pradesh and spread to other parts of the state. Currently, the majority of them inhabit West Kameng and Tawang districts and are Buddhists by religion. Monpa society is divided into several strata of different social status, but there is no developed system of exogamous clans comparable to that of Nyishis, Khovas, or Sherdukpens. All of them speak languages akin to Tibetan, but not all of the local dialects are mutually understandable. Yet, culturally the various groups of Monpas have much in common. They differ fundamentally from such non-Buddhist tribes as Bangnis (as the Nyishis are called in Kameng), Akas, Mijis, and Khovas, but share the Buddhist heritage of the Sherdukpens<sup>25</sup>.

Monpa society is traditionally divided into four divisions on the basis of vocation; as Ungpa are those who cultivate crops largely through the labor force available in the family and therefore they belong to the peasantry. Brokpa are branch of Monpa who rears animals. Tsongpa are those who remain engaged in trades or trading. Whereas, Zoba practice handicraft or construction work and thereby they may be categorized as artisans<sup>26</sup>.

The Monpa practice shifting and permanent types of cultivation. Cattle, yaks, cows, pigs, sheep and fowl are kept as domestic animals. For the cultivation of their level land they use ploughs and bullocks or yak-hybrids, though here and there they also practice shifting cultivation on hill slopes too steep for ploughing. To prevent soil erosion by planting crops on hilly slopes, the Monpa have terraced many slopes. Barley, maize, millet wheat, and buckwheat are their main crops, though in sheltered valleys at an altitude below eight thousand feet rice is also grown. They are known for wood carving, Thangka painting, carpet making and weaving. They manufactured paper from the pulp of the local *sukso* tree. They are also known for their wooden bowls and bamboo weaving<sup>27</sup>.

Principal Monpa festivals include the Choskar harvest festival, Losar and Torgya. During Losar, people would generally offer prayers at the Monastery to pray for the coming of the Tibetan New Year. The Buddhist Lamas would read religious scriptures in the Gompas (monastery) for a few days during Choskar. Thereafter, the villagers walk around the cultivated fields with the sutras on their back. The significance of this festival is to pray for better cultivation and the prosperity of the villagers, and protect the grains from insects and wild animals (ibid).

In order to maintain cohesion and unity in the society, the Monpas have well developed form of village council with democratic system. The traditional village council of the Monpas is called Mangma or Mangmazomsa. The term Mangma signifies mass or totality of the village community and Zomsa means assemble or gathering. Thus, Mangmazomsa literally means assembly or gathering of the village community. The Tsorgan (headman) or Yui-Tsorgan, village headman is the head of the Mangma. The term Tsor means main or chief and Gan means responsibility<sup>28</sup>.

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<sup>25</sup> Sukamal Deb (2013) Study of Monpa and Other Tribes of Tawang and West Kameng Districts, Arunachal Pradesh, Journal of Global Economy, Research Centre for Social Sciences, Mumbai, India, vol. 9(4), pages 263-274, December.

<sup>26</sup> [https://shodhganga.inflibnet.ac.in/bitstream/10603/147851/11/11\\_chapter%203.pdf](https://shodhganga.inflibnet.ac.in/bitstream/10603/147851/11/11_chapter%203.pdf) accessed on 19 May 2020

<sup>27</sup> op.ci., Fürer-Haimendorf (1982)

<sup>28</sup> op.ci., [https://shodhganga.inflibnet.ac.in/bitstream/10603/147851/11/11\\_chapter%203.pdf](https://shodhganga.inflibnet.ac.in/bitstream/10603/147851/11/11_chapter%203.pdf)

## 5 Key Risks and Anticipated Project Impacts

### 5.1 Likely Impacts on Indigenous/Tribal Peoples

The proposed project is a conservation initiative, expected to generate significant positive and durable social, economic and environmental benefits. It is expected that any adverse environmental and social impacts due to project activities to ensure effective management or involvement of indigenous people are minor and site specific and can be mitigated. The project will aim to work with communities in the areas buffering national parks and tiger corridors (Dudhwa Tiger Reserve<sup>29</sup> in Uttar Pradesh and Pakke Tiger Reserve and Eaglenest Wildlife Sanctuary in Arunachal Pradesh). The Indigenous People/Tribal communities residing in the areas where the project will execute its activities include the Monpas, Sherdukpens, Buguns and Nyishi in Arunachal Pradesh and the Tharu in Uttar Pradesh.

Specific intervention sites within the landscapes (targeted buffer zones and corridors) where activities will be financed are not known as they would be chosen during project implementation. However, under Component 2 of the project, the main focus of intervention in Dudhwa landscape will be restoration of the natural grassland and wetland habitats in Sujauli Range of Katerniaghat WLS & South Sonaripur Range of Dudhwa TR, including engagement of surrounding farming communities, who will be selected during project execution. In Pakke-Eaglenest landscape, the project interventions will focus on securing the connectivity and integrity of forest cover across the landscape by addressing critical bottlenecks (e.g. Tenga RF and Sessa Orchid Sanctuary, between Eaglenest WLS and Pakke TR) and forested areas under active encroachment and degradation, mainly in buffer zone areas (e.g. tree felling in Papum RF, in the eastern buffer zone of Pakke TR). Component 3 of the project will strengthen community engagement processes for the high conservation value habitats for Pakke & Eaglenest buffer zones (village areas of Rupa Sinchung and Shergaon), and the governance and capacity of existing community and village-level institutions (e.g. Gram Panchayats, Women Self-Help Groups, Village Eco-Development Committees (VEC), Forest Rights Committees (FRC), Tribal Village Councils (Pakke and Eaglenest), cooperatives, etc.) for some 26 villages to take a greater role in wild cat conservation. Finally, Human-Wildlife Conflict hotspots will be identified and innovative mechanisms for preventing and managing HWC in areas adjacent to PAs and corridors demonstrated in two communities in each landscape (locations to be determined during implementation).

While the exact activities under the proposed project would be identified and prioritized during project execution, an assessment of the likely impacts has been made to determine possible social consequences of the proposed project by considering the project activities proposed under Component 2 and 3 in the project document<sup>30</sup>. It is expected that the activities proposed under this project are likely to have minimal negative social impacts. Land acquisition and resettlement are unlikely and avoided under the project. On the other hand, the proposed project can provide valuable long-term opportunities for sustainable development for Indigenous/Tribal Peoples and other local communities. The project will support strengthening community engagement processes for the high conservation value habitats and the governance and capacity of existing community and village-level institutions to take a greater role in wild cat conservation through integrated landscape management to conserve globally significant forests and wildlife. The project also anticipates that strengthened capacity and inclusion of local communities in decision-making and benefit sharing and their improved capacity will increase the ownership of local communities including IPs and thus improve good

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<sup>29</sup> It comprises Dudhwa NP, Katerniaghat WS and Kishanpur WS

<sup>30</sup> India Prodoc Final Draft 24 July 2020

governance practice to implement landscape level master plans, including management of the Environmentally Sensitive Zones (ESZ), National level Species Recovery Action Plans, Protocol and Standard Operating Procedures (SOPs) and Site-specific guidelines for small cat conservation. The effective implementation of management plans and policies helps improve forest productivity and supply chain to fulfil the demand for forest products, thus reducing unsustainable harvesting. However, a number of particular risks for indigenous/tribal peoples including forest user members have been anticipated due to some of the activities proposed under Component 2 in particular-- restoration of natural grassland and wetland habitats in Dudhwa landscape and safeguarding the connectivity and integrity of forest cover across the Pakke-Eaglenest landscape by addressing critical bottlenecks and forested areas under active encroachment and degradation, mainly in buffer zone areas. These project activities may restrict access of IPs/tribal communities to natural resources such as collection of fodder, roofing and fencing materials, firewood and other forest products; and also grazing of livestock will be impacted given the project activities include grassland and forest management and rehabilitation. These communities depend on forest, grassland and wetland habitats for fuel, fodder, grazing land and NTFP products like mushrooms and medicinal herbs, hence, the lives and livelihoods of some marginalized groups are dependent on these natural resources. It would also have potential negative impacts on local communities especially among those dependent on forest products for their food security and income, and thus affecting their livelihoods. Besides equitable benefit sharing with indigenous peoples would be an issue for the project. The Table 5.1 summarizes the likely risks and impacts on IPs/tribal communities due to some of the project activities specified in Component 2 & 3 of the project:

Table 5.1 Project outputs, summary of proposed activities and likely impacts on IPs and tribal communities

Outputs	Summaries of the proposed activities	Potential risk and impacts on IPs/tribal communities
<b>Component 2. Strengthened management and protection of wild cat landscapes</b> <i>(Outcome: Improved protection and management of wild cats and habitats in target PAs, corridors and buffer zones in wild cat landscapes)</i>		
Output 2.1: Targeted interventions to improve wild cat habitat and prey management demonstrated in project landscapes	<ul style="list-style-type: none"> <li>Forest, grassland and wetland habitat management and rehabilitation interventions in Dudhwa, which will include preparation of grassland and wetland management plans and facilitate implementation of habitat management through management of human and grazing access, and fencing of grazing exclosures (for limited areas linked to monitoring of changes in habitat condition) and removal of invasive species (2.1.3 &amp; 2.1.4).</li> </ul>	<p>The project landscapes are inhabited by indigenous/tribal communities practicing various customary regulations for collection and use of forest products. Although the project doesn't have any direct impact on community rights, these activities are intended to strengthen wild cat conservation, which could potentially include regulations / restrictions on management rights / access to and use of resources. Thus, the rights of tribal/indigenous peoples may be curtailed.</p> <p>Restriction of access to natural resources such as collection of fodder, roofing and fencing materials, firewood and other forest products; and also grazing of livestock will be impacted given the project activities include grassland and forest management and rehabilitation.</p> <p>The income sources and means of livelihoods of IPs and tribal communities inhabiting in and around of the project areas who depend on forest, grassland and wetland habitats for fuel, fodder, grazing land and NTFP products like</p>

Outputs	Summaries of the proposed activities	Potential risk and impacts on IPs/tribal communities
		<p>mushrooms and medicinal herbs will be impacted. Thus, there is a possibility that the food and financial security of local communities dependent on natural resources for their lives and livelihoods might be affected.</p> <p>Project activities and approaches to wild cat conservation and management might not fully incorporate or reflect views of women and girls and ensure equitable opportunities for their involvement and benefit.</p> <p>Besides conservation of targeted wild cat species, a wide range of other globally significant wildlife inhabiting the same landscapes will be conserved simultaneously that may escalate human wildlife conflicts despite project aims to respond HWC concerns as well.</p>
	<ul style="list-style-type: none"> <li>In Pakke-Eaglenest Landscape, activities under the same Output will seek to strengthen forest management and rehabilitation through development and implementation of forest corridor improvements plans for critical bottleneck areas considering agroforestry options for occupied lands, including NTFP and medicinal plant cultivation (See Output 3.4) to ensure forest connectivity is maintained in PA buffer zones (ESZ) [2.1.7 &amp; 2.1.8]</li> </ul>	<p>The project supports addressing forest policy, planning and procedural weaknesses that allow unsustainable forest use to occur and promote uptake of SFM including regulated community-based forest management. There is a probability of curtailing of access rights of these communities to forest, grassland and wetland areas might be restricted while implementing the project activities. The communities in Pakke-Eaglenest Landscape wanted assurance that there will be no forms of restriction of access to natural resources in the name of “cat conservation”.</p> <p>Thus, there is a possibility that the food and financial security of local communities dependent on natural resources for their lives and livelihoods might be affected.</p> <p>Project activities and approaches to wild cat conservation and management might not fully incorporate or reflect views of women and girls and ensure equitable opportunities for their involvement and benefits from the project.</p> <p>Besides conservation of targeted wild cat species, a wide range of other globally significant wildlife inhabiting the same landscapes will be conserved simultaneously that may escalate human wildlife conflicts, despite project aims to respond HWC concerns as well.</p>



Outputs	Summaries of the proposed activities	Potential risk and impacts on IPs/tribal communities
	<ul style="list-style-type: none"> <li>Reduction of forest degradation in PA buffer zones (ESZ) through improved regulation of timber extraction and sustainable forest management through development and implementation of site-specific plans for forest management and rehabilitation engaging local communities and other stakeholders, linked to incentives (see Output 3.4) including cultivation and sustainable harvesting of NTFP such as medicinal plants where appropriate (2.1.7)</li> </ul>	<p>Risk of human rights abuses by frontline law enforcement staff supported by the project considering its support for site-based law enforcement, capacity building and equipment for rangers and local community rangers (Output 2.2). There is a risk that frontline enforcement staff supported by the project will be involved in human rights abuses and failure to take a human rights-based approach to conduct of enforcement activities like regulation of timber extraction and NTFP harvesting. This would have risk for local communities including indigenous peoples.</p> <p>Risk of health and safety (due to incidences of encounter with illegal wildlife poachers, timber loggers and wild animals like tigers) for frontline staff, line departments, EDCs and other local stakeholders including community rangers involved cat conservation and monitoring.</p>
Output 2.2: Frontline staff capacitated and equipped to conduct monitoring, surveillance and enforcement	Frontline staff will be capacitated and equipped to support wild cat conservation, monitoring and enforcement. This will include the completion of security assessments and provision of equipment (e.g. GPS, and not including weapons) for monitoring and surveillance and training in state-of-the art monitoring protocols (e.g. M-STriPES 'Monitoring System for Tigers - Intensive Protection and Ecological Status' protocols and software system), and implementation of SOPs for wild cat conservation developed under Component 1 including training in community engagement and delivery of a human rights-based approach to site-based wildlife law enforcement( 2.2.1-2.2.6).	<p>The project will be developed in an area where there is a high percentage of indigenous/Tribal populations of subsistence farming communities. They possess unique cultural and customary traditions and practices of collection and management of natural resources</p> <p>Thus, it is possible that these unique cultural and customary traditions will be undermined and violated by the frontline staff of various agency while implementing the project activities if they are not properly trained and oriented (2.2.2) to these aspects of local and indigenous cultures including gender concerns and effective community engagement.</p> <p>Potential risk of human rights abuses by frontline law enforcement staff if capacity of the implementing agencies will not be enhanced adequately for effective community engagement and delivery of a human rights-based approach to site-based forest and wildlife law enforcement and wild cat conservation plan implementation.</p>
<p><b>Component 3. Community stewardship and human-wildlife coexistence in wild cat landscapes</b>  <b>(Outcome: Enhanced community-based management of wild cats and habitats, with reduced threat reduction including HWC and improved local livelihoods)</b></p>		

Outputs	Summaries of the proposed activities	Potential risk and impacts on IPs/tribal communities
<p>Output 3.1: Capacity developed for community-based management of wild cats and habitats</p>	<p>The project will strengthen the governance and capacity of existing community and village-level institutions (e.g. Gram Panchayats, Women Self-Help Groups, Eco-Development Committees (EDC), Forest Rights Committees (FRC), Tribal Village Councils (Pakke and Eaglenest), cooperatives, etc.) to take a greater role in wild cat conservation in support of landscape-level strategies (3.1.1- 3.1.9)</p>	<p>The project will be developed in an area where there is a high percentage of indigenous/Tribal populations of subsistence farming communities. Project has initiated a community consultation process during the project preparation and a Stakeholder Engagement Plan is being finalized. The FPIC related consultations to obtain consent from all project-affected tribal communities has not yet been initiated because specific intervention sites within the landscapes are to be selected during the implementation.</p> <p>The findings of community consultations conducted during PPG suggest that marginalized groups including tribal, scheduled caste and youth have limited access to information and awareness of their rights and entitlements. Besides, local indigenous communities are not fully aware about FPIC procedures and understand their rights on this.</p> <p>Thus, it is likely that IPs and tribal communities, particularly marginalized and vulnerable members, EDC members and other local stakeholders like Gram Panchayats, Women Self-Help Groups, Forest Rights Committees (FRC), Tribal Village Councils may be excluded from project supports related to strengthening the governance and/or project benefits to take a greater role in wild cat conservation as per the landscape-level strategies, if they are not consulted properly due to lack of effective community engagement, communication, information disclosures and dissemination through appropriate channels.</p>
<p>Output 3.2: Awareness-raising and education programs conducted for local communities on wild cat conservation and habitat management including documentation of related traditional knowledge</p>	<p>The project will provide training on wild cat habitat management, participatory monitoring and business skills. Community engagement and participation will be enhanced through awareness-raising programs for local communities including documentation of related traditional knowledge (3.2.1-3.2.6).</p>	<p>Risk of disruption of Indigenous/tribal Peoples' traditional knowledge, skills, and cultural practices and social cohesion if the project supported education programs and use and documentation of related traditional knowledge is implemented in a way that is not culturally appropriate or without obtaining prior consent of the communities. There is the chance that this could have unintended adverse impacts.</p> <p>It is possible IPs and tribal communities, particularly marginalized and vulnerable members and other local stakeholders may be excluded from training and business skills development opportunities and/or project benefits due to lack of effective community engagement, communication skills, information disclosures and dissemination through</p>

Outputs	Summaries of the proposed activities	Potential risk and impacts on IPs/tribal communities
<p>Output 3.3: Participatory community monitoring of wild cat populations and HWC operationalized through village-level institutions</p>	<p>A new model for participatory community monitoring of wild cat populations and HWC damage and risks will be operationalized with the support of village-level institutions, raising understanding of local wild cat population status, the quality and use of habitats within PAs and across the surrounding mosaic of forest and agricultural land, and on the extent of threats impacting habitats, as well as HWC, poaching and road-kills (3.3.1- 3.3.8).</p>	<p>appropriate channels.</p> <p>Risk of health and safety while conducting projected supported wild cat, prey and other wildlife monitoring, anti-poaching patrolling, fire-watching (for the PA as well as the community reserve) via Pakke TR and Shergaon Forest Division (due to incidences of encounter with illegal wildlife poachers, timber loggers and wild animals like tigers) for frontline staff, line departments, EDCs and village level institutions including community volunteers involved cat conservation and monitoring.</p> <p>Establishment of community patrolling to monitor wild cat populations and HWC damage and risk could pose safety risks to local communities if they come into contact with poachers and big cats and other wild animals.</p> <p>Project's aim to support the identification and use of traditional knowledge and practices for monitoring and conservation of wild cats at local level. If this is implemented in a way that is not culturally appropriate or without prior consent of community, there is the chance that this could have unintended adverse impacts leading to distrust and devaluation of Indigenous/tribal peoples' traditional knowledge, skills, and cultural practices.</p>
<p>Output 3.4: Local livelihood options diversified to encourage reduced pressures on wild cat habitats</p>	<p>Incentives will be provided to support community participation in wild cat conservation and reduce pressure on wild cat habitats through diversification of local livelihoods. Uptake of more sustainable land and habitat management practices will be supported by value addition to agriculture and livestock products, and establishment/enhancement of tourist facilities and homestay tourism programs. (3.4.1-3.4.15). The project will provide sub-grants to support livelihood diversification, including:</p> <ul style="list-style-type: none"> <li>• agricultural value addition such as alternative crops in HWC areas and assistance with processing and marketing agricultural products (market linkages) – such as peppermint and turmeric in Dudhwa; medicinal plants in Pakke-Eaglenest;</li> <li>• livestock management to reduce open grazing in natural areas (including collecting up abandoned cattle and developing and operating care facilities; fencing of vulnerable habitats, fodder improvement,</li> </ul>	<p>Risk of disruption of Indigenous/tribal Peoples' traditional knowledge, skills, and cultural practices and social cohesion if the project supported incentives and the livelihood options will be designed and implemented in a way that is not culturally appropriate or without obtaining prior consent of communities.</p> <p>It is possible that IPs and tribal communities, particularly marginalized and vulnerable members may be excluded from the project supported incentives and the livelihood enhancement options and opportunities and/or project benefits, if they are not consulted properly due to lack of effective community engagement, communication, information disclosures and dissemination through appropriate channels. And risk that the people/HHs/villages affected by any project related restrictions are not the same people identified to receive these livelihood benefits. The project team in implementation needs to ensure these are aligned so affected people receive this mitigation on livelihood support</p>

Outputs	Summaries of the proposed activities	Potential risk and impacts on IPs/tribal communities
	stall feeding, veterinary assistance, with focused support to community members reliant on open grazing); <ul style="list-style-type: none"> <li>• small-scale green enterprises (e.g. NTFP processing, sustainable timber processing, handicrafts, homestay ecotourism, MAP cultivation) and business plan development to incentivize community-based habitat conservation</li> </ul>	Interventions supporting alternative livelihoods and incentives structures may lead to indigenous/tribal communities' dependency on continued external support resulting a form of 'dependency syndrome' <sup>31</sup> .
Output 3.5: Targeted interventions in HWC hotspots to implement mechanisms for the prevention and management of HWC adjacent to PAs and corridors.	HWC hotspots will be identified and innovative mechanisms for preventing and managing HWC in areas adjacent to PAs and corridors demonstrated. This will involve the completion of SAFE workshops with communities and local stakeholders applying the WWF SAFE Framework, followed by investment in community-based HWC solutions (e.g. solar electric fencing) that respond to the identified issues.	<p>If the IPs and tribal communities are excluded in the planning and implementation process of the local HWC plans (including financing of responses such as solar fencing, alternative crop trials, crop proofing, alarm systems, toilets, etc.) coordinating with ongoing efforts by NGOs, align and bring convergence with govt schemes, this may expose risk on indigenous and tribal communities' traditional modes of livelihoods .There is the chance that this could have unintended adverse impacts on the food and financial security of local communities dependent on natural resources.</p> <p>Project activities and approaches to HWC management might not fully incorporate or reflect views of IPs/Tribal communities including women and girls and ensure equitable opportunities for their involvement and benefits from project.</p> <p>The targeted activities on HWC(output 3.5.) are for all communities at the project area and project to incorporate specific measures on HWC for affected IPs/tribal communities should be included while developing IPP and LRPP.</p>

## 5.2 Summary of the Potential Risks & Impacts on Indigenous and Tribal Communities

Based on the table 5.1, this section provided a narrative summary of the project induced risks and impacts on IPs/tribal communities. The summaries are primarily based on the analysis and assessment of the likely risks and impacts of the outputs and corresponding activities specified in Component 2 & 3 of the project.

- 1. Curtailing of customary natural resource management and using rights of indigenous/tribal people:** Particular rights of Indigenous/tribal Peoples are recognized in international treaties, the United Nations Declaration on the Rights of Indigenous Peoples (2007) and International Labor Organization (ILO) Convention (169), 1989 are some examples. The rights of tribal communities have been well

<sup>31</sup> The "dependency syndrome" is an attitude and belief that a group cannot solve its own problems without outside help. It is a weakness that is made worse by charity and continued external support.

recognized in FRA 2006 and other laws in India. FRA grants legal recognition to the rights of traditional forest dwelling communities. Rights under the Act include 1) Title rights – Ownership to land that is being farmed by tribals or forest dwellers subject to a maximum of 4 hectares; ownership is only for land that is actually being cultivated by the concerned family, meaning that no new lands are granted; 2) Use rights – to minor forest produce (also including ownership), to grazing areas, to pastoralist routes, etc; 3) Relief and development rights – to rehabilitation in case of illegal eviction or forced displacement; and to basic amenities, subject to restrictions for forest protection and 4) Forest management rights – to protect forests and wildlife. Rights of indigenous/tribal peoples may be curtailed while developing management plans that include preparation of grassland and wetland management plans and facilitate implementation of habitat management through management of human and grazing access, and fencing of grazing exclosures and removal of invasive species; forest management rehabilitation plan and other forms of land and natural resource use planning. During the consultation meetings in the project areas, the indigenous/tribal peoples also strongly raised their concerns of possible curtailing of rights while developing wild small cat conservation & management modalities based on SFM including regulated community-based forest management - for each targeted corridor and in PA buffer zones (ESZ) in the project landscapes.

- 2. Loss of sources of income and livelihoods:** The ultimate goal of the proposed project is to secure populations and habitats of small wild cats subject to habitat encroachment, human-wildlife conflict, poaching and illegal trade through addressing forest policy, planning and procedural weaknesses that allow unsustainable forest use to occur and promote uptake of SFM including regulated community-based forest management. It also aims to help in improving forest monitoring, open grazing, illegal harvesting and encroachment including strengthening patrolling and law enforcement to control illegal encroachment. It facilitates implementation of cat habitat management through management of human and grazing access, and fencing of grazing exclosures and removal of invasive species. Project intends to strengthen and regulate the existing mechanism of using local forest and natural resources in such a way that the habitat quality and structure will not be changed significantly with minimum disturbance to the protected animals. Such activities under the project will have potential impact on the rights, land uses and access to natural resources of indigenous/tribal peoples resulting in a loss of their source of income and livelihood. Rights of access of supply of timber, firewood, fodders, and forest resources for community needs will be constrained.
- 3. Escalate Human Wildlife Conflict (HWC) and impact of wildlife on livelihoods:** The project activities collectively will result in secure plans for the conservation of globally significant habitats within the targeted landscapes and strengthened State and District level capacity for multi-sectoral engagement, providing the basis for the conservation of targeted wild cat species. A wide range of other globally significant wildlife inhabiting the same landscapes will be conserved simultaneously that may escalate human wildlife conflicts. HWC is rampant in all project landscapes and is locally severe, with a large impact on local IPs and tribal communities. Small cats are not a source of conflict, with only the occasional case of raiding chicken coops reported. However, other forms of HWC negatively affect local attitudes to PAs and conservation. In Dudhwa landscape, conflict with elephants and leopards is a serious problem in Katarniaghat Sanctuary and Dudhwa NP. At present there are nearly 100 elephants in and around Dudhwa Tiger Reserve, with serious damage to agricultural crops by elephants. Wild boar, nilgai and porcupine also cause considerable crop damage. In Pakke-Eaglenest landscape, about 244 elephant range between Arunachal Pradesh and Assam and conflict with elephants was reported to be a serious problem, forcing many farmers to abandon rice cultivation. There is occasional cattle lifting by tiger, leopard and dhole, while other causes of damage to agriculture and horticulture are wild boar, porcupine, birds and monkeys. However, there is no policy for compensation of farmers for crop damage by wild herbivores. Crops around the forest edges provide accessible nutritious food for a variety of wildlife, while the presence of livestock grazing in and around the forests inevitably attracts predators such as leopard and tiger. Thus, an increase of population of

wild animals may lead to substantial increase in human-animal conflict resulting crop damage, loss (kill, injury) of domestic animals and killing/ or injury of human being within the fringe area. Indigenous/tribal peoples residing within the project landscape are closest to the human-wildlife interface and most vulnerable to incidences of crop damage, killing of animals and human being. The project will need to explicitly and proactively seek to engage such people in its livelihood support and HWC response activities.

- 4. Enforcement of regulation on open grazing:** Project will strengthen the enforcement of bans on open grazing since grazing is considered as one of the drivers of deforestation and natural habitat degradation. Open grazing is common and unproductive or unwanted cattle are left near the forest by people from neighbouring and nearby villages in Dudhwa NP, especially by the Tharu community. While the ban already exists in the some of the Community Conserved Areas in the proposed project area, the local communities including indigenous/tribal peoples' practice of open grazing will be targeted for change as part of Project activities. There is a probability that access rights of these communities to forest, grassland and wetland areas might be restricted while implementing the project activities like habitat management and rehabilitation interventions in Dudhwa, which will include the management of human and grazing access, and fencing of grazing exclosures. In Pakke-Eaglenest Landscape, project activities will seek to strengthen forest management and rehabilitation through regulated community-based forest management to ensure forest connectivity is maintained in PA buffer zones (ESZ), which also required enforcement of open grazing. Thus, implementation of ban on open grazing in forests under PAs may restrict access to grazing of the livestock herders that could impact their livestock productivity and may reduce the income of the households. The households rearing large number of cattle and forest grazing dependent HHs will be the most vulnerable due to bans on open grazing.
- 5. Disruption of Indigenous Peoples' traditional knowledge, skills, and cultural practices and social cohesion:** Considering the Indigenous/tribal Peoples' distinct cultures and identities and their frequent marginalization from the mainstream population surrounding their communities, project interventions (e.g. promotion of tourism activities, promotion of forest based enterprises for income generation and livelihood enhancement) may run the risk of imposing changes to or disruption of their culture and social organization, whether inadvertently or not. While indigenous/tribal communities may welcome and seek change, they can be vulnerable when such change is imposed from external forces without obtaining their consent in a culturally prescribed procedure. Moreover, since many indigenous/tribal communities' culture and social organization are intertwined with their land and natural resource use practices, changes to these practices may result in unintended and unexpected changes in culture and social organization which may lead to social disruption and conflicts within and between communities and other stakeholders. This is relevant for all types of activities, but particularly for activities that aim to change livelihood and natural resource use practices. Similarly, ecotourism activities may bring adverse impacts to indigenous/tribal communities, particularly communities with little previous contact with people from the outside (this may be the case even for activities that aim at valuing local culture).
- 6. Dependency on external support:** Interventions supporting alternative livelihoods and incentives with new institutional structures may lead to indigenous/tribal communities' dependency on continued external support degrading their own cultural competency. Indigenous Peoples, for instance, may experience difficulties engaging with the market economy through alternative livelihood activities that they may be unable to sustain, at least on equitable basis, without establishment of strong market links. They may also become dependent on new livelihoods that are not sustainable environmentally as well as socially, perhaps because they were developed without due consideration of their social and cultural contexts and views.

- 7. Inequitable participation & further marginalization of IPs and tribal communities:** The findings of community consultations conducted during PPG suggest that marginalized groups including tribal, scheduled caste and youth have limited access to information and awareness of their rights and entitlements. Besides, local indigenous communities are not fully aware about FPIC procedures and understand their rights on this. Project may exclude marginalized/vulnerable groups from participatory processes and/or project benefits due to lack of effective community engagement and support. The costs (e.g. in time and resources) of participating in project activities such as protected area management activities, monitoring and enforcement, even in cases of co-management, may outweigh the benefits to local communities. Given the unequal power relations and hierarchical structures in the society, issues of inequity and social exclusion of indigenous peoples, women, poor, landless, to be critical in local governance institutions and resource management regimes. Meaningful representation of these marginalized groups in governance institutions are often poor therefore resulting in inequities in distribution of benefits. Besides, the proposed activities may enhance inequalities and fuel social conflicts between project beneficiaries and non-beneficiaries.
- 8. Restrictions of use of timber and NTFPs:** The project intervention areas within landscapes are mainly inhabited by IPs and tribal communities with a predominately rural population practicing a subsistence agrarian lifestyle that is labour intensive and heavily dependent on natural resources, including collection of fuel wood, fodder for animals, materials for construction, and a wide variety of products for various local uses (thatch, food, medicine, etc.). The project aims to protect the forested lands in corridors and PA buffer zones by improving conservation and controlling overharvesting of forest products. Such activities may have livelihood implications (loss of livelihood (hunters, fishermen, farmers, traditional medicine men, small scale miners etc.)) causing restriction of access to communal resources.

### **5.3 Potential Project Restrictions on Access and Livelihoods**

While the proposed project is unlikely to cause displacement of people, the project may restrict access to natural resources such as collection of fodder, roofing and fencing materials, firewood and other forest products. Open grazing of livestock will be impacted given the project activities include grassland and forest management and rehabilitation. The key demonstration sites of the project in Arunachal and Uttar Pradesh will be in the areas where there is a high concentration of indigenous/tribal population of subsistence farming communities. These communities depend on forest, grassland and wetland habitats for fuel, fodder, grazing land and numbers of NTFP products for domestic consumption as well as for sale. There is a high probability that access rights of these communities to forest, grassland and wetland areas might be restricted while implementing the project activities like habitat management and rehabilitation interventions in Dudhwa, which will include the management of human and grazing access, and fencing of grazing enclosures. In Pakke-Eaglenest landscape, activities under the same output will seek to strengthen forest management and rehabilitation of critical bottleneck areas to restore and maintain a sustainable forest connectivity in PA buffer zones/eco sensitive zone (ESZ). These activities will involve developing site-specific plans for forest management and rehabilitation to strengthen forest corridors by engaging local communities and other stakeholders, linked to incentives including cultivation and sustainable harvesting of NTFP such as medicinal plants where appropriate. The project will support implementing forest corridor improvements for critical bottlenecks according to the agreed plans through a participatory approach that engages communities in rehabilitation work; supporting participatory monitoring and evaluation of the use of improved areas by wildlife including wild cats; and addressing forest policy, planning and procedural weaknesses that allow unsustainable forest use to occur and promote uptake of SFM including regulated community-based forest management. Consequently, local communities may lose sources of income and livelihood and also be restricted in accessing communal resources. Following are the key issues and risks of potential Project restriction of access to resources and livelihoods of IPs and Tribal peoples in the project areas.

- 1. Reduction of rights to access to natural resources:** Access rights of indigenous/tribal peoples may be restricted while developing landscape master plans that include preparation of grassland and wetland management plans and facilitate implementation of habitat management through management of human and grazing access, and fencing of grazing exclosures and removal of invasive species; forest management rehabilitation plan and other forms of land and natural resource use planning. During the consultation meetings in the project areas, the indigenous/tribal peoples also strongly raised their concerns of possible curtailing of rights while developing wild small cat conservation & management modalities based on SFM including regulated community-based forest management - for each targeted corridor and in PA buffer zones (ESZ) in the project landscapes.
- 2. Loss of sources of income and livelihoods:** The objective of the proposed project is to secure populations and habitats of small wild cats subject to habitat encroachment, human-wildlife conflict, poaching and illegal trade through addressing forest policy, planning and procedural weaknesses that allow unsustainable forest use to occur and promote uptake of SFM including regulated community-based forest management. It also aims to help in improving forest monitoring, open grazing, reducing illegal harvesting and encroachment including strengthening patrolling and law enforcement to control illegal encroachment. It facilitates implementation of cat habitat management through management of human and grazing access, and fencing of grazing exclosures and removal of invasive species. It means local forest use is only permitted if the habitat quality and structure is not significantly changed and disturbance to the protected animals is not long-lasting and kept to a minimum. Such activities under the project will have potential impact on the rights, land uses and access to natural resources of indigenous/tribal peoples resulting in a loss of their source of income and livelihood. Rights of access of supply of timber, firewood, fodders, and forest resources for community needs will be constrained.
- 3. Loss of livelihoods by Escalation of Human Wildlife Conflict (HWC):** HWC is rampant in all project landscapes and is locally severe, with a large impact on local IPs and tribal communities. Small cats are not a source of conflict, with only the occasional case of raiding chicken coops reported. In Dudhwa landscape, conflict with elephant and leopards is a serious problem in Katerniaghat Sanctuary and Dudhwa NP with serious damage to agricultural crops by elephants. Wild boar, nilgai and porcupine also cause considerable crop damage. In Pakke-Eaglenest landscape, conflict with elephants was reported to be a serious problem, forcing many farmers to abandon rice cultivation. Under these circumstances, while conserving the targeted wild cat species, a wide range of other globally significant wildlife inhabiting the same landscapes will be conserved simultaneously that may escalate human wildlife conflicts causing more serious damage to agricultural crops and domesticated animals and killing/ or injury of human being within the fringe area. It will have a huge implication for food and financial security of local communities depending on subsistence farming. Indigenous/tribal peoples residing within the project landscape are closest to the human-wildlife interface and most vulnerable to incidences of crop damage, killing of animals and killing / or injury of human being.
- 4. Regulation of open grazing:** The Project will strengthen the existing mechanism and practices to regulate open grazing since grazing is considered as one of the drivers of deforestation and natural habitat degradation. Open grazing is common and unproductive or unwanted cattle are left near the forest by people from neighbouring and nearby villages in Dudhwa NP, especially by the Tharu community. While the ban already exists in the some of the Community Conserved Areas in the proposed project area, the local communities including indigenous/tribal peoples' practice of open grazing will be targeted for change as part of Project activities. There is a probability that access rights of these communities to forest, grassland and wetland areas might be restricted while implementing the project activities like habitat management and rehabilitation interventions in Dudhwa, which will include the management of human and grazing access, and fencing of grazing exclosures. In Pakke-Eaglenest Landscape, project activities will seek to strengthen forest management and rehabilitation through regulated community-based forest management to ensure forest connectivity is maintained in



PA buffer zones (ESZ), which also requires enforcement of open grazing. Thus, implementation of ban on open grazing in forests under PAs may restrict access to grazing of the livestock herders that could impact their livestock productivity and may reduce the income of the households. The households rearing large number of cattle and forest grazing dependent HHs will be the most vulnerable due to bans on open grazing.

**5. Restriction on fishing and other river-based resources**

The habitat conservation priorities for Dudhwa Landscape are to restore key habitats for fishing cat, especially the natural grassland and wetland habitats in Sujauli Range of Katarniaghat WS & South Sonaripur Range of Dudhwa TR. Fishing is currently not allowed in the Core Areas but allowed in Buffer Area. The wetland habitat management for fishing cats may include regulation on fishing. The exclosures would be applied for limited areas linked to monitoring of changes in habitat condition. Communities having customary/formal rights to harvest fish from the designated river/stream/water body would be regulated through grassland and wetland management plans.

**6. Restrictions of use of timber, grasslands and NTFPs:** The project interventions area within landscapes are mainly inhabited by IPs and tribal communities with a predominately rural population practicing a subsistence agrarian lifestyle that is labour intensive and heavily dependent on natural resources, including collection of fuel wood, fodder for animals, materials for construction, and a wide variety of products for various local uses (thatch, food, medicine, etc.). The project aims to protect the forested lands, grass lands and wetlands in corridors and PA buffer zones by improving conservation and controlling overharvesting of forest products. Such activities may have livelihood implications (loss of livelihood (hunters, fishermen, farmers, traditional medicine men, small scale miners etc.)) causing restriction of access to communal resources.

Since the project is likely to restrict access to natural resources and livelihoods activities of the IPs/tribal communities within the proposed project areas, the WWF’s Policy on Involuntary Resettlement will be triggered but physical relocation is not envisaged by the project or permitted by the GEF Agency (WWF). Thus, a Process Framework has been prepared as per WWF’s Safeguards Integrated Policies and Procedures (SIPP). The specific project activities with potential restriction on access and livelihood are described below:

Table 5.2 Project outputs, summary of proposed activities and potential risk of restriction on access and livelihood

Outputs	Summaries of the proposed activities	Potential risk involved from access restrictions and livelihood impacts
<b>Component 2. Strengthened management and protection of wild cat landscapes</b> <i>(Outcome: Improved protection and management of wild cats and habitats in target PAs, corridors and buffer zones in wild cat landscapes)</i>		
Output 2.1: Targeted interventions to improve wild cat habitat and prey management demonstrated in project landscapes	<ul style="list-style-type: none"> <li>Forest, grassland and wetland habitat management and rehabilitation interventions in Dudhwa, which will include preparation of grassland and wetland management plans and facilitate implementation of habitat management through management of human and grazing access, and fencing of grazing exclosures and removal of invasive species (2.1.3 &amp; 2.1.4).</li> </ul>	<p>Potential of restriction of access to natural resources such as collection of fodder, roofing and fencing materials, firewood and other forest products; and also grazing of livestock will be impacted given the project activities include grassland and forest management and rehabilitation.</p> <p>The income sources and means of livelihoods of IPs and tribal communities inhabiting in and around of the project areas who depend on forest, grassland and wetland habitats for fuel, fodder, grazing land and NTFP products like mushrooms and medicinal herbs will be</p>

		<p>impacted. Thus, there is a possibility that the food and financial security of local communities dependent on natural resources for their lives and livelihoods might be affected.</p> <p>While conserving the targeted wild cat species, a wide range of other globally significant wildlife inhabiting the same landscapes will be conserved simultaneously that may escalate human wildlife conflicts causing more serious damage to agricultural crops. It has a huge implication for food and financial security of local communities depending on subsistence farming.</p>
	<ul style="list-style-type: none"> <li>• In Pakke-Eaglenest Landscape, activities under the same Output will seek to strengthen forest management and rehabilitation through development and implementation of forest corridor improvements plans for critical bottleneck areas considering agroforestry options for occupied lands, including NTFP and medicinal plant cultivation (See Output 3.4) to ensure maintained forest connectivity in PA buffer zones (ESZ) [2.1.7 &amp; 2.1.8]</li> </ul>	<p>The project supports addressing forest policy, planning and procedural weaknesses that allow unsustainable forest use to occur and promote uptake of SFM including regulated community-based forest management. There is a probability of curtailing of management rights of these communities of forest and other common resources and access to these resources might be restricted while implementing the project activities. The communities in Pakke-Eaglenest landscape wanted assurance that there will not be any forms of restriction of access to natural resources in the name of “cat conservation”. Thus, there is a possibility that the food and financial security of local communities dependent on natural resources for their lives and livelihoods might be affected.</p> <p>While conserving the targeted wild cat species, a wide range of other globally significant wildlife inhabiting the same landscapes will be conserved simultaneously that may escalate human wildlife conflicts causing more serious damage to agricultural crops. It has a huge implication for food and financial security of local communities depending on subsistence farming.</p>
	<ul style="list-style-type: none"> <li>• Reduction of forest degradation in PA buffer zones (ESZ) through improved regulation of timber extraction and sustainable forest management through development and implementation of site-specific plans for forest management and rehabilitation engaging local communities and other stakeholders, linked to incentives (see Output 3.4) including cultivation and sustainable harvesting of NTFP such as medicinal plants where appropriate (2.1.7)</li> </ul>	<p>The project aims to protect the forested lands in corridors and PA buffer zones by improving conservation and controlling overharvesting of forest products. Such activities may have livelihood implications (loss of livelihood (hunters, fishermen, farmers, traditional medicine men, small scale miners etc.)) causing restriction of access to communal resources.</p>

**Component 3. Community stewardship and human-wildlife coexistence in wild cat landscapes**  
*(Outcome: Enhanced community-based management of wild cats and habitats, with reduced threat reduction including HWC and improved local livelihoods)*

<p>Output 3.4: Local livelihood options diversified to encourage reduced pressures on wild cat habitats</p>	<p>Incentives will be provided to support community participation in wild cat conservation and reduce pressure on wild cat habitats through diversification of local livelihoods. Uptake of more sustainable land and habitat management practices will be supported by value addition to agriculture and livestock products, and establishment/enhancement of tourist facilities and homestay tourism programs. (3.4.1-3.4.15). The project will provide sub-grants to support livelihood diversification, including:</p> <ul style="list-style-type: none"> <li>• agricultural value addition such as alternative crops in HWC areas and assistance with processing and marketing agricultural products (market linkages) – such as peppermint and turmeric in Dudhwa; medicinal plants in Pakke-Eaglenest;</li> <li>• livestock management to reduce open grazing in natural areas (including collecting up abandoned cattle and developing and operating care facilities; fencing of vulnerable habitats, fodder improvement, stall feeding, veterinary assistance, with focused support to community members reliant on open grazing);</li> <li>• small-scale green enterprises (e.g. NTFP processing, sustainable timber processing, handicrafts, homestay ecotourism, MAP cultivation) and business plan development to incentivize community-based habitat conservation</li> </ul>	<p>Risk of disruption of Indigenous/tribal Peoples' traditional knowledge, skills, and cultural practices and social cohesion if the project supported incentives and the livelihood options will be designed and implemented in a way that is not culturally appropriate or without obtaining prior consent of communities. It will have long-lasting socioeconomic and cultural repercussion</p> <p>Interventions supporting alternative livelihoods and incentives structures may lead to indigenous/tribal communities' dependency on continued external support exhibiting a sort of 'dependency syndrome'.</p>
<p>Output 3.5: Targeted interventions in HWC hotspots to implement mechanisms for the prevention and management of HWC adjacent to PAs and corridors.</p>	<p>HWC hotspots will be identified and innovative mechanisms for preventing and managing HWC in areas adjacent to PAs and corridors demonstrated. This will involve the completion of SAFE workshops with communities and local stakeholders applying the WWF SAFE Framework, followed by investment in community-based HWC solutions (e.g. solar electric fencing) that respond to the identified issues.</p>	<p>If the IPs and tribal communities are excluded in the planning and implementation process of the local HWC plans (including financing of responses such as solar fencing, alternative crop trials, crop proofing, alarm systems, toilets, etc.) this may expose risk on indigenous and tribal communities' traditional modes of livelihoods. There is the chance that this could have unintended adverse impacts on the food and financial security of local communities dependent on natural resources.</p> <p>Project activities and approaches to HWC management might not fully incorporate or reflect views of IPs/Tribal communities including women and girls and ensure equitable opportunities for their involvement and benefits from project.</p>

## 6 Impact Mitigation Planning

Framework approach of impact assessment and mitigation has been adopted for this project since specific intervention sites within the landscapes (targeted buffer zones and corridors) where activities will be financed are not known as they would be chosen during project implementation. Mitigation plans like IPPs and LRPs are usually prepared upfront if the exact location and activities are confirmed and known. Thus, an IPPF/PF has been prepared now and IPP/ LRP (in case to access to alternative resource/livelihood) will be prepared as necessary when we know specifics on exactly where interventions will be executed and which communities are involved.

This indigenous people planning framework (IPPF) provides guidance for the screening and assessment of indigenous peoples impacts along with requirements and process to obtain FPIC from affected indigenous and tribal peoples and for the preparation of indigenous peoples plans for components 2 & 3 subprojects/ activities that are identified and prioritized during the project execution. The Process Framework (PF) describes a process to be established by which members of potentially affected communities (due restriction of access to resources) participate in designing, implementation and monitoring of relevant project activities to mitigate the impacts.

The IPPF/ PF has identified the steps for detailed screening and assessment for the project's potential social and environmental risks including project restriction of access to resources & livelihood, and for preparing and approving the required management plans for avoiding, and where avoidance is not possible, reducing, mitigating and managing these potential adverse impacts. The screening, social assessment, planning and implementation of the management plans (IPPs and LRPs) and their monitoring and evaluation will be the responsibilities of PMU using project budget allocated for Components 2 and 3.

Table 6.1 Steps to Accomplish Impact/Risk Mitigation Planning, Execution & Monitoring

Steps	Activities	Responsibility (See 8.3 & Table 8.1)	When
1.	Identification of the project site for execution of activities/subprojects under component 2 and 3	PMU & LPMUs with consultations with government line agencies and feedback received from community consultations	I & II years of project execution
2.	Screening of the subproject/activity using both template (Annex 4 and table 7.1)	Safeguard Specialist and Social Mobilizer at LPMU	I, II & III years
3.	Outcomes of the screening exercise would be: 1. <b>Scnearieo 1:</b> If screening indicates Project restriction of access to resources and sources of livelihood and other impacts on IPs/tribal peoples and also confirms FPIC requirement (using table 7.1 template), conduct social assessment of the subproject/activity (See 6.1.2) 2. <b>Scnearieo 2:</b> If Screening conforms no impacts on IPs, prepare an action plan to continue consultations with IPs and consider their feedback while designing and implementing the activities (See 7.3.1)	Safeguard Specialist and Social Mobilizer at LPMU	I, II & III years
4.	1. Start process of obtaining FPIC with the affected IPs and Tribal communities for the activity/subproject that required FPIC (See box 7.1 for steps and process) and agree on an action plan or IPP	Safeguard Specialist and Social Mobilizer at LPMU with guidance from Safeguard analyst at PMU	II & III years

	<p>2. Initiate process for preparation of IPP (See 6.1.3) for the activity/subproject impacting IPs &amp; Tribal communities where FPIC is NOT required</p> <p>3. Initiate process for designing LRP or action plan (See 6.3) to restore livelihood and ensure access to common resources where access to common resources and sources of livelihood of local communities are restricted by execution of the specific activity/subproject</p> <p>4. Establish and operate GRM (See chapter 9, table 9.1)</p>		
5.	Implement IPP; FPIC agreed action plan/IPP and LRPs	Safeguard Specialist and Social Mobilizer at LPMU with guidance from Safeguard analyst at PMU	II, III and IV, V & VI years
6	Internal Monitoring (Section 10.2)	Safeguard Specialist and Social Mobilizer at LPMU with guidance from Safeguard analyst at PMU	II-VI years
7	Third party Monitoring (Section 10.3)	Third party/ independent Consultant	Midterm & Final Term

## 6.1 Steps for Formulating an IPP

WWF’s Policy on Indigenous People requires that, regardless of whether Project affected Indigenous Peoples are affected adversely or positively, an IPP needs to be prepared with care and with the participation of affected communities. The requirements include screening to confirm and identify affected IP/tribal groups in the project areas, social analysis to improve the understanding of the local context and affected communities; a process of free, prior, and informed consent with the affected Indigenous Peoples’ communities in order to fully identify their views and to obtain their broad community support to the project; and development of project-specific measures to avoid adverse impacts and enhance culturally appropriate benefits. Minimum requirements for project working in areas with Indigenous/tribal Peoples are:

- Identification of Indigenous/tribal Peoples through screening;
- Assessment of project impacts;
- Consultations with affected IP communities following FPIC and obtain their broad community support;
- Development of sites specific indigenous peoples plan (IPP) to avoid adverse impacts and provide culturally appropriate benefits; and
- In (sub) projects with no impacts, the requirements could be limited to consultations during implementation to keep local communities informed about project activities and documentation of all consultations held.

### 6.1.1 Screening for Indigenous/tribal Communities

WWF’s Policy on Indigenous People requires screening for indigenous peoples to assess risks and opportunities and to improve the understanding of the local context and affected communities. Activities will be conducted within PAs, buffer zones (demarcated as Eco-Sensitive Zones up to 10km around each PA) and identified tiger corridors within these landscapes. Since the specific intervention sites– villages and forest areas/corridors, grasslands and wetlands – within the targeted PA buffer zones (ESZ) and corridors of the landscapes will be determined during implementation based on the indicators developed (like importance of the area for small cats habitat; KBA/Globally significant biodiversity values; level of threat facing small cats and their habitats, biodiversity values, potential socio-economic benefits to local populations, prevalence of threats like HWC, and potential for demonstrating positive engagement in SFM and biodiversity conservation that benefits IPs and tribal communities); screening of indigenous/tribal

peoples is required simultaneously or subsequently.

The screening and social assessment (if required) will be carried out when the subprojects/ activities along with exact site under components 2 & 3 will be identified and prioritized during the project implementation phase using project budget allocated for Components 2 and 3. The screening will be conducted by the safeguard specialist with support of social mobilizers procured by the Landscape Planning and Management Unit (LPMU) with oversight from the Safeguards Analyst stationed in National Project Management Unit/ or State Project Management Units. During the screening, the safeguard specialist and social mobilizers will visit villages (revenue and forest) and forests (Reserved Forest, Community Conserved Areas and Open Access (Unclassed State Forest) selected for Component 2 and 3 site-based implementations to prepare an inventory of all indigenous peoples (IP)/tribal communities' presence there. Public meetings with IP/tribal communities including representatives of Indigenous Peoples Organizations (IPOs)/tribal councils or village council of tribes will be organized at a pre-announced place and date to provide information on the project and subproject components. Then, a screening exercise will be undertaken using a screening checklist (Annex 4) with the help of tribal leaders/chiefs or a local facilitator. The key objective of screening would be to get answers to the question —will the proposed project activities affect indigenous/tribal communities that would require further due diligence, free, prior and informed consent (FPIC) and formulation of an IPP? The answers to this question will help to identify likely impacts of project activities on indigenous/tribal communities. Where such activities are considered to have potential impacts on indigenous peoples, a further detailed assessment will need to be undertaken in order to design the IPP. The process for informed consultation and participation will have to be undertaken. A framework for obtaining free, prior and informed consent is discussed in Chapter 7. If the screening findings confirm likely impacts on IP/tribal communities, the project will engage qualified and experienced experts to carry out a social assessment of the affected IP/tribal families and community. The impacts on IPs/tribal communities should be considered significant, if the project or project component positively or negatively: (i) affect their customary rights of use and access to land and natural resources; (ii) change their socio-economic status and livelihoods; (iii) affect their cultural and communal integrity; (iv) affect their health, education, sources of income and social security status; and/or (v) alter or undermine the recognition of indigenous knowledge.

### **6.1.2 Social Assessment**

The presence of IPs/tribal communities in the project sites require a social assessment to generate the necessary baseline information on demographics, social, cultural, and political characteristics of affected IP communities as well as the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend. A social assessment process was carried out as part of the preparation of safeguards documentation, drawing on documents provided by project preparation teams, and consultations with site teams and likely affected IPs/tribal communities. While preparation of this IPPF/PF an attempt was made to identify potential adverse and positive effects of the project (see sections 5.2 and 5.3) and the need for additional analysis and consultations have been outlined and incorporated into project planning and budgets, for site-specific Indigenous Peoples Plans (IPPs), which will define in greater detail the implementation of activities to mitigate project impacts on indigenous peoples at each landscape.

The main purpose of the social assessment carried out during project preparation was to evaluate the project's potential positive and adverse impacts on the affected Indigenous/tribal communities. It was also used to inform project preparation to ensure that project activities are culturally appropriate, will enhance benefits to target IPs/tribal groups, and is likely to succeed in the given socioeconomic and cultural context. In this way, the assessment informed the preparation of the design of the project as well as any measures and instruments needed to address issues and concerns related to Indigenous/tribal communities affected by the project.

During project execution, indigenous peoples (IP)/tribal communities may be impacted either positively or adversely due to the following project interventions, which require further assessment and mitigation planning:

- targeting interventions to improve or rehabilitate key habitats used by wild cats and to manage their prey base (Output 2.1), including measures such as forest, grassland and wetland habitat management, and removal of invasive species;
- strengthening of the governance and capacity of existing community and village-level institutions (e.g. Gram Panchayats, Women Self-Help Groups, Eco-Development Committees (EDC), Forest Rights Committees (FRC), Tribal Village Councils (Pakke and Eaglenest), cooperatives, etc.) to take a greater role in wild cat conservation in support of landscape-level strategies (Output 3.1) which may include support to reduce forest encroachment, control or ban open grazing;
- various incentives to support community participation in wild cat conservation and reduce pressure on wild cat habitats through diversification of local livelihoods (Output 3.4) and
- support for sustainable land and habitat management practices by value addition to agriculture and livestock products, NTFP plantation and harvest, and establishment/enhancement of tourist facilities and homestay tourism programs.

The aforementioned activities may require site-specific Indigenous Peoples Plans (IPPs) to ensure equitable project benefits sharing with indigenous/tribal communities present at the project sites. For this purpose, screening and a social assessment (SA) will be conducted in consultation with the IP/tribal communities to identify project-affected IPs, potential impacts, and severity of impact among the different IP/tribal groups affected by the (sub)project and selection of suitable mitigation and enhancement measures. The social assessment should gather relevant information on demographic data; social, cultural and economic situation; and social, cultural and economic impacts of the project or project component. For small scale projects with no direct impacts on indigenous communities, the report is short and includes a brief overview of the indigenous/tribal communities affected by the project, project activities as they relate to the local communities, how project implementation will address the particular circumstances of Indigenous Peoples, and how they will participate and be consulted during implementation. A generic content of the social assessment is attached in Annex 6,

### **6.1.3 Preparation of Indigenous Peoples Plan (IPP)**

Based on the findings of the social assessment, an intervention site specific IPP will be prepared to address the aspirations, needs, and preferred options of the affected Indigenous/tribal communities, and present them with various options of possible interventions which keep their distinctive socio-cultural status intact. The role and responsibilities of preparation, implementation and monitoring of IPP are discussed in Section 8.3, Table 8.1. The IPP aims to strengthen the capacity of the affected indigenous/tribal community to encourage them to participate in and derive benefits from the project interventions. The principal elements of an IPP may include but is not limited to:

1. The proposed plan of interventions for IPs/tribes should be prepared considering best options and approaches that are in accordance with affected individuals and communities;
2. Scope and impact of adverse effects of the project are assessed, and appropriate mitigation measures designed;
3. Social and cultural context of affected IPs and their traditional skill and knowledge in natural resource management should be considered;
4. Regular consultation shall be held with the IPs, including the women, to seek their informed participation in designing mitigation measures and project intervention at all stages of project preparation and implementation. To achieve this, information sharing, disclosure meetings, workshops, and distribution of pamphlets in local language shall be carried out;

5. Community organizations, NGOs, and consultants experienced in executing IP development plans or projects will be engaged to prepare IPP;
6. The IPP should provide a set of monitoring indicators for periodic monitoring of the progress of planned activities incorporated in the IPP; and
7. PMU/executing agency will prepare an IPP implementation schedule, which will be periodically monitored by responsible project officials as well as an independent/external monitoring agency; and implementing agency will also allocate sufficient budget for IPP implementation and a financing plan to ensure smooth progress.

The main thrust of the IPP is to address the potential adverse impacts of the proposed project, taking into consideration the marginality and vulnerability status of the indigenous/tribal communities in the project landscapes. The IPP will be formulated in such a way that the IP/tribal groups will have development options built into the project design which are in accordance with their needs, and at the same time preserve their distinctive sociocultural identity. The IPP will also focus on developmental strategy that encourages and strengthens their existing skill so that the IPs are able to derive benefits from the project intervention. An outline of IPP has been provided in Annex 5.

#### **6.1.4 Monitoring of IPP implementation**

Monitoring and evaluation (M&E) will facilitate resolving problems that arise during execution by providing solutions without delay. The IPP should provide a set of monitoring indicators for periodic monitoring of the progress of planned activities incorporated in the IPP. For subprojects requiring IPP will be monitored engaging qualified and experienced external experts/third party (it can be an NGO having adequate experience of similar works) to verify compliance of IPP implementation. The third-party monitoring and evaluation will be done twice during the project span--midterm and final term. The external monitor/third party will advise Executing Agency on compliance issues related to the IPPs. If any significant IP issues are identified, the Executing Agency will prepare a corrective action plan to mitigate those and/or update approved IPP. The Executing Agency will implement the corrective action plan and take necessary steps to follow up the effectiveness of those corrective measures. The Executing Agency will prepare periodic monitoring reports on the progress of IPP implementation, highlighting compliance issues and corrective actions taken, if any. The costs of monitoring requirements will be included in project budgets (See Chapter 10 for details).

#### **6.1.5 Grievance Redress Mechanism**

Redressing grievances of the affected IPs is vital, particularly if project impacts result in displacement of any IP community or individuals, disrupt livelihood, affects their customary rights over land, forest, water, and other natural resources, or put obstacles to cultural heritage sites. Grievances may be caused by any of these adverse impacts and need to be resolved as quickly as possible, with consent and consultation with the IP/tribal community or their representatives. A framework for GRM for IPP/LRP has been discussed in Chapter 9.

#### **6.1.6 Free, Prior and Informed Consent (FPIC)**

As a part of preparation of IPPF and PF, a process of free, prior and informed consent with the affected Indigenous/tribal communities has already been initiated. The indigenous/tribal peoples of the project area were informed about the project and likely project activities, and their views and suggestions for project design as well as IP development plan were collected so that broad community support can be obtained. The FPIC process was initiated as part of the social assessment while preparing the IPPF and PF, although consultations are likely to continue during project design and implementation phases. The extent of consultations depends on the project activities, their impacts on local communities and the circumstances of affected Indigenous/tribal Peoples. It is decided by Safeguard Specialist stationed in LPIU after analyzing the screening findings. The FPIC must be obtained before the activities requiring FPIC can be started. An



FPIC screening (using Checklist provided in Table 7.1) will be carried out for appraising whether an activity may require an FPIC Process. At a minimum (for projects with no impacts or direct interventions with the indigenous communities), they are informed about the project, asked for their views on the project, and assured that they will not be affected during project implementation. For projects affecting indigenous communities, whether positively or adversely, a more elaborate consultation process is required to obtain broad community support. The detailed requirements with a framework with steps to be followed to obtain FPIC have been discussed in Chapter 7, section 7.3.2.

## **6.2 Livelihood Restoration Measures and Access to Alternative Resources**

Livelihoods-related support during project implementation will be provided to the households of all communities (both IPs and non-IPs) impacted by project-induced restrictions of access to natural and community resources within the targeted PA buffer zones (ESZ) and corridors of the project landscapes. The PMU Project Manager with technical inputs from the Safeguards Analyst at PMU and Safeguard specialist at LPMUs will undertake screening for likely access restrictions to local communities. If the screening confirms and identifies HHs affected due to access restriction to natural resources, a social assessment process based on participatory consultations with affected peoples will be carried out to generate the necessary baseline information on demographics, social, cultural, and economic characteristics of affected communities as well as the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend and potential impacts and the extent of restriction of access to resources along with suitable mitigation and enhancement measures including options for alternative access to similar resources. Similar process is also discussed in 6.1.2 in detail.

Based on the findings of the screening and social assessment, an action plan usually known as Livelihood Restoration Plans (LRP) will be prepared after holding further meaningful consultations with affected peoples and stakeholders which will provide tailored livelihood support and benefit sharing for affected persons, groups and communities. WWF requires that compensation be paid before physical or economic displacement, but it may take longer to fully implement some aspects of the LRP, such as the income restoration program. All the affected communities and households around the project-supported protected areas, targeted PA buffer zones (ESZ) and corridors will be provided with opportunities to restore their livelihoods to at least pre-project levels.

While proposing possible restoration measures for livelihood impacts, the Safeguards specialist and Safeguard consultants at field level will encompass (1) identification and ranking of site-specific impacts (2) Criteria and eligibility for livelihood assistance; (3) the rights of persons who have been either customarily or legally/illegally using forest resources or the associated land for subsistence to be respected (4) brief description and identification of available mitigation measures alternatives, taking into account the provisions of applicable local legislation, and the available measures for mitigation actively promoted via project activities and considering any additional sound alternatives, if proposed by the affected persons.

In the case of alternative resources, measures will include identification of these resources with the active involvement of the affected persons/ communities and assistance to access these resources.

Mitigation and livelihood restoration and enhancement measures for potential project restriction on access to resources and livelihood have been proposed in Table 6.2. These are, however, only the mitigation guidelines given to address the significant impacts predicted so far based on consultations with stakeholders and expert options. The proposed project has components with associated activities which will support livelihood restoration programs. The Output 3.4 (local livelihood options diversified to encourage reduced pressures on wild cat habitats) for example, provides various incentives to support

community participation in wild cat conservation and reduce pressure on wild cat habitats through diversification of local livelihoods. It proposes to provide sub-grants to support livelihood diversification (output 3.4.2), including:

- agricultural value addition such as alternative crops in HWC areas and assistance with processing and marketing agricultural products (market linkages) – such as peppermint and turmeric in Dudhwa; medicinal plants in Pakke-Eaglenest;
- livestock management to reduce open grazing in natural areas (including collecting up abandoned cattle and developing and operating care facilities; fencing of vulnerable habitats, fodder improvement, stall feeding, veterinary assistance, with focused support to community members reliant on open grazing);
- small-scale green enterprise development (e.g. NTFP processing, sustainable timber processing, handicrafts, homestay ecotourism, MAP cultivation), business plan development to incentivize community-based habitat conservation and facilitation of market access;

Besides, project will promote and facilitate livelihood diversification and sustainable development based on the following priorities for each landscape through subcontracted packages of technical assistance:

- Sugarcane farming communities around Dudhwa NP – wild cat -friendly agricultural practices.
- Rural communities adjacent to Katerniaghat WLS – alternatives to cattle grazing, thatch and fodder options, gaushalas for abandoned cattle, homestay promotion with interested beneficiaries etc.
- Tharu communities on northern side of Dudhwa NP – wild cat -friendly agricultural practices, alternative energy, handicraft development, value addition to agricultural crops including peppermint, turmeric, medicinal plants and aloe vera.
- Pakke - alternative livelihoods such as homestay ecotourism development, sustainable community forest management, home/kitchen garden development and medicinal plant cultivation, youth training and employment (eg as nature tourism guides), weaving handicrafts.
- Eaglenest / Bugun - administration and management of village level institutions, alternative livelihoods such as homestay ecotourism development, sustainable community forest management, home/kitchen garden development, sustainable harvesting of NTFP and medicinal plant cultivation, youth training and employment (e.g. as nature tourism guides), weaving handicrafts.

These activities will be integrated and also considered while developing Livelihood Restoration Plans (LRP). Demand-driven approaches may be effective. Communities can choose the types of alternative livelihoods so as to encourage the development of sustainable forest management.

Table 6.2 Potential Issues of Access Restriction other Social Impacts and Corresponding Mitigation Measures

Potential Social & access restriction issues/ impacts	Mitigation measures to be undertaken in Project execution	Responsibilities
Loss of livelihood (wood collector, fishermen, cattle owner, farmers, traditional medicine men, firewood collectors and seller etc.)	Adequate consultations to be held with stakeholder <sup>32</sup> and right holder <sup>33</sup> communities to agree on alternative livelihoods  Alternative livelihood schemes to be discussed, agreed upon and provided for affected persons/ groups. The livelihood options to be built on and be based upon the traditional skills, knowledge, practices and the culture/world view of the affected	Ministry of Environment, Forests and Climate Change (MoEFCC)

<sup>32</sup> Stakeholders for the project are those whose interests are potentially affected by the project activities or who can affect and influence the project.

<sup>33</sup> Right-holders are those individuals, groups and organizations (including both government and nongovernment) whose existing rights, whether formally recognized or granted based on customary law might be potentially affected by the project.

	<p>peoples/groups and persons</p> <p>Provide project-related livelihood and other opportunities proposed under Component 3, output 3.4</p> <ul style="list-style-type: none"> <li>• Training on better agricultural practices for farmers for improving their income</li> <li>• Exposure visit to Krishi Vigyan Kendra and Agriculture Universities for better production techniques and adoption of scientific agronomic practices</li> <li>• Training and technical assistance on Improved livestock rearing and management practices</li> <li>• Promotion of Farmer Producer Organization (FPO) and establishing market linkage for value added agriculture products of selected farmers</li> <li>• Coordinate and engage with district development authorities for leveraging govt schemes like toilets, homes, solar lights, animal husbandry including cattle vaccination &amp; gaushala management, livelihood support etc</li> <li>• Homestay promotion with interested beneficiaries - exposure visit, training and support for 10 homestays in Katerniaghat on a pilot basis</li> <li>• Build local capacity for ecotourism development, through providing attitudinal and behavioral training on hospitality, publicity and marketing, ecotourism regulation and conservation management (one each for Pakke and Eaglenest)</li> <li>• Provide training for at least 20 youth in nature guiding (Pakke and Eaglenest)</li> <li>• Provide training and seed funding for weaving handicraft designing, marketing and business development for at least 20 women (Pakke and Eaglenest)</li> </ul> <p>Establishment and smooth functioning of grievance redress mechanism</p>	
<p>Restriction of access to natural resources like grassland, wetland, forests for collection of fuel wood, fishing, fodder for animals, materials for construction, and a wide variety of products for various local uses (thatch, food, medicine, etc.) and other public resources including temples, shrines, burial sites due to management of human and grazing access, and fencing of grazing exclosures and improving conservation and controlling overharvesting of forest products in the project targeted PA buffer zones (ESZ) and corridors</p>	<p>Alternative arrangements to be discussed, agreed and provided for affected persons/ groups</p> <p>Support livestock husbandry linking with sub-grants for livestock management to reduce open grazing in natural areas (including collecting up abandoned cattle and developing and operating care facilities; fencing of vulnerable habitats, fodder improvement, stall feeding, veterinary assistance), with focused support to community members reliant on open grazing under output 3.4.2</p> <p>Provide training and capacity building for alternative livelihood opportunities and income generation</p> <p>Provide support for agriculture using high-yield crop varieties, without eliminating native seed varieties</p> <p>Adequate consultations to be held with stakeholder and right holder communities and groups/ persons to agree on amicable agreements</p>	<p>MoEFCC</p>

	Participatory process to be followed to manage issues of restricted access	
Reduction of right to access to natural resources of IPs/tribal communities while developing and implementing landscape master plans, site specific habitat management, forest management rehabilitation plan and other forms of land and natural resource use planning based on SFM including regulated community-based forest management due to non-recognition of and/or indifference to the traditional knowledge, skills and customary practices, including the prerogative and collective rights of Indigenous/tribal communities in the project areas	<p>Participatory process to be followed to identify and recognize existing rights and to ensure that project activities are not adversely affecting such rights</p> <p>All the management plan and guidelines to be prepared reflect community aspirations. Traditional knowledge, skills and customary practices, including the collective ownership and use of forests, of Indigenous/tribal communities will be respected, recognized and fulfilled</p> <p>Existing legal and customary rights of tribal communities over forest resources are to be ensured and respected while developing and implementing landscape master plans, site specific habitat management, forest management rehabilitation plan and other forms of land and natural resource use planning</p> <p>Effective participation and proportionate representation of Indigenous/tribal communities to be ensured in all the planning and implementation processes of master plans, site specific habitat management, forest management rehabilitation plan and other forms of land and natural resource use planning</p> <p>Sufficient consultations to be held with stakeholder and right holder communities and groups/ persons to agree on amicable agreements</p>	MoEFCC
Escalation of Human Wildlife Conflict (HWC) and impact of wildlife on livelihoods of surrounding communities due to wildlife management through numbers of initiations of small wild cat conservation and habitat improvement	<p>Installation of warnings, physical barriers around villages, and compensation mechanisms in place. The already existing compensation mechanism is very complex and need serious revision to simplify and make it practicable</p> <p>Community Based Insurance scheme (livestock + Crop) to be implemented</p> <p>Implementation of community-based HWC solutions identified under output 3.5 with regular monitoring provisions</p> <p>Alternative livelihood schemes to be discussed, agreed and provided for affected persons/ groups linking with project supported livelihood diversification and sustainable development schemes through subcontracted packages of technical assistance under 3.4.2:</p> <ul style="list-style-type: none"> <li>• Sugarcane farming communities around Dudhwa NP – wild cat -friendly agricultural practices</li> <li>• Rural communities adjacent to Katarniaghat WLS – alternatives to cattle grazing, thatch and fodder options, gaushalas for abandoned cattle, homestay promotion with interested beneficiaries etc.</li> <li>• Tharu communities on northern side of Dudhwa NP – wild cat -friendly agricultural practices, alternative energy, handicraft development, value addition to agricultural crops including peppermint, turmeric, medicinal plants and aloe vera.</li> </ul>	MoEFCC

	<ul style="list-style-type: none"> <li>• Pakke - alternative livelihoods such as homestay ecotourism development, sustainable community forest management, home/kitchen garden development and medicinal plant cultivation, youth training and employment (eg as nature tourism guides), weaving handicrafts</li> <li>• Eaglenest / Bugun - administration and management of village level institutions, alternative livelihoods such as homestay ecotourism development, sustainable community forest management, home/kitchen garden development, sustainable harvesting of NTFP and medicinal plant cultivation, youth training and employment (e.g. as nature tourism guides), weaving handicrafts</li> </ul>	
Risk of health and safety (due to incidences of encounter with illegal wildlife poachers, timber loggers and wild animals like tigers) for frontline staff, line departments, EDCs and other local stakeholders including community rangers involved in cat conservation, monitoring, surveillance and enforcement after their training and deployment under the provisions of Output 2.2	<p>Implementation of SOPs for wild cat conservation developed under Component 1. approach to site-based wildlife law enforcement and other activities of capacity development for frontline staff specified in 2.2.1-2.2.6</p> <p>Provision of priority equipment (e.g. GPS, and not including weapons) for patrolling, monitoring and surveillance tailored to the specific needs identified for each landscape.</p> <p>Provision of field and safety gears such as radios for communication, park guard equipment, patrol equipment, etc.</p>	MoEFCC
Potential risk of human rights abuses by frontline law enforcement staff during the site-based forest and wildlife law enforcement and wild cat conservation plan implementation.	Implementation of SOPs for wild cat conservation developed under Component 1 and training in community engagement and delivery of a human rights-based approach to site-based wildlife law enforcement with regular monitoring provisions as specified in Output 2.2 (training of frontline staff), Output 3.3 (monitoring of small wild cat species) and Output 3.5 (HWC management).	MoEFCC

### 6.3 PF/LRP Implementation Processes

This section provides guidelines of the participatory processes to be followed while implementing LRP. The activity/ intervention that restricts access to resources and sources of livelihood required LRP which will be a site and activity specific. The processes comprise determining of eligibility criteria and suitable mitigation measures (Table 6.2) to assist and provide alternative livelihood measures to the affected persons and communities. It describes the process of participation and inclusion of potentially affected communities in deciding the scope of the restrictions and the mitigation measures proposed for alternative livelihood activities and alternative arrangement to access forest, grassland and wetland as well as public resources. This preliminary analysis provides guidance on eligibility of recipients and activities for the livelihood restoration assistance and other proposed mitigation measures. These criteria may be refined further through site-specific community consultations by which the affected persons will identify adverse impacts, establish mitigation measures, eligibility criteria and choose eligible mitigation measures, and procedures for specific activities and their phasing for particular areas.

#### 6.3.1 Participatory Processes

**Identification of HHs affected due to project restriction of access:** A participatory process will be followed to identify people/ groups/HHs who should participate in the livelihood restoration process. The LRP will be implemented to ensure that the local population is not negatively impacted by the presence and activities of the project vis-à-vis the level of livelihood of each household of Affected Persons. All of the

proposed livelihood restoration activities, interventions and initiatives within the LRP will be developed in consultation with the affected communities including affected IPs. Implementation of each of these will also be carried out with full transparency and disclosure. The project preparation team has carried out stakeholder mapping exercises, defined and identified stakeholders at all levels from national to the community level and also prepared a Stakeholder Engagement Plan to be involved in actively during the implementation of project activities. PMU Project Manager with technical input from the Safeguards Specialist will validate and update this stakeholder map ensuring all the families who will be restricted from access to resources and develop a dedicated Stakeholder Engagement Plan for implementation of this PF and Livelihood Restoration Plan (LRP).

**Develop communication and information dissemination strategy:** For the process to be as inclusive as possible, it is important to use as many avenues as possible to inform all stakeholders through information disclosure, announcement, national radio and television etc. For the community, public notice issued in languages easily understandable by local communities needs to be placed in public places easily accessible to the community. Local FM radio announcements and personal contacts are also effective means of communication. To inform only specific groups in the community, the project will start with key persons such as opinion leaders in those groups who may already be known. It is easier to solicit their help to spread the message to other members. They can also help in deciding where to place other information so that target groups will be likely to encounter it.

Indigenous/tribal communities should be specially targeted. Their role in forest and habitat management, livelihood interventions, project supported incentive and benefit sharing make them vital to the process. The message must be simple and clear, and in the languages that the community speaks. That means both using plain, understandable Hindi, as well as using other languages spoken by people in the community.

It is expected that the project field office with support of park and forest offices at project area will convene most of the meetings. These meetings should be held in collaboration with appropriate local institutions like Gram Panchayats, Women Self-Help Groups, Eco-Development Committees (EDC), Forest Rights Committees (FRC), Tribal/Village Councils and local community-based organizations and the concerned community members. The collaboration is important to lend credibility to the intervention as it may be identified as a community effort rather than an imposition by the government or any particular organization.

**Engage stakeholders & right holders:** The communities residing in and around the project area are the ultimate recipient of project impacts and benefits, and therefore a key stakeholder. Therefore, the interventions need community support or participation in order to succeed. Thus, a participatory process and community consultations approach engaging government authorities, right holders and stakeholders at different levels will provide substantial information on the patterns of resource use of local affected communities/groups and persons, which will provide accurate information about which groups/individuals need to be targeted and will therefore be affected most by restrictions on resources. Once the process has started, it has to be maintained. Stakeholders in the community must be kept informed, and support has to be provided when needed, conflicts have to be resolved, methods have to be devised to keep the process reasonably efficient, goals and deadlines have to be set. It is expected that this logical proceeding of activities and the consultation and involvement of local communities in the project, will minimize any potential conflicts and grievances.

### **6.3.2 Criteria for Eligibility of Project Affected Persons**

**Definition of affected persons:** Project affected persons are those persons who, as a direct consequence of an activity or subproject would, without their informed consent or power of choice either: (a) physically relocate or lose their shelter, (b) lose their assets or access to assets or access to community and natural

resources, or (c) lose a source of income or means of livelihood, whether or not they physically relocate to another place.

The above definition provides a preliminary set of criteria to assist in defining eligible activities and affected persons or communities who may receive livelihood restoration assistance. Through a participatory process as earlier described, these criteria may be refined further using site specific considerations and meetings with the affected communities/persons to identify adverse impacts, establish mitigation measures, eligibility criteria and choose eligible mitigation measures.

A plan of action to implement the process framework will be developed together with affected communities to describe the agreed restrictions, management schemes, measures to assist the displaced persons and the arrangements for their implementation in the form of Livelihood Restoration Plan (LRP). An outline of plan of action to execute the Process Framework is attached in annex 7.

Table 6.3 Steps & Schedule for Execution of IPPs/Tribal Communities Impact Mitigation Plans

Plan	Steps & Activities	Year 1				Year 2				Year 3				Year 4				Year 5				Year 6	
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
IPP & LRP	Baseline <sup>34</sup>	Project Start up																					
	Screening <sup>35</sup>																						
	GRM <sup>36</sup>																						
	Social Assessment <sup>37</sup>																						
	Preparation <sup>38</sup>																						
	Implementation <sup>39</sup>																						
	Monitoring <sup>40</sup>																						

<sup>34</sup> Collection of socioeconomic baselines of the project areas. It will also to generate the necessary baseline information on demographics, social, cultural, and economic characteristics of affected communities as well as the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend.

<sup>35</sup> Identification and screening of likely impacts/access restrictions on the IPPs and tribal communities inhabiting in the project area. Screening will be conducted when the exact sites for implementing particular subprojects/activities will be confirmed. Thus, screening will be continued 1st year, 2nd year and even 3rd year as required. A checklist for scanning is attached in Annex 4.

<sup>36</sup> Establishment of grievances redressal mechanism to ensure that stakeholders who may be adversely affected can communicate their concerns about a Project's performance on designing and implementing IPP and LRP through various entry points, scaled to the nature of the activity and its potential impacts. Operation of GRM will be a continuous activities till the project closures.

<sup>37</sup> Further appraisals of potential adverse and positive impacts of the project, based on the screening findings. If the screening confirms and identify HHS affected due to access restriction to natural resources, social assessment process based on participatory consultations with affected peoples will be carried out to explore the extent of restriction of access to resources along with suitable mitigation and enhancement measures including options for alternative access to similar resources

<sup>38</sup> Preparation of an IPP to address project induced adverse impacts including the aspirations, needs, and preferred options of the affected Indigenous/tribal communities. Similarly, the LRP is prepared to ensure that the local population is not negatively impacted by the presence and activities of the project vis-à-vis the level of livelihood of each household of Affected Persons. All of the proposed livelihood restoration activities, interventions and initiatives within the LRP will be developed in consultation with the affected IPPs. Implementation of each of these will also be carried out with full transparency and disclosure.

<sup>39</sup> Execution of IPPs & LRPs following prescribed process and procedures spelled out in IPPF/PF. Some activities like consultations with and feedback from IP communities will be continuing over the project periods

<sup>40</sup> Monitoring of IPP and LRP execution using a set of indicators provided in IPPF/PF for periodic monitoring of the progress of planned activities.

## 7 Participation, Consultation and Framework for FPIC

This section provides an overview of community consultations and participation during the preparation of project and IPPF and PF and outlines guidance for future community consultation and steps and processes of ensuring Free Prior informed Consent (FPIC), where required. Community consultation has been an integral part of social assessments and preparation of the IPPF and Process Framework as well as project preparation and design, and will be carried out as a continuous process through the project cycle. Community and stakeholder consultations during the design and project planning stages provided the medium for sharing information about the project objectives and scope, alternative design options, and stakeholder perceptions regarding proposed project. For this project, FPIC has been taken as not simply a decision-making process or a veto mechanism for the community, but a tool to ensure meaningful engagement of indigenous communities in a culturally appropriate way, so that their development priorities, needs and desires can be met. A true FPIC process includes not only consultations but also the space for a community to give or withhold their consent to the project or some aspects of the project.

### 7.1 Consultation during Project Preparation

Community and stakeholder engagement during the project preparation period followed a PPG Stakeholder Engagement Plan (SEP) consistent with UNDP and WWF requirements, listing the consultations required for each stakeholder and a description of the stakeholder engagement process. The PPG team members conducted site visits to each of the three project landscapes and carried out numbers of community and stakeholder consultations between mid-July and late September 2019. These consultations informed the assessment of small cat and other biodiversity values, the identification and assessment of the threats facing biodiversity, the analysis of barriers towards achieving the project goal, and the description of baseline activities at all levels of governance. These inputs provided the basis for the situation analysis of the project document, including the selection and defining of the project landscapes and targeted intervention areas within these landscapes.

Consultations by the gender and community engagement consultant focused on gender analysis/mainstreaming, community engagement and social inclusion, as well as baseline analysis of local livelihoods and socio-economic conditions including local community's dependence on forest, access to land and control over land, cropping pattern and new crops, human and wildlife conflict and community's awareness about small cats and their habitats. A total of nine consultations were organized in the core, buffer and periphery regions of Dudhwa, Katarniaghat, Kishanpur and Pilibhit tiger reserves with indigenous "Tharu" community, Scheduled caste and Other Backward Caste communities. In Ranthambore- Karauli and Kela Devi area more than ten community consultations were organized with men and women of different communities including Mogiyas, pastoralist Gujjars, and farming community. In Nameri-Pakke- Eaglenest area, more than 12 community consultations were organized with Nyishi, Bugun, and Shertukpen tribes among others. Besides, several other community stakeholders such as civil society organizations working for community development, agriculture and other line departments, EDC members were consulted for understanding impacts of the project on community, how the project can be engaged with different stakeholders for implementation of the project while benefiting local community and wild cat population simultaneously.



## 7.2 Consultations during the Preparation of IPPF/PF

Three community consultations in Dudhwa and in Nameri-Pakke- Eaglenest area were organized as part of preparation of IPPF and PF to collect demographics, social, cultural, and political characteristics of affected IP communities as well as assess the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend. Similarly, consultation with government officials including officials of District Forest Office, National Parks, Tiger Reserves had also been organized to validate and confirm the information collected from communities as well as for understanding impacts of the project on community. The objectives of consultations were mainly to:

- inform affected indigenous/tribal communities about project objectives and activities;
- discuss and assess possible adverse impacts and collect their views to avoid or mitigate them;
- discuss and assess potential project benefits and how these can be enhanced; and
- develop a strategy for Indigenous/Tribal People's participation during project design and implementation and to ascertain communities' broad support for the project.

Prior to the consultation field visit, meetings with representatives from Global Tiger Forum (GTF), WWF and UNDP were organized to discuss the project design and its possible social issues including likely impacts on IPs and tribal communities. The draft field visit plan was shared and finalized considering their inputs and suggestions. The field visit for consultation was carried out during January-February, 2020. The consultations covered the Tharus and other local communities in Dudhwa landscape and Niyshi, Bugun, and Shertungpen tribes were covered in Pakke- Eaglenest landscapes. Consultations were also conducted with Field Director, DFO and Warden of Dudhwa Tiger Reserve and DFO/DCF and other officials of Pakke Tiger Reserve. The details of consultations including issues, concerns and suggestions raised and provided by the participants along with the list of the participants and photographs have been compiled in field report of each landscape and attached in Annexes 1&2.

The IPs/tribal communities were prior informed about the consultation meeting, venue and the agendas through district forest offices and offices of TR of each landscape. The local offices of WWF also facilitated the processes. All consultations meetings were organized at accessible distance to all stakeholders and were in an informal setting. All stakeholder/participants were encouraged to speak and provide feedback about the proposed project activities. The consultation meeting started with the consent of the participants present. At the beginning of each meeting, overall objectives and expectations from the meeting were shared and the participants introduced themselves. After the introduction session, brief information about the key objectives, scope of the project, its benefit and possible impacts was shared with the participants. The consultations with IPs and tribal communities in the project areas were conducted in simple Hindi language sometimes translated into local language with the help of some of the participants who are proficient in Hindi and local/tribal language. Consultations were mainly focused on identifying likely adverse impacts of the project and options to avoid or mitigate them and to assess potential project benefits and how these can be enhanced in favor of indigenous/tribal communities. The consultations also sought feedback especially from the tribal communities on their participation in implementation planning, monitoring and evaluation during project execution. All participants, both male and female, were encouraged to express their views, concerns and suggestions regarding the proposed project. All the concerns, comments and feedback provided by the participants of each consultation meeting have been noted and reflected in this document as far as practicable.

Overall the IP/tribal communities were found supportive of project, however, they expressed some concerns regarding the activities of the project. These are as follows:

1. The participants in both landscapes requested to avoid any forms of restriction or constraints of access to natural resources such as collection of fodder, roofing and fencing materials, firewood and other forest products including grazing of livestock given the project activities include grassland and forest management and rehabilitation.
2. The villagers in Dudhwa landscape opined that suitable alternative for fodder, firewood and thatching and fencing materials is required if any restriction of access of these resources occurred as a result of restoration of grassland habitat under the project.
3. There are various customary practices of tribal communities related to the collection of forest products for cultural as well as religious practices. They are less recognized in the formal management plans of all types of forest regimes. These should be protected and promoted as customary rights during the implementation of the project.
4. In Rampurwa Matehi Village of Dudhwa landscape, villagers wanted the project to focus its attention to resolve the flooding issue that is taking place due to sedimentation of the Uari river which starts in Nepal and ends in the Tiger Reserve. According to the villagers, it would meet both objectives-- protection of the agricultural land due to flooding adjacent to the river and restoration of the area which is considered an important habitat for the small cats.
5. The participants in Pakke Eaglenest Landscapes want a clear MoU or agreement with project to ensure benefits-- livelihood supports, employment and income generation opportunities -- from the project and also want in written that there will be no any forms of restriction of access to natural resources in the name of "cat conservation".
6. The village council in Shergaon, earlier rejected the proposal of creation of Community Conservation Area (CCA). Thus, participants want a clear MoU or agreement with project to ensure that there will not be any forms of restriction of access to natural resources in the name of "cat conservation".
7. Participants alerted that food and financial security of local communities dependent on natural resources for their lives and livelihoods might be affected while developing and implementing the site-specific plans for forest management and rehabilitation to maintain forest connectivity in PA buffer zones (ESZ). Appropriate alternatives must be agreed with the affected local communities.
8. Project activities related to management and rehabilitation of grassland and forest, where nearby tribal/IPs communities are dependent on forest, grassland and wetland habitats for fuel, fodder, grazing land and NTFP products like mushrooms and medicinal herbs will be affected. Participants expressed that the lives and livelihoods of these groups will be impacted negatively and project needs to be designed to adequately address these impacts.
9. The participants strongly discussed their concerns that the tribal communities have the right to give or withhold their consent for any projects planned in their territory. Project should follow approach of taking Free Prior Informed Consent (FPIC) from the local communities.
10. The customary rights of tribal communities over forest resources must not be curtailed but improved and respected during design, implementation and monitoring of the project activities.
11. Damage to human lives, crops and animals by wildlife are rampant in the proposed project area and such incidences will increase during project period. The participants demanded for alternative income generating activities, livestock shed improvement and community-based insurance scheme for livestock and crops.

12. Participants expressed that appropriate safeguards measures to reduce HWC are required. Some of the measures they suggested were-- installation of warnings, physical barriers around villages, and compensation mechanisms. The already existing compensation mechanism is very complex and needs revision to simplify and make it practicable.
13. The following elements were suggested to incorporate in the project for implementing in the in Pakke- Eaglenest landscapes:
  - Eco-tourism: A unique tourism model specific to the Seijosa area could be adopted. Suggestions were made to set aside a voluntary community conservation area – for birds, medicinal plants, etc.
  - Employment: The Youth can be trained, by way of including them in research conducted in the region, to become nature/tourism guides. This skill development can further generate data which will be useful in future research. This has been implemented in Bugun where 10 local youths are currently employed for a period of five years.
  - Plantation: Create a plantation for the cultivation of forest resources that the community is no longer permitted to harvest from the forest.
  - Training and awareness programs for the youth.

Most of the issues raised above have been incorporated under project-related livelihood and other opportunities proposed under Component 3, output 3.4 of the Project documents. In the cases of project restriction of access and impact on livelihood, participants in Pakke Eaglenest Landscape in particular, they demanded for an agreement on alternative arrangements to support livelihood and continue access. For this, they requested for MoU in their language. The “MoU” between project and IP/Tribal communities should be understood in the spirit of FPIC and project will obtain it accordingly. The participants demanded for alternative income generating activities, livestock shed improvement and community-based insurance scheme for livestock and crops. These demands along with other eligible and genuine concerns emerged during screening and social assessment will be addressed through IPP and LRP.

### **7.3 Framework for Obtaining Free Prior and Informed Consent (FPIC)**

Free, Prior and Informed Consent (FPIC) is an approach for ensuring that the rights of indigenous/tribal peoples are guaranteed in any decision that may affect their lands, territories or livelihoods. It ensures that they have the right to give or withhold their consent to these activities without fear of reprisal or coercion, in a timeframe suited to their own culture, and with the resources to make informed decisions. FPIC is composed of four separate components:

- **Free**—Without coercion, intimidation, manipulation, threat or bribery.
- **Prior**—indicates that consent has been sought sufficiently in advance, before any project activities have been authorized or commenced, and that the time requirements of the indigenous/tribal community’s consultation/consensus processes have been respected.
- **Informed**—Information is provided in a language and form that are easily understood by the community, covering the nature, scope, purpose, duration and locality of the project or activity as well as information about areas that will be affected; economic, social, cultural and environmental impacts, all involved actors, and the procedures that the project or activity may entail.
- **Consent**—The right of indigenous/tribal peoples to give or withhold their consent to any decision that will impact their lands, territories, resources, and livelihoods.

The processes of consultation and obtaining FPIC will be applied to all the aspects of the project (financed under WWF) that affect the rights of the IPs and tribal communities. FPIC will be required on any matters that may affect the rights and interests, lands, resources, territories (whether titled or untitled to the people in question) and traditional livelihoods of the indigenous peoples concerned. Thus, FPIC is integral to the execution of the proposed project, as the project areas includes diverse indigenous/tribal stakeholder communities. WWF/ recognizes the strong cultural and spiritual ties many indigenous/tribal peoples have to their lands and territories and committed to strengthen these ties in all WWF/GEF funded projects. FPIC gives indigenous/tribal peoples the freedom to determine their own development path promoting conservation sustainably. The following checklist (Table 7.1) may assist in helping to determine whether some Project activities may require an FPIC process.

Table 7.1 Checklist for appraising whether an activity may require an FPIC Process

<b>Project Activities</b>	<b>Yes/No</b>
1. Will the activity involve the relocation/resettlement/removal of an indigenous population from their lands?	
2. Will the activity involve the taking, confiscation, removal or damage of cultural, intellectual, religious and/or spiritual property from indigenous peoples?	
3. Will the activity adopt or implement any legislative or administrative measures that will affect the rights, lands, territories and/or resources of indigenous peoples (e.g. in connection with the development, utilization or exploitation of mineral, water or other resources; land reform; legal reforms that may discriminate de jure or de facto against indigenous peoples, etc.)?	
4. Will the activity involve natural resource extraction such as logging or mining or agricultural development on the lands/territories of indigenous peoples?	
5. Will the activity involve any decisions that will affect the status of indigenous peoples' rights to their lands/territories, resources or livelihoods?	
6. Will the activity involve the accessing of traditional knowledge, innovations and practices of indigenous and local communities?	
7. Will the activity affect indigenous peoples' political, legal, economic, social, or cultural institutions and/or practices?	
8. Will the activity involve making commercial use of natural and/or cultural resources on lands subject to traditional ownership and/or under customary use by indigenous peoples?	
9. Will the activity involve decisions regarding benefit-sharing arrangements, when benefits are derived from the lands/territories/resources of indigenous peoples (e.g. natural resource management or extractive industries)?	
10. Will the activity have an impact on the continuance of the relationship of the indigenous peoples with their land or their culture?	
11. Will the interventions/activities restrict on access to NTFPs, timber, lands, etc) and other sources of livelihoods and community resources?	

If the answer is 'Yes' to any of these questions in table 5.1, it is likely that FPIC will be required of the potentially affected peoples for the specific activity that may result in the impacts identified in the questions.

When an FPIC process is required, a stakeholder consultation process will need to be initiated to define and agree on an FPIC process. The indigenous peoples who may be affected by the Project will have a central role in defining the FPIC process. The consultation process should be launched as early as possible to ensure full, effective and meaningful participation of Indigenous Peoples.

### **7.3.1 Strategy for Indigenous People's Participation**

All consultations with indigenous peoples should be carried out in good faith with the objective of achieving agreement or consent. Consultation and consent is about indigenous peoples' right to meaningfully and effectively participate in decision-making on matters that may affect them. Consultations and information disclosure are integral parts of FPIC process and any development support planning for IPs to ensure that the priorities, preferences, and needs of the indigenous/tribal groups are taken into consideration adequately. With that objective in view, a strategy for consultation with indigenous/tribal communities has been proposed so that all consultations are conducted in a manner to ensure full and effective participation. The approach of full and effective participation is primarily based upon transparent, good faith interactions, so that everyone in the community is empowered to join fully in the decision-making process. It includes providing information in a language and manner the community understands and, in a timeframe, compatible with the community's cultural norms.

The affected IPs/tribal communities will be actively engaged in all stages of the project cycle, including project preparation, and feedback of consultations with the IPs/tribal communities will be reflected in the project design, followed by disclosure. Their participation in project preparation and planning has informed project design and will continue to actively participate in the project execution. Once the IPP or LRP is prepared, it will be translated into Hindi and local language (if possible) and made available to them before implementation.

Local CBOs/ indigenous people's organizations (IPOs)/tribal council will be involved in all steps of project activities including designing and implementation of IPP and LRP and resolving all issues related to these plans through consultation and facilitation. The implementing agency will ensure adequate flow of funds for consultation and facilitation of planned activities within IPP. Project brochures and pamphlet with infographic containing basic information such as sub-project location, impact estimates, and mitigation measures proposed, and implementation schedule will be prepared, translated into a language understandable to the IPs/tribal communities, and distributed among them.

A range of consultative methods will be adopted (Table 7.2) to carry out consultation including, but not limited to: focus group discussions (FGDs), public meetings, community discussions, and in-depth and key informant interviews; in addition to the censuses and socioeconomic surveys.

The key stakeholders to be consulted during screening, impact assessment; design and implementation of IPP, LRP and Process Framework (PF) include:

- All affected persons<sup>41</sup> belonging to IPs/tribal communities;

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<sup>41</sup> Project affected persons are those persons who, as a direct consequence of an activity or subproject would, without

- Representatives of councils or organizations of the affected Tribal/Indigenous Peoples;
- Representatives of the Gram Panchayat. Coordination and collaboration with Gram Panchayat would be an effective approach for implementation of the IPP and LRP;
- Representatives of local government departments/ relevant government line agencies at the block and district level which are responsible for implementation, supervision and monitoring of the government programmes and schemes;
- Representative of local NGOs, Women Self-Help Groups and community-based organizations working on natural conservation issues in the project areas; and
- Village Community Resource Management Committee (VCRMC), Eco-Development Committees (EDC), Biodiversity Management Committee (BMC) Forest Rights Committees (FRC) and Tribal Village Councils where functionally existing and relevant for the project.

The project will ensure adequate representation of each group of stakeholders mentioned above while conducting consultations using various tools and approaches.

During project execution, Project affected persons and other relevant stakeholders will be informed and consulted once sites within each project landscapes are identified, its impact, their entitlements and options, and allowed to participate actively in the development of the subproject.

In addition, views of Project affected persons, particularly of affected IPs/tribal communities are considered and take into account in the project implementation. The Executing Agency with support of the project team will ensure that affected persons are consulted and informed about the outcome of the decision-making process and will confirm how their views were incorporated.

To ensure meaningful consultation and participation with IPs/tribal communities during project execution there will be (i) appropriate mechanisms and structures (such as authentic tribal councils/organization, if exist) utilized; and (ii) specific activities that will enable them to engage in project activities conducted. IPs/ tribal community consultations across project stages will be documented. The views of Indigenous/tribal communities are to be considered during execution of project activities, while respecting their current practices, beliefs and cultural preferences. The outcome of the consultations will be documented into the periodical reports and included in project's trimester progress reports.

### **7.3.2 Processes and Steps of Obtaining FPIC**

The project interventions and activities affecting the indigenous peoples, whether adversely or positively, therefore, need to follow a process of free, prior, and informed consent, with the affected indigenous peoples in order to fully identify their views and to obtain their broad community support to the project; and development of project-specific measures to avoid adverse impacts and enhance culturally appropriate benefits. Community involvement is a critical component of FPIC, as FPIC is a collective process, rather than an individual decision. In practice, FPIC is implemented through a participatory process involving all affected groups that is carried out prior to the finalization or implementation of any project activities, decisions or development plans. FPIC is established through good faith negotiation between the project and affected Indigenous/tribal Peoples. A facilitator should support this process, a person who will be available throughout the Project, who speaks the necessary languages and is aware of the project context,

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their informed consent or power of choice either: (a) physically relocate or lose their shelter, (b) lose their assets or access to assets or access to community and natural resources, or (c) lose a source of income or means of livelihood, whether or not they physically relocate to another place

and is culturally and gender-sensitive. If possible, the facilitator should be identified by the affected indigenous peoples. It will also be helpful to involve any actors which are likely to be involved in implementing the FPIC process, such as local or national authorities. The project will document: (i) the mutually accepted process to carry out good faith negotiations that has been agreed by the Project and Indigenous/tribal Peoples; and (ii) the outcome of the good faith negotiations between the Project and Indigenous/tribal Peoples including all agreements reached as well as dissenting views. The 'consent' in this context refers to the collective support of affected Indigenous/tribal Peoples for the project activities that affect them, reached through a culturally appropriate process-- communicating in a culturally appropriate way (using local languages, local facilitators) that respects and accepts cultural differences as well as uniqueness of IPs. In this sense, FPIC does not require unanimity and may be achieved even when individuals or groups within or among affected Indigenous Peoples explicitly disagree. The box 7.1 outlines some generic steps to be followed for FPIC with the affected Indigenous/tribal Peoples in order to obtain their broad community support

*Box 7.1: Steps for Obtaining FPIC from Project Affected Indigenous/tribal Peoples*

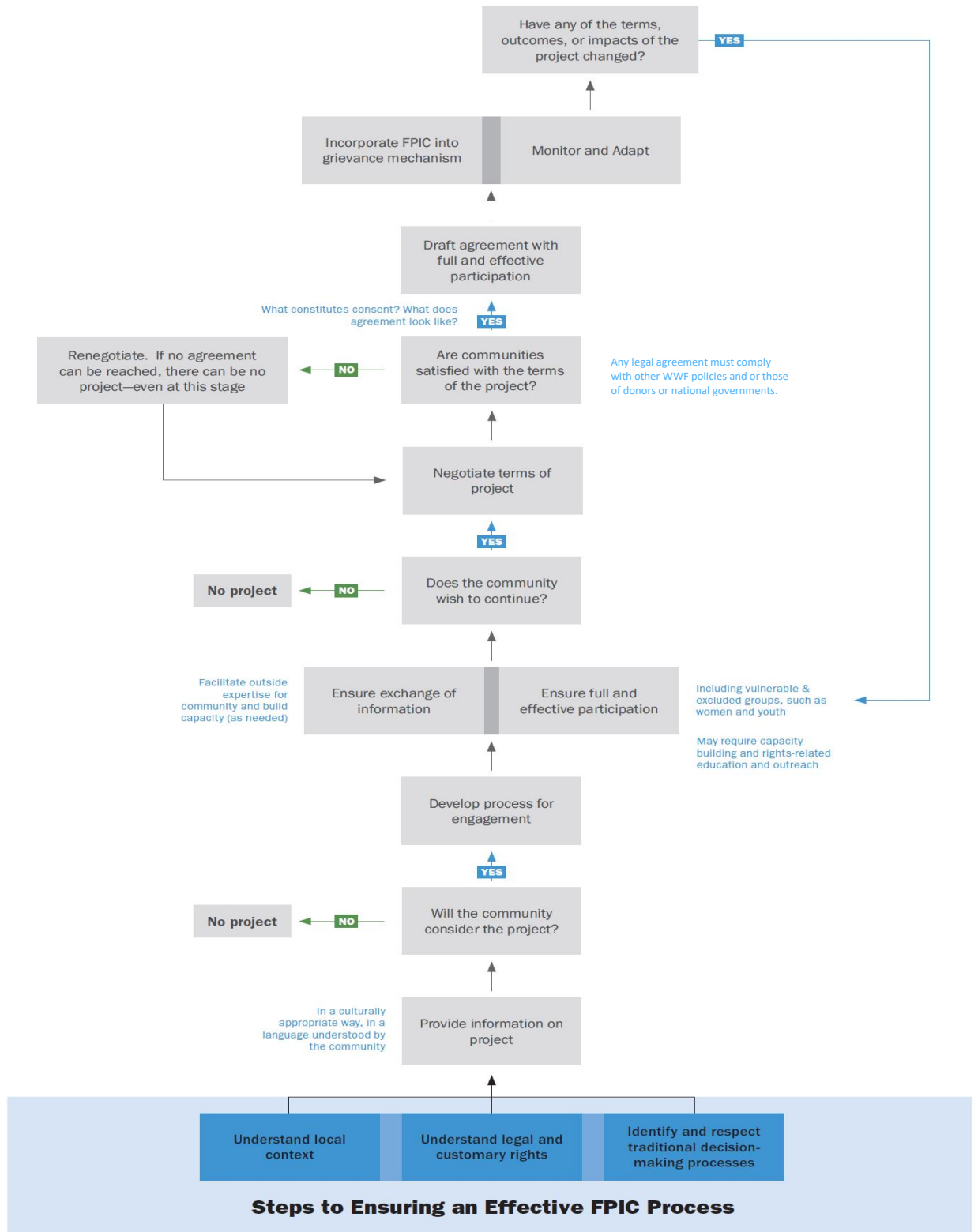
1. Identify communities, sub-groups within communities, and other stakeholders with potential interests/rights (both customary and legal) on the land or other natural resources that are proposed to be developed, managed, appropriated, utilized, or impacted by the proposed project activity;
2. Identify any rights (customary\* and legal) or claims of these communities to land or resources (e.g., water rights, water access points, or rights to hunt or extract forest products) that overlap or are adjacent to the site(s) or area(s) of the proposed project activity;
3. Identify whether the proposed project activity may diminish the rights, claims, or interests identified in Step 2 above and also identify natural resources that may be impacted by this project and the legal and customary laws that govern these resources;
4. Provide the details of proposed project activities to be implemented along with their likely impacts on IPs/Tribal groups either positively or negatively, as well as the corresponding proposed mitigation measures in a language or means of communication understandable by the affected indigenous peoples;
5. All project information provided to indigenous/tribal peoples should be in a form appropriate to local needs. Local languages should usually be used and efforts should be made to include all community members, including women and members of different generations and social groups (e.g. clans and socioeconomic background);
6. Selection of facilitator, who will be available throughout the Project, who speaks the necessary languages and is aware of the project context, and is culturally and gender-sensitive. The facilitator should be trustworthy to affected indigenous peoples. It will also be helpful to involve any actors which are likely to be involved in implementing the FPIC process, such as local or national authorities
7. If the indigenous/tribal communities are organized in community associations or umbrella organizations, these should usually be consulted. Indigenous/tribal Peoples' representative bodies and organizations like Indigenous people's organization (IPO), Tribal councils, councils of elders or village councils, or chieftains-- *Badghar Bhalmansa* in case of Tharus and, where appropriate, other community members who represent the IPs/tribal groups traditionally should be brought in the folds of FPIC process.

8. Provide sufficient time for Tribal/Indigenous' decision-making processes (it means allocate sufficient time for internal decision-making processes to reach conclusions that are considered legitimate by the majority of the concerned participants)
9. Support a process to create a mutually respected decision-making structure in cases where two or more communities claim rights over a project site.
10. If FPIC is not familiar to the community (it is highly likely among the IPs/tribal communities in project landscape), engage in a dialogue to identify existing decision-making structures that support the principles underlying FPIC.
11. Identify the community-selected representative(s) or "focal people" for decision making purpose-- identification of the decisionmakers and parties to the negotiation.
12. Agree on the decisionmakers or signatory parties and/or customary binding practice that will be used to conclude the agreement, introducing the chosen representatives, their role in the community, how they were chosen, their responsibility and role as representatives;
13. Reach consent, document indigenous peoples' needs that are to be included into the project, and agree on a feedback and a project grievance redress mechanism (see Chapter 9). Agreements reached must be mutual and recognized by all parties, taking into consideration customary modes of decision-making and consensus-seeking. These may include votes, a show of hands, the signing of a document witnessed by a third party, performing a ritual ceremony that makes the agreement binding, and so forth;
14. When seeking affected indigenous/tribal communities' support/consent to project activities, two aspects should be considered: Who and what is the "community\*\*," and how is "broad consent/support" obtained. Communities are complex social institutions and may be made up of several fractions; it may be difficult finding persons who are seen as representatives of the community. Interest in the project may vary among different groups (and individuals) in the community, and they may be affected differently. It is important to keep this in mind during the consultation process, and in some cases, it may be more appropriate to consider the needs and priorities of sub-communities rather than those of a whole village;
15. When seeking "broad community consent/support" for the project, it should be ensured that all relevant social groups of the community have been adequately consulted. When this is the case and the "broad" majority is overall positive about the project, it would be appropriate to conclude that broad community support/consent has been achieved. Consensus building approaches are often the norm, but "broad community consent/support" does not mean that everyone has to agree to a given project;
16. When the community agrees on the project, document the agreement process and outcomes including benefits, compensation, or mitigation to the community, commensurate with the loss of use of land or resources in forms and languages accessible and made publicly available to all members of the community, providing for stakeholder review and authentication;
17. The agreements or special design features providing the basis for broad community support should be described in the Indigenous Peoples Plan; any disagreements should also be documented; and
18. Agree on jointly defined modes of monitoring and verifying agreements as well as their related procedures: how these tasks will be carried out during project implementation, and the commission of independent periodic reviews (if considered) at intervals satisfactory to all interest groups.

\* De facto rights established through a long tradition of customary practice; these rights are widely exercised and accepted, though not necessarily written into legislation or recognized by the government.

\*\*A group of people bound together by geography, interests, and/or culture. For the purpose of this document, , community refers specifically to indigenous/tribal communities that may be impacted by any decision/activities that the project is seeking their input on, recognizing that the community may or may not be homogenous in their beliefs, desires, and needs, among other thing





**Source:** Guidelines for Applying Free, Prior and Informed Consent, Conservation International, 2013.

## 7.4 Information Disclosure and Dissemination

The final IPPF and PF and site specific IPPs and LRP will be disclosed on the website of the executing agency and the website of WWF and made available to affected IPs and tribal communities; information dissemination and consultation will continue throughout project execution. Summaries of IPPs and mitigation measures proposed in IPPs will be translated into the local language and paper copies will be made available to the affected persons in the office of the respective Gram Panchayat, local government departments/ relevant government line agencies at the block and district level, Tiger Reserves, National Parks, forest offices, and office of tribal council/organization. As per the provisions of Right to Information (RTI)<sup>42</sup> (2005), copies of these documents will be provided to any requester, who pay the cost of the photocopy.

The information disseminated to affected persons will include guiding policies of the IPPF and PF and key features of the site specific IPPs and Livelihood Restoration Plans (LRP) for access restricted and livelihood affected persons. Basic information such as sub-project location, impact estimates, and mitigation measures proposed, and implementation schedule will be disseminated to affected persons. This will enable affected IPs/tribal groups and other stakeholders to provide inputs on design and implementation modality of the project. A summary of consultation and disclosure activities to be followed for each sub-project and details and responsibility for consultation and disclosure activities are given in Table 7.2 below.

Table 7.2 Consultation and Disclosure Roles and Responsibilities during Project Implementation

Project Phase	Activities	Details	Responsible Agency
Project Initiation & preparation	Landscape specific Information dissemination;  Screening and social assessment and disclosure of project affected IPs/tribal groups and other local communities	Public notice issued in public places  PPG Consultations (interview, FGDs) based on a Stakeholder Engagement Plan (SEP)	MoEFCC
IPP and LRP preparation	Consultations with IPs and tribal groups and other stakeholders	Further consultations with affected IPs/tribal groups and other stakeholders, if FPIC based IPP/LRP is required.  Summary of FPIC outcomes along with the IPP and LRP made available to all affected IPs/tribal	MoEFCC

<sup>42</sup> Right to Information (RTI) is an act which sets out the rules and procedures regarding citizens' right to information. RTI is a legal right for every citizen of India. The authorities under RTI Act 2005 are called quasi-judicial authorities. As per the section 3 of RTI act, any Indian citizen can seek information under the Act. The type of information which may be obtained is defined under section 2 (f) of the Act as any material in any form, including records, documents, memos, e-mails, opinions, advices, press releases, circulars, orders, log books, contracts, reports, papers, samples, models, data material held in any electronic form and information relating to any private body which can be accessed by a public authority under any other law for the time being in force.

		groups and stakeholders.	
	Disclosure of outcomes of FPIC along with draft IPP and LRP	IPP and LRP disclosed to all APs in local language	MoEFCC
	Finalization of IPP and LRP incorporating the feedback provided by affected IPs/tribal groups and other stakeholders	Review and approval of IPP and LRP by executing agency.  Review and approval of IPP by WWF. Web disclosure of the IPP	MoEFCC and WWF GEF Agency
IPP and LRP implementation	Consultation with IPs/tribal groups and stakeholders during IPP and LRP implementation	Consultation with IPs and stakeholders and agreeing on IPP and LRP Implementation modality	MoEFCC

## 8 Institutional and Implementation Arrangements

### 8.1 Overall Institutional Arrangements of Project

The implementing agency for the proposed project is the Ministry of Environment, Forests and Climate Change (MoEFCC), Government of India. The MoEFCC will be responsible for execution of the project with the following responsibilities and specific tasks:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Risk management, safeguards planning, implementation and monitoring as outlined in this Project Document;
- Procurement of goods and services, including human resources;
- Financial management, including overseeing financial expenditures against project budgets;
- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

The WWF-led components (2&3) will be implemented through the Global Tiger Forum (GTF). For the UNDP-led components (1& 4), GTF will be a sub-level responsible party under this project, acting in accordance with the IP's rules and regulations, through agreement with MoEFCC. GTF will serve as the lead technical partner for implementation of Components 1 and 4 of the project, operating the National Project Management Unit and implementing work packages that will include direct inputs to Outputs 1.1 (developing landscape master plans), 1.2 (national level species recovery action plans), 1.3 (protocols and SOPs for wild cat management), 4.1 (establishing a mechanism to strengthen private sector engagement and investment) and 4.3 (providing a platform to support field implementation and transboundary engagement with neighboring tiger range States).

The national Project Management Unit (PMU) will be established in the GTF offices. It will comprise a National Project Director, Project Manager (PM), Administrative and Finance Officer and other technical and administrative staff as relevant. The NPMU, in collaboration with the MoEFCC, National Project Steering Committee, State Steering Committees, Landscape level Advisory Committee and with support of State Project Management Units and Landscape Planning and Management Unit (LPMU) will have overall management and administrative responsibility for facilitating stakeholder involvement and ensuring increased provincial level ownership of the project. The NPMU staff will be located in Delhi to ensure coordination among key stakeholders at the federal level and state level during the project period.

The Landscape Planning and Management Unit (LPMU) will be responsible to implement project activities at project sites. In each project landscape, there will be a Landscape Planning and Management team headed by the District Collector/Divisional Forest Officer or an officer of equivalent rank from the Forest Department. The DFO/other officer will be supported by landscape level staff including technical experts and specialists. The overall project governance and management structure is displayed in figure 5.

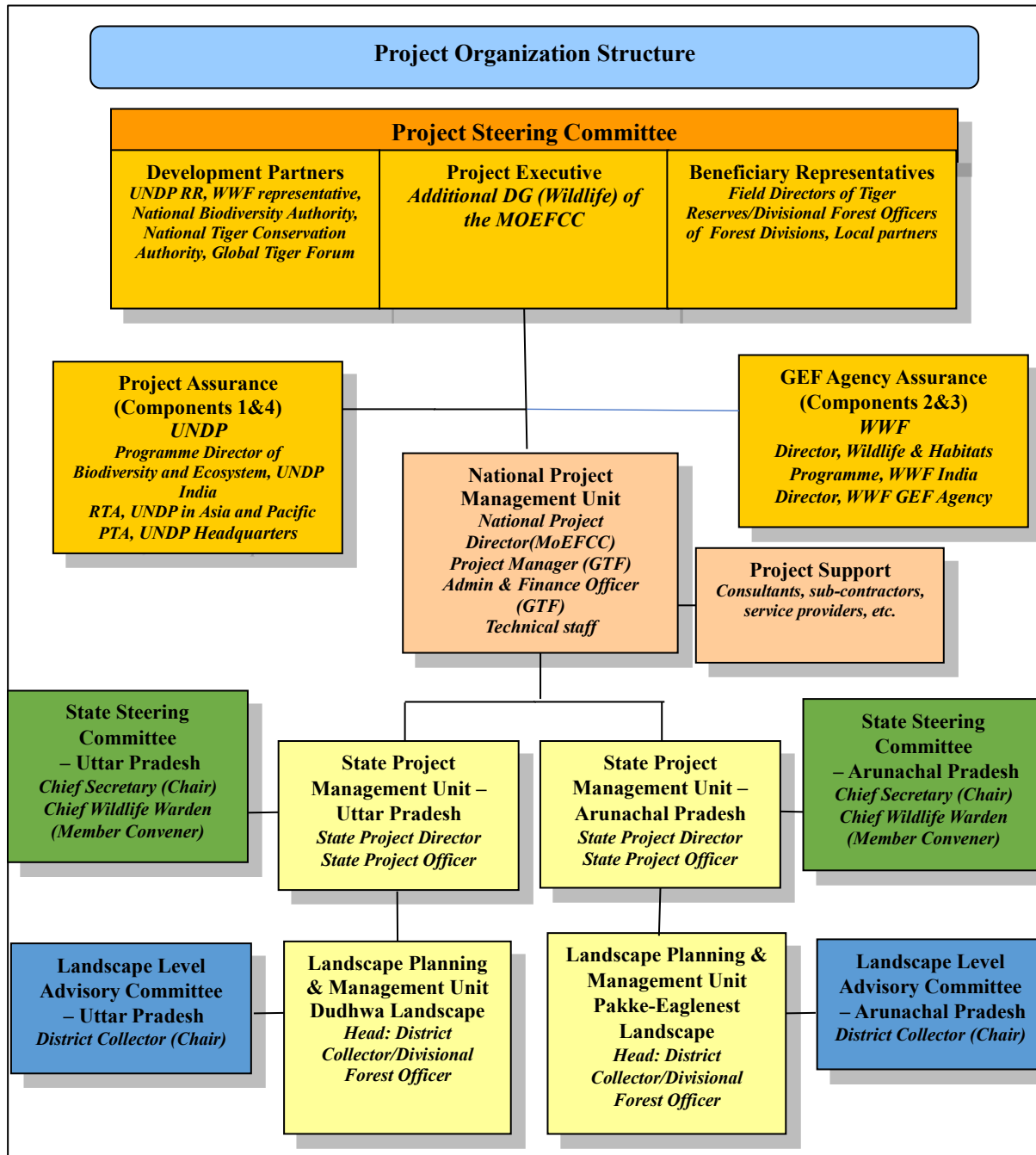


Figure 5 Organogram of the project governance and management structure

## 8.2 IPPF/IPP and PF/LRP Implementation Arrangement

The PMU Project Manager (GTF) at National Project Management Unit (NPMU) will be responsible for coordinating the overall implementation of IPPF and PF, while a Safeguards Expert will be hired at the PMU to support the Project Manager for facilitation as well as monitoring of planning and implementation of safeguards related matters. The national PMU project manager

with the help of the Safeguards Expert & Safeguard Analyst at National PMU will hire Landscape M&E and Safeguards/IP Specialists at each Landscape Planning & Management Unit (LPMU) as necessary to prepare and implement the measures recommended in the IPPF and Process Framework such as the site level IPPs and livelihood restoration plan (LRP) yet to be developed after conducting screening and subsequent social assessment (if required). The safeguards Specialists positioned at each LPMU under the oversight of the Safeguards Expert & Safeguard Analyst will be responsible to execute project activities with local and indigenous peoples from affected communities and holds regular consultations to inform the community of ongoing project activities, seek views, and respond to questions or grievances.

The Grievance Redress Committee (GRC) formed at Gram Sava or village/tribal councils' level at each project site and GRC formed at LPMU level will manage a grievance redress channel that will allow community members and stakeholders to lodge complaints or ask questions about any of the project activities. The Safeguards specialist at each LPMUs will regularly report on the implementation of the IPPF/PF to the PMU Project Manager through Safeguards Expert at PMU, in accordance with the indicators suggested in Section 10 of Chapter 10.2 and 10.3.

### **8.3 IPP & Livelihood Restoration Plan (LRP) Preparation & Implementation**

The project is required to prepare an Indigenous/tribal Peoples Plan (IPP) under WWF's Policy on Indigenous People in each landscape where IPs/tribal peoples have been identified (through screening and social assessment) to be affected while implementing the particular project activities. The IPPs will specify the plan of activities, including consultation, support (such as training, grants, logistical assistance and so forth) that has been agreed, as well as monitoring and evaluation information. The IPP shall be prepared prior to the implementation of activities at each site. During IPP implementation, PMU and Safeguards Analyst through the LPMU safeguard specialist shall (i) make use of appropriate IP/tribal institutions and structures (IPOs)<sup>43</sup> at the gram panchayat /ward level (refer to section 5.3) and; (ii) undertake specific activities, that will enable indigenous/tribal groups to meaningfully engage in sub-project activities. Similarly, a livelihood restoration plan (LRP) is required where the project will restrict land uses and access to natural and community resources of residents of the project area resulting in a loss of income and livelihood. The LRP shall be prepared following the guidelines of the participatory processes specified in the Process Framework (PF) [refer to sections 6.3 (6.3.1 & 6.3.2) for determining eligibility criteria and proposed measures to assist affected persons and communities.

The IPP and LRP may require updating if unanticipated impacts occurred during implementation: (i) when newly identified indigenous/tribal peoples in the project area are found to be affected, (ii) when new types or scales of impacts/access restrictions from project activities are detected. PMU through LPMUs shall assess the significance of impacts and identify measures to mitigate these and ensure that benefits accrue to affected communities. The table 8.1 below summarizes the role and responsibilities of implementing the measures recommended in this IPPF/IPPs and PF/LRPs.

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<sup>43</sup> May include but not limited to-- Village Community Resource Management Committee (VCRMC), Eco-Development Committees (EDC), Biodiversity Management Committee (BMC), Forest Rights Committees (FRC) and Tribal Village Councils where functionally existed and relevant for the project

Table 8.1 IPPF/IPP & PF/LRP Institutional Framework

<b>Entity</b>	<b>IPPF/IPP responsibilities</b>
WWF GEF Agency	Overall supervision and oversight of the IPPF/IPPs & PF/LRP
National PMU Project Manager with technical input from Safeguards Expert at National level	<ul style="list-style-type: none"> <li>• Review and approve Indigenous peoples plan (IPPs) and LRP, ensuring that the IPPs and LRPs are consistent with IPPF and PF respectively;</li> <li>• Review safeguards risks annually, and update safeguards mitigation/management plans as necessary</li> <li>• Ensure environmental and social risks are identified, avoided, mitigated and managed throughout project implementation</li> <li>• Coordinate the preparation of IPPs/LRPs and forward them to WWF-GEF Agency for review and no objection;</li> <li>• Orient and support, as needed, the Safeguard Consultants at LPMUs on their tasks relative to screening, social assessment, FPIC and preparing, updating, and implementing IPPs and LRPs;</li> <li>• Ensure budget for preparing and implementing IPPs and LRPs, ensuring that funds are available in a timely manner;</li> <li>• Monitor the implementation of IPPs and LRPs; ensuring that this is carried out in compliance with the project IPPF and PF respectively following WWF Environment and Social Safeguards Integrated Policies and Procedures and GoI rules and regulations;</li> <li>• Ensure Free Prior and Informed Consent (FPIC) is obtained in project areas where IPs/tribes are affected;</li> <li>• Ensure all grievances related to IPPF and PF are dealt with promptly. Upon receipt of a grievance, the Safeguards consultants at LPMUs will hold meetings with local communities or individuals, to discuss the issues and develop amicable solutions which will be implemented strictly; and</li> <li>• Ensure all local communities are aware the project activities and the implications of conservation management of critical corridors and ESZ forests including provisions of grievance redress mechanism (GRM) of the project.</li> </ul>
LPMUs based Landscape M&E and Safeguards/IP Specialists	<ul style="list-style-type: none"> <li>• Undertake screening for presence of IP/tribal communities and likely access restrictions to local communities and prepare report for submission to National PMU;</li> <li>• Based on the findings of screening, conduct social assessment (if required) and draft IPP and LRP and submit to National PMU for review and endorsement;</li> <li>• Hold meaningful consultations with stakeholders and affected IPs/tribal communities and maintain documentation of all consultations specifying key issues raised, responses provided and measures taken to address all applicable issues raised;</li> <li>• With support/guidance of Safeguards Analyst at National PMU obtain FPIC from affected IPs/tribal communities and document the process and procedures adopted;</li> <li>• Prepare database of affected IP/tribal households and other affected people due to access restrictions and socioeconomic information gathered during the preparation and updating of the IPP and LRP;</li> <li>• Ensure WWF Environment and Social Safeguards Integrated Policies and Procedures are complied with;</li> <li>• Facilitate a sustained public information campaign, ensuring that the public, especially the affected households, are updated on any developments regarding the project and IPP and LRP activities including GRM processes and procedures;</li> <li>• Receive and act on the complaints and grievances of affected households in accordance with the IPPF/IPP and PF/LRP;</li> <li>• Maintain a record of all public meetings, grievances, and actions taken to address complaints and grievances; and</li> <li>• Monitor and prepare progress reports on IPP and LRP implementation.</li> </ul>

## 9 Framework for Grievance Redress Mechanism

A grievance mechanism is a process for project proponents to receive, review and address affected communities' concerns and complaints. Any person or group who is affected by project activities has a right to raise a grievance and the project proponent has the responsibility to respond within a reasonable time period. The existence of a project-level grievance mechanism should not affect local peoples' rights to obtain external and/or legal advice or support.

For this project, a GRM is required to ensure that IPs/tribal communities and other stakeholders who may be affected can communicate their concerns about a Project's safeguards performance through various entry points, scaled to the nature of the activity and its potential impacts. This includes, where necessary, ensuring that an effective Project-level grievance mechanism is available. Project-level grievance mechanisms need to consider indigenous peoples' customary laws and dispute resolution processes. Traditional dispute mechanisms of affected indigenous peoples should be utilized to the largest extent possible.

All affected persons will be made fully aware of their rights, and the detailed grievance redress procedures will be publicized through an effective public information campaign using print and electronic media and FM radio. The implementing agency through its national level PMU and project landscape level LPMUs will ensure that the IPs/tribal communities are made aware of the GRM and their entitlements, and assured that their grievances will be redressed adequately and in a timely manner. However, where IPs/tribal and local communities are not literate in languages other than their own, special assistance will be sought from community leaders, CBOs, and NGOs having knowledge of their language, culture, or social norms, or having working experience among the IP/tribal community, who will help the IPs/tribal people to express their concerns, consult about mitigating measures, and explain to them the project and its potential impact on the IP/tribal community.

A grievance redress mechanism for the project is necessary for addressing legitimate concerns of affected individuals and groups who may consider themselves deprived of appropriate treatment under the project. Pursuant to WWF's Environment and Social SIPP, the PMU and LPMUs will set up and manage a grievance redress mechanism (GRM) that would address project affected person's, Indigenous/tribal People's and other groups' grievances, complaints, and suggestions.

Two layers of GRM comprising of Grievance Redress Committee (GRC) formed at Project (national PMU) and village (village/tribal councils or Gram Panchayat/Gram Shaba) level has been proposed to resolve concerns and grievances of the affected individuals, HHs and communities related to planning and implementation of IPPF/PF and subsequent safeguards plans. The existing village/tribal councils or Gram Panchayat/Gram Shaba are well recognized as inclusive organizations having long tradition of local dispute and grievance management. The project can use such "social capital" for resolving project related grievances. The project needs to provide logistic support and incentives (e.g. stationary and provision of meeting and travel allowance if someone need to travel to forest and NP offices and project office) to mobilize the local communities and community-based organizations for grievance resolution. The village level GRC comprises a committee of five to nine members (as necessary) under the chairperson of eminent and trustworthy member of the village nominated by village/tribal councils or by Gram Panchayat/Gram Shaba to hearing the complaints received from different stakeholders and for agreeable resolution. The committee will ensure representation of members from women and IPs/tribal groups and Village Community Resource Management Committee (VCRMC), Eco-



Development Committees (EDC), Biodiversity Management Committee (BMC), Forest Rights Committees (FRC) and Tribal Village Councils where functionally existing and relevant for the project. The GRC then select a secretary from amongst themselves considering his or her interest, education level, and experiences, to lead the administrative assignment. The social safeguard/IP specialist working in each LPMU will provide orientation to the GRC about process and procedures of the GRM. The GRC at National PMU level is led by the Project Director and is comprised of Project Manager (PM) and the Safeguard Experts working at PMU. The Safeguard Expert will act as member secretary of the GRC.

It is proposed that the affected communities/stakeholders or individual first register their grievances with the GRC at their villages. After receipt of a grievance, the GRC should take up the matter during the next immediate meeting and initiate measures for redress. No grievance can be kept pending for more than two weeks which means the GRC at village has to meet every two weeks, if it receives grievances. Implementation of the redress rests with the project staff working for the same village/ area with support of safeguard consultant stationed in each LPMU. In case the aggrieved parties are not satisfied with the proposed redress measures at the village level GRC, they may submit their grievance to the GRC at PMU led by the Project Coordinator. The GRC is responsible to hear, resolve and monitor the grievances. The PMU GRC needs to give decisions within 15 days of received of any grievances. The decisions of GRC at PMU will be implemented and monitored by Project Manager and Safeguard Specialist at PMU through LPMU with the help of safeguard consultant and its staff working for the projects and other stakeholders.

**Table 9.1 Levels of GRM and their Responsibilities in Grievances Management**

<b>Levels of GRM</b>	<b>Roles and responsibilities</b>	<b>Remarks</b>
Village level	<b>1. Receive and register grievances through multiple outlets and channels</b> <ul style="list-style-type: none"> <li>• Written application/Verbal reporting</li> <li>• Telephone/fax/email</li> <li>• Meetings</li> <li>• Other</li> </ul>	The GRM will be disclosed to the stakeholders through written and verbal communication. The mediums to be used for this purpose are public meetings, group discussions, public notice and other means
	<b>2. Acknowledge, assess and assign</b> Acknowledge receipt and outline how grievances will be processed, assess eligibility and assign responsibility to response	In case the grievance is assessed to be out of the scope of the GRM, a communication towards the same shall be made to the grievant, and an alternative mode of redressal shall be suggested
	<b>3. Propose response</b> The village level GRC meet at a regular interval to review and hearing on the grievances and identify a suitable resolution within 15 days of the receipt. The possible resolution may include provision of information to clarify the situation, undertaking measures to remedy actual problems or compensate for any damage that has been caused either by financial compensation or compensation in-kind, and introduction of mitigation measures to prevent recurrence of the problem in the future	
	<b>4. Communication with grievant</b> The outcomes of hearing will be communicated to the grievant within 2 days of the hearing and take necessary action to implement the resolutions. If the grievant is not satisfied with the solution, s/he may choose to ask for an escalation of the grievance to the next level	In case the issue is beyond the purview of the Village level GRM, it should be escalated to the National Level GRM lead by project director. A communication regarding the same shall be provided to the grievant.
National Level	Also receives grievances directly, register and acknowledge the receipt. It either does the hearing or forwards the grievances to village level GRM after assessing their scope. The grievant will be notified accordingly.  It also reviews and hears grievances forwarded by the village level GRM. The national level GRM shall in turn endeavor to resolve the grievances of either types within 15 working days of the receipt/escalation.	

In addition, the above-mentioned project level GRM system, WWF's Policy on Accountability and Grievance Mechanism has established a grievance redress mechanism for all WWF GEF projects. It is designed to enable the receipt of complaints of affected women and men and public concerns regarding the environmental and social performance of the project funded by WWF. WWF has designated its Senior Director for Public Sector Support as its "Project Complaints Officer" (PCO). Any Affected Party may file a complaint. While anonymous complaints will not be considered, complainants can request confidentiality. Confidential complaints should be directed to the WWF Project Complaints Officer, Senior Director for Public Sector Support and Government Affairs in Washington, DC. Complaints may be submitted by email to [SafeguardsComplaint@wwfus.org](mailto:SafeguardsComplaint@wwfus.org) or delivered by post to Safeguards Complaints, 1250 24th Street NW, Washington, DC 20037. Stakeholders may also submit a complaint to WWF online or over the phone through EthicsPoint, an independent third-party platform at <https://secure.ethicspoint.com/domain/media/en/gui/59041/index.html>.

The GRM established should comply with the following requirements.

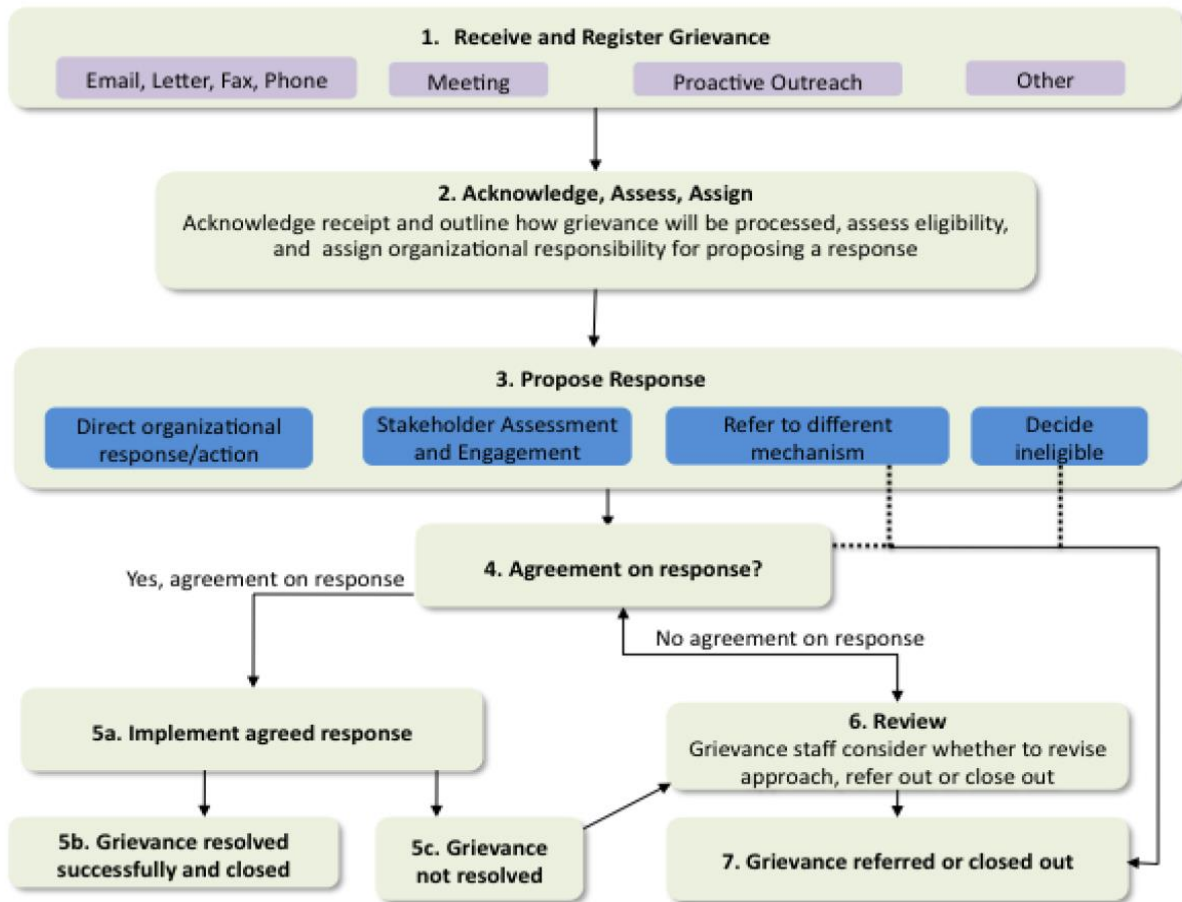
- **The GRM should have multiple uptake locations and channels.** Project affected persons and groups should be able to submit complaints or suggestions in person, via mail, email, phone, or complaint boxes located in strategic locations of the designated project offices. These channels should be locally-appropriate, widely accessible and publicized in written and verbal forms on all project communication materials, and in public locations (e.g., local stores, offices of Gram Panchayat, local offices of forest department and government line agencies, offices of tribal/village councils, offices of Village Community Resource Management Committee (VCRMC), Eco-Development Committees (EDC), Biodiversity Management Committee (BMC), Forest Rights Committees (FRC), and offices of local governments, schools etc.)
- **All grievances should be registered.** All complaints submitted to GRC at village level and to the office of national project coordinator at PMU should be registered and the complaint should be assigned a unique tracking number upon its submission and should be acknowledged. Each GRC should maintain a database with full information on all submitted complaints and responses made. This data is important to assess trends and patterns of grievances across the project regions and for monitoring & evaluation purposes.
- **Strict complaint resolution procedures should be developed and observed, and personnel should be assigned to handle the grievances.** The project team should develop clear and strict grievance redress procedures and assign responsibilities. Dedicated staff having adequate knowledge on IP issues and social analysis capacity should be assigned in project teams to investigate complaints and take appropriate actions. Such procedures should include a requirement to register all complaints with acknowledgement of received, strict allocation of responsibilities, clear timelines for processing and handling complaints (e.g., responses to complaints must be provided within 12 working days (2 weeks) and or 18 working days for particularly complex complaints), and regular communication with affected persons and groups regarding the status of their complaints. To the extent possible, complaints should be handled at the lowest decision-making level, as close as possible to the complainant. Complaints that

are beyond the Project scope should be conveyed to the complainants as well as the relevant project offices.

- **Complainants should be notified of their right to appeal the decision taken by the project team.** If complainants are not satisfied with the project's response to their grievances, they should be able to appeal the decision to the executive ministry. All appeals should be registered in the ministry and decisions should be taken within 15 days. Project affected persons and groups will also have a right to bring their grievances to the court of state at any stage, if they are not satisfied with the Project's GRM.

In order to develop a culturally appropriate and well-functioning grievance mechanism, the system and process should be transparent, legitimate, accessible, holistic, predictable, equitable and rights-compatible. However, any functioning grievance mechanism will depend on the project's local context and its relationship with local communities. Whatever approach is chosen, the mechanism must be legitimate – it should have a governance structure that is clear and sufficiently independent to ensure grievances are dealt with fairly, and without interference of any involved party.

The diagram (Figure 6) below shows typical steps in a grievance resolution mechanism, which can be tailored to the particular institutional context, capacities, and concerns of a project and their stakeholders.



**Figure 6 Steps in a grievance resolution mechanism adopted from UNDP’s Supplemental Guidance: Grievance Redress Mechanisms, October 2017**

## 10 Monitoring and Reporting Arrangements

The national Project Management Unit (PMU) hosted by GTF with coordination and support through LPMUs will prepare and implement IPPs and livelihood restoration plans (LRP) and other mitigation measures recommended in the IPPF and process framework (PF), if there are any impacts on indigenous communities including access restriction and impact on livelihoods. The main purpose of monitoring is to ensure that all expected measures of IPPs and LRP will be implemented in accordance with policies and procedures spelled out in this IPPF and PF.

### 10.1 Purpose and Indicators

The Project Management Unit (PMU) through LPMUs will execute the project specific IPPs and LRPs as per this IPPF and PF. Compliance Monitoring will include establishment and maintenance of an IP/tribe database, socioeconomic profile of access restriction of the affected peoples and monitoring arrangements to (a) track engagement of indigenous/tribal groups and affected peoples in the various project activities, and; (b) determine whether IPPs and LRP and

other mitigation measures were implemented as planned, and in accordance with the IPPF and PF. The PMU will coordinate monitoring of implementation of the IPPs and LRP and other provisions spelled out in the IPPF & PF. The monitoring findings and recommendations relating to IPs/tribal communities and access restricted households/communities will be included in the periodic reports from the PMU to WWF GEF Agency. The project will conduct internal as well as external/independent monitoring to ensure that IPPs and LRPs have been implemented as planned, and in accordance with the IPPF and PF.

## **10.2 Internal Monitoring**

The Project Manager with technical input from the Safeguards Expert has responsibility for internal monitoring in the implementation progress of IPPs and LRPs. The PMU will prepare monitoring reports on a quarterly basis. Some of the key indicators for periodic monitoring of IPPs and LRP and IPPF and PF include:

- Ensure that all negative impacts of the project on IPs/tribes are mitigated, minimized or compensated in compliance with IPPF and IPP.
- Ensure that measures of benefit maximization and adverse impact mitigation are implemented in culturally appropriate way for IPs/tribal peoples.
- Identify whether the free, prior and informed consent (FPIC) for IP/tribal communities is conducted in a culturally appropriate manner with proper documentation.
- Determine if grievance procedures are followed according to the IPPF and suggest solutions if there are pending issues.
- Ensure that progress on implementation of mitigation/beneficial measures happen in a timely manner and confirm that affected IPs/scheduled tribes have been provided with all support packages (livelihood and income restoration, skill development etc.) as planned in IPPs.
- For LRPs and other measures of PF, the monitoring indicators should cover areas such as (1) basic information on affected persons' households, (2) restoration of living standards and livelihoods, (3) levels of affected persons' satisfaction determined by number of grievances registered, and (4) effectiveness of restoration planning. These indicators may be verified from various sources such as field inspections, site reports, special project audits, annual monitoring and so on.

The purpose of monitoring will be achieved through continuous internal monitoring of process indicators and outputs of the PMU against the set objectives of an IPP. Monitoring reports will summarize progress of implementation of IPP and LRP activities and any compliance issues and corrective actions required. The monitoring reports should clarify whether IPP and LRP goals have been achieved, whether livelihoods and living standards of affected IPs/scheduled tribes communities have been restored/enhanced. Appropriate recommendations for improvement also need to be included in monitoring reports. Any problems or issues should be identified and adaptively managed. All reports will be submitted WWF GEF Agency for review and their monitoring purposes.

## **10.3 External Independent Monitoring**

- An independent consultant recruited by the Executing Agency will be responsible for the independent monitoring and evaluation. The monitoring will be done twice- mid-term and final term within the project period. The external monitoring will be conducted by an

expert consultant specialized in social science. Key indicators of external monitoring and evaluation are presented as follow:

- Effectiveness of public consultation and awareness of project benefits, and livelihood enhancement measures entitled to the affected IPs/scheduled tribes and local peoples;
- Level of satisfaction of affected IPs/scheduled tribes and local peoples with the provisions of IPPF and PF and IPP and LRP;
- Effectiveness and efficiency of grievance redress mechanism (documentation, process, resolution);
- Effectiveness and sustainability of entitlements and income rehabilitation measures for affected IPs and local peoples;
- Process followed to obtain broad community support through FPIC —record of processes, participants, locations and agreement obtained;
- Capacity of affected IPs and local peoples to restore/re-establish livelihoods and living standards with the support provided by the project;
- Suitability of actions undertaken for mitigation and compensation of access restriction and livelihood impacts due to project;
- Appropriateness of activities planned and implemented for assuring IPs and affected people's participation in IPP and LRP planning and implementation;
- Institutional capacity for supporting the IPP and LRP elaboration and implementation, internal monitoring and reporting systems;
- Channelling of funds for compensation of loss of income and livelihoods and allowances for affected IPs and local communities.

## 11 Budget and Financing

All costs related with IPP and PF/LRP planning will be executed as part of the proposed project. The MoEFCC will ensure that there are sufficient resources to cover all costs related to the screening of IPs and affected peoples due to access restriction in project areas. In addition, the subsequent social assessment and preparation and implementation of IPP and LRP, including its supervision and monitoring, will be included in the project budget.

It is proposed that costs be earmarked for an environmental and social safeguards specialist (consultant or staff) to work with the PMU and the LPMUs for the full project period should be included in project staff cost. Budget for travel costs and workshops and meetings for safeguards monitoring (including travel, workshops and meetings) should be included in the overall monitoring and evaluation budget of the project. A dedicated budget of US \$ 331080 has been allocated to support planning, implementation and monitoring of the Process Framework and the Indigenous Peoples Planning Framework (including third party fees and services). The Table 11.1 provides the detail break down of the allocated budget for safeguards management for the project.

**Table 11.1 Budget for safeguards planning, implementation and monitoring**

SN	Budget item	Unit	Allocated sed budget for safeguards management from WWF side (US \$)	Remarks and explanation
1.	National Landscape Safeguard Expert based at national PMU to support WWF-led Components 2 & 3	1	42,000.00	14 months input in Years 1-6 @ USD 3000/month. Distribution of time inputs of the consultant will be the subject of adjustment within the project period as per the requirements. M&E and Safeguard Analyst position has been proposed in Component 4 supporting overall project with \$120,000 budget allocation
2.	Landscape M&E and Safeguards/IP Specialist at LPMU	2	72,000.00	Pakke-Eaglenest need more man month inputs as more communities need to be covered, thus inputs of 36-person month has been proposed; for Dudhwa 24-person month has been proposed where community coverage is small. So, all together 60-person months @ \$ 2400/month= \$ 144,000 out which \$72,000 is already budgeted under component 1 & 3
3.	Preparation and implementation of LRP <sup>s</sup> <sup>44</sup> and IPPs based on the IPPF/PF guidance including obtaining FPIC, where required.	LS	80,000.00	US \$ 50,000 for Pakke - Eaglenest and \$ 30,000 Dudhwa since Pakke-Eaglenest need more budget as more communities need to be covered. It also covers expenses required for supervising translation of the GRP processes etc. as they will also need to be done in local language along with FPIC process documentation done in local language and may need translation to English if needed for reporting.
4.	Social/community mobilizers at project sites of each landscape to support safeguard specialist at LPMUs	2	81,810	Output 2.1 \$27,270 (3 pax x 18m x \$505); Component 3 all outputs \$54,540 (3 pax x 36m x \$505) have been allocated. The budgeted 3 mobilizers - 1 for Dudhwa and 2 for Pakke-Eaglenest as more communities involved would be fine.
5.	Internal safeguards monitoring by LPMU safeguard specialist with support from social mobilizer (travel, workshops and meetings and reporting)	LS	15,270.00	US \$ 10,000 for Pakke - Eaglenest and \$ 5,000 for Dudhwa). This includes cost required for travel and other expenses for compliance monitoring. Fees are not included as these are regular responsibilities of LPMU safeguard specialist and mobilizer
6.	Third party monitoring (midterm and final term) [including consultant fee, travel, meeting and all other required expenses]	LS	40,000.00	US \$ 25,000 for Pakke - Eaglenest and \$ 15,000 for Dudhwa. Pakke-Eaglenest need more budget as more communities need to be covered.
<b>Total</b>			<b>3,31080.00</b>	

<sup>44</sup> PF has proposed to link LRP with project activities already proposed under Output 3.4. Please see Section 6.2 and Table 6.2, page 65-69 of the IPPF and PF so that the proposed allocation can optimally utilized.



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## Annexes

### Annex 1 Consultation Report Pakke-Eaglenest Landscape

#### UNDP/WWF/GEF India Small Wild Cats Project

##### Abbreviations

BMC	Biodiversity Management Committee
CCA	Community Conserved Areas
CM	Chief Minister
EDC	Eco-Development Committee
ESZ	Eco-Sensitive Zones
FPIC	Free Prior Informed Consent
FRA	Forest Rights Act
HWC	Human-Wildlife Conflict
IPPF	Indigenous Peoples/Tribal People Planning Framework
JFMC	Joint Forest Management Committee
LPC	Land Possession Certificate
MoU	Memorandum of Understanding
NABARD	National Bank for Agriculture and Rural Development
NOC	No Objection Certificate
NREGA	National Rural Employment Guarantee Act
NTFP	Non-Timber Forest Products
PCCF	Principal Chief Conservator of Forests
SBVCRMC	Singchun Bugun Village Community Reserve Management Committee
SBT	State Bank of Travancore Housing Scheme
TR	Tiger Reserve
WS	Wildlife Sanctuary

A safeguards assessment and screening mission for the proposed Strengthening conservation and resilience of globally significant wild cat landscapes through a focus on small cat and leopard conservation project took place from 17-21 February, 2020. The mission team included Hari Bhattarai (Safegaurds Consultant), Rushi Pant (Head of Biodiversity and NRM, UNDP), Mr. Kamal Medhi (Landscape Coordinator, WWF), Mr. Piyush Dutta (Lead, Community Engagement, WWF), Dr. Ramana Athreya (Scientist and Wildlife Researcher, Indian Institute of Science Education and Research (IISER)), and Chirchomri Khayi (Intern, UNDP) visited sites in Pakke Tiger Reserve (TR) and Eaglenest Wildlife Sanctuary (WLS). The list of people met with and photograph is included at the end of this report. This report summarizes the key mission findings and agreement on next steps.

##### **Objectives**

The specific objectives of the mission were to:

- Screen any potential adverse environmental and social impacts of indicative activities in the potential project sites in the Pakke Tiger Reserve (TR) and Eaglenest Wildlife Sanctuary (WLS) and to complete UNDP social and environmental screening template.
- Agree on the broad safeguards due diligence assessments and mitigation plans to be developed (in this case, Indigenous/Tribal People Planning Framework and a Process Framework) during project preparation.
- Agree on a timeline and next steps for the safeguards process to meet UNDP and WWF requirements prior to submission of the Project document for GEF and WWF Agency approval.

### **Mission Findings**

**The Project Sites:** The Pakke Tiger Reserve and Eaglenest Wildlife Sanctuary are legally distinct units but together form a contiguous area known as Kameng Protected Area Complex (3500 km<sup>2</sup>). The Kameng protected area complex is situated in the districts of West Kameng and East Kameng in the western part of State of Arunachal Pradesh, India. Eaglenest WLS is also contiguous with Sakteng WLS across the border in Bhutan. It also embraces Singchung Bugun Village Community Reserve and Sessa Orchid Sanctuary (under the Forest Research Institute), as well as Territorial Forest areas contiguous with Pakke TR.

The protected areas of Pakke TR (862 km<sup>2</sup>), and Eaglenest WS (217 km<sup>2</sup>) cover a large altitudinal gradient from the foothills in Pakke to about 3,000 m in the Eaglenest sanctuary, thus encompassing a large fraction of the biodiversity of this exceptionally biodiverse part of the Himalayas. It harbors six small cat species: Jungle Cat, Fishing Cat, Leopard Cat, Marbled Cat, Golden Cat and Clouded Leopard along with the Tiger and Leopard (Landscape Profile, 2019).

Declared in 2002 under Project Tiger scheme of Government of India, Pakke Tiger Reserve evolved from Camo Sanctuary, created in 1977 and then Pakhui Wildlife Sanctuary created in 2001. Pakke Tiger Reserve is governed by the Field Director (of the rank of Chief Conservator of Forest). Seijosa town in East Kameng is the headquarters of the field director. Seppa town is the headquarter of the East Kameng district, the District Commissioner and headquarters of other line agencies are based there.

Eaglenest Wildlife Sanctuary (West Kameng) is headed by Divisional Forest Officer, Shergaon Forest Division; the headquarters are in Rupa. The district headquarter is located in Bomdila town. The District Commissioner and headquarters of other line departments are also located there. The Monpas, SherTukpens, and Bugun are the key tribe groups who have been inhabited around the Eaglenest WLS for many generations and play a vital role in the conservation of this sanctuary. The area around the Pakke Tiger Reserve is mainly inhabited by the Nyishi Tribe. Besides these tribes, substantial number of Nepali speaking people are also inhabiting in these areas who form the third largest linguistic/ethnic group in West Kameng and the second largest in East Kameng district.

Most of the landscape is rugged and forested. No large industry is present in the landscape. However, it was reported that a new 90 W hydro-electric project has been proposed near the northern boundary of Pakke Tiger Reserve, 200 m below the Pau and Pasa Rivers. The water is

proposed to be diverted through an underground channel and released in the Kameng River upstream.

Agriculture is the main land-use around settlements. Traditionally, shifting agriculture has been practiced for subsistence. In recent years, cultivation of tomato and cabbages in particular around the Eaglenest sanctuary has started, which are raised as cash crops. Agriculture is mainly done by manual labor. Cattle are raised for agriculture or food. Ecotourism has a large potential but so far has remain under-developed.

Until a few years ago, timber harvest was also permitted for commercial purposes according to quotas fixed by the government. Much of the forests are “Unclassified”, i.e. they are not Reserved Forests, National Parks or Sanctuaries. With increasing demand for timber from the rest of the country, deforestation had started at a rapid pace. Taking cognizance of the serious environmental crisis in the state, the Hon. Supreme Court of India passed a judgement to completely halt all commercial timber extraction. This ban continues to be in force and has brought a new lease on life to the forests.

Dependence of tribal/indigenous communities on forests is high, both by tradition and necessity. The tribes also claim that they are the dominant forest land holders customarily. Tribal communities maintain traditional use rights of NTFP collection. Timber extraction is allowed for domestic, non-commercial use to the local communities outside the protected areas. In recent years, several government initiatives have also promoted cultivation and sustainable harvest of medicinal and aromatic plants. Several wild plants and mushrooms are an important part of the local food. These are collected for consumption as well as for sale in local markets.

No villages exist inside the core areas of Pakke Tiger Reserve and Eaglenest Wildlife Sanctuary. Human wildlife conflict (HWC) is rampant in the areas. Conflict in the form of crop damage by wild elephants is a serious problem around both Pakke TR and Eaglenest WLS. Locals also reported that their livestock are frequently killed by tigers and other wildlife in Pakke areas. According to the local people, Tiger or Leopard are absent or occur in very low numbers in Eaglenest WLS or surrounding areas thus livestock depredation is not a serious concern here.

### **Discussion in Seijosa: Consultations with the Nyishi Community from Mabuso I and Mabuso II Villages**

The Mabuso I and II are the relocated settlements in 1993 from original Mabuso village currently located in the core area of Pakke TS. Both the settlements are currently inhabited by the Nyishi tribe. Their ancestors were relocated to original Mabuso from Jhokmara/Zokmara in 1972. The resettlement of families from original Mabuso to Mabuso I and II was initiated by the Deputy Commissioner of Bomdila. Prior to Pakke TR declaration, multiple stakeholder consultations were undertaken with the community by forest department and NGOs. On 7 October 1993, about 50 Nyishi families from original Mabuso were relocated to ex-army abandoned land (Mabuso I and Mabuso II, 25 families in each settlement). There are presently ~30 families in each village. The families were given State Bank of Travancore Housing Scheme (SBT) houses but without land rights. A Provisional Land Possession Certificate (LPC) was given but it has already been expired. In March 2000, the community requested the Deputy Commissioner and the state government for

allotment of land possession certificate. However, the wildlife department did not process it and the community learned they had to pay revenue for it. When the process was initiated, the Forest Department objected to it. In the new location, the rocky soil was unsuitable for agriculture. The community was promised 5,000 acres of forest land, which is yet to be fulfilled.

The participants at the meeting informed the project team that when the Eco-Sensitive Zone (ESZ) (10 km) of the Pakke Tiger Reserve was declared, Mabuso I and II came under the buffer zone. Constructions of roads, hospitals, industrial units are not allowed. People are against the buffer zone because they see it as an extension of the core area and are not getting any substantial benefit from the buffer. The participants also informed that:

- No presence of Tiger Foundation in their area.
- No Eco-Development Committee formed.
- No active Tribal Council.

The locals pointed out that there are no human-small cat conflicts in the region. Small cats are known as “dasso’ locally.

The locals shared their following grievances with regard to conservation projects in their territory:

- Negative socio-economic impacts from poor rehabilitation after the creation of the Pakke Wildlife Sanctuary in 2002.
- Although conflicts with elephants is widely prevalent, compensation for crop damage is negligible. The processes and procedures of getting compensation of wildlife damage is very complicated. They are therefore unable to practice farming.
- The participants questioned the sustainability of the project – what happens after the project termination- no clear exist strategy.
- Disillusionment with NGOs/ conservation projects due to undelivered promises of employment and other benefits.
- Despite active cooperation with conservation efforts in the past, they are wary of doing so in the future since only a few benefits from such projects.
- Lack of land rights hinders developmental projects and investments in the area.

The participants highlighted the following concerns/ demands regarding the proposed project:

- Few participants asked why they should be involved in small cat conservation project. They want tangible benefits -- livelihood supports, employment and income generation opportunities -- from the projects.
- Project should follow a transparent approach on budget allocation and fund disbursal.
- Clarity on the aims and objectives of the project.
- The project should not impose any types of restriction to access to forest in the name of ‘conservation’.
- The project should target maximum tangible benefits for the locals.

- There should be a more innovative approach to involve locals in consultations in all phases (design, implementation and post project activities) of project cycles (it was noted that most of the attendees of this meeting were not present in the last stakeholder meeting with project preparation team). Locals suggested to engage with a member from each family in all project related community consultation giving prior notice and discussion agendas. Project should provide meeting allowance to all participants while participating project related meeting.
- Project should ensure equity in benefit sharing and focus towards community benefits and not restricted to individuals.
- The participants want a clear MoU or agreement with the project to ensure benefits-- livelihood supports, employment and income generation opportunities -- from the project and also want in writing that there will not be any forms of restriction of access to natural resources in the name of “cat conservation”.
- Exposure visits for the locals for increased awareness.
- Livelihood scheme for one member for each participating family.
- Support to income generation from plantation for low-maintenance crops like Tamul (Areca nut) and lemon, which is known to be a deterrent to elephant passage. Fencing around plantation to avoid HWC.
- Support for improved cattle shed for each family.

#### **Suggestions from Project Representatives:**

- Conservation of small cats in their habitat will consequently protect other species found in that area.
- The locals have the right to give or withhold their consent for any projects planned in their territory. Project will follow approach of obtaining Free, Prior and Informed Consent (FPIC) from the local communities, particularly from scheduled tribe communities.
- The project implementation is flexible, it will take the local’s ideas and unique situation into consideration.
- Multiple stakeholder consultations with the communities will be undertaken.
- Alternatives will be provided in case of consequential restrictions of access to natural resources on the locals.
- The following approaches were suggested for implementing the project in the region:
  - Eco-tourism: A unique tourism model specific to the Seijosa area could be adopted. Suggestions were made to set aside a voluntary community conservation area – for birds, medicinal plants, etc.
  - Employment: The Youth can be trained, by way of including them in research conducted in the region, to become nature/tourism guides. This skill development can further generate data which will be useful in future research. This has been

implemented in Bugun where 10 local youths are currently employed for a period of five years.

- Plantation: Create a plantation for the cultivation of forest resources that the community is no longer permitted to harvest from the forest.
- Training and awareness programs for the youth.

#### **Discussion with Mr. Tana Tapi, DFO/DCF Pakke Tiger Reserve**

- The Mabusos are legally Reserved forests.
- The Mabusos 1 and Mabusos 2 villages are part of a 6-8 sq km land that was earlier leased to the Sikh Regiment for 30 years. The lease expired in 1994.
- The land was given to the Nyishi community after the land was vacated. 14 bighas (3 bighas = 1 acre) were given to each family during relocation, along with a 3-room house.
- Around 300 LPCs, each comprising of 5 hectares, with fictitious names were sold to Kameng Dolo. The High Court dismissed the LPCs since No Objection Certificate (NOC) was not obtained from the Forest Department.
- Part of the land is given to Patanjali and already heavily invested for the cultivation of medicinal plants. This generated employment for 150-200 people; a majority of these laborers are from Assam.
- Only 4-5 families remain in the original allocated land.
- Land already allocated to 80% of the relocated community.
- The Nyishi community of the region are well educated, most of them employed in the government sector.
- Reserved Forests developmental schemes for renewables, agriculture and NREGA are active in the region.
- In 2019, Tourism department gave 50 lakhs to 10 beneficiaries for homestays (5 lakhs each) but marketing, publicity, inventories surveys, etc., are required to promote them. Sensitization is required to inform the locals about the economic potential of tourism.
- Mr. Tapi attempted to allocate a certain area outside the reserved forest for wildlife tourism but it was not approved.
- Buffer zone in the Pakke TR has been notified but the communities are against it. For buffer transfer, the territorial division of Kameng is responsible. The buffer zone currently consists of private lands and Community lands.
- Tiger Foundation exists but the Eco-Development Committee was not allowed to be constituted. It was cancelled during the micro-plan stage due to disagreements with the Communities. Without the EDC, the communities will not get any benefits from the Tiger Reserve fund (?).
- There is pressure from the CM/PCCF to keep the villages out of the buffer zone for political reasons.
- It is difficult to carve out villages since they are in between forests.

- The communities can apply for Forest Rights under (FRA 2006) since they have been in the region since 2001 but are yet to do so.
- There are no known threats to small cats.
- Mr. Tapi suggested the following for the implementation of the project:
  - Plantation for medicinal plants.
  - Eco-tourism, focusing on homestay.
  - Renovation of School buildings, support to local health facilities.

### **Discussion with Shergaon Biodiversity Management Committee (BMC)**

- Shergaon is located on the fringes of the Eaglenest WLS and comes under the buffer zone. It is primarily inhabited by about 200 families of SherTukpen tribe.
- Eco-sensitive zone has been created by air demarcation, however, the villagers have no knowledge about it.
- In the mountain areas of Arunachal Pradesh, ECZ is for 500 meters. Shergaon lies 5km from the ECZ.
- No Joint Forest Management Committee / Eco-Development Committee (JFMC/EDC) has been set up.
- The area is not allowed to have Hydel projects, big construction. But jhum cultivation and farming is allowed.
- Due to the rise in population and requirement for more land in the future, the community is wary of the Forest Department and conservation activities that require land protection. The village council earlier rejected the creation of Community Conservation Area (CCA). Thus, participants want a clear MoU or agreement with project to ensure that there will not be any forms of restriction of access to natural resources in the name of “cat conservation”.
- Shergaon BMC plays an important role in conservation. A community library set up by an NGO is used as an activity center to conduct awareness programs for students. Other activities like health camps, workshops and trainings are regularly conducted there.
- Shergaon has a sacred grove rich in oak trees (*Quercus lineata* and *Quercus serrata*). Felling or firewood collection is banned in the grove but oak leaves collected from there is used for mulching.
- A 17<sup>th</sup> century mudflats in the community forest is rich in rhododendron species. The BMC has applied for declaring the site as a Biodiversity Heritage Site.
- To reduce fishing pressure on indigenous fish species, substitutes were provided. The BMC obtained hatchlings of trout species (rainbow trout and brown trout) from the Fisheries dept. Fingerlings were released in the *Chhoskhorongkho* river. Research and surveys were done to ensure minimum threat to the native ones. This stretch of the river is free from anthropogenic pressures.
- It is considered inauspicious to hunt cats and therefore, small cats are well protected in Shergaon.



Suggestions from project representatives:

- Since small cats are already protected in Shergaon, the area can be chosen as a demonstration site to showcase the work being done by the community – as a knowledge hub.
- Outsiders can come and see how rules are formulated and implemented.
- Link research with skill development and livelihood: Local people can be trained and involved in the research/monitoring by visiting researchers/scientists. They can further use the skills to become nature guides or train students.

**Discussion with the Singchun Bugun Village Community Reserve Management Committee (SBVCRMC) and Patrolling squad.**

- There are 76 Bugun tribe households in Singchun. The bugun tribe consists of 4 clans, namely – Fian, Phinya, Sarai and Glo. There are 9 villages of the Bugun tribe in total. In the Singchun area, 4 bugun hamlets (Ramalingam, Chiringbam, Ruchungbam and Lui) are governed by one village council.
- The community donated 17 km<sup>2</sup> of their land as community conserved area (CCA). The village council has plans to extend the area to 27 km<sup>2</sup>.
- The village council, consisting of elected members from each clan, is the decision-making body of every aspect concerning the village. Under this council is a land management committee that is responsible for advising and verifying land related issues. Land records and land allotment is processed only after obtaining a NOC from the village council, signed by the VC chairman and village elders (gaon buras).
- SBVCRMC has 18 members – 9 executive members and 9 advisory members.
- Conflict with wild elephants has increased in the last 10 years. Elephants used to migrate seasonally from the foothills to 3000m but since the forests are degraded in the foothills, they have adopted new migration routes. They commonly pass through community forests and destroy everything in its path – houses, bamboo plantations. This affects the patrolling in summer since the squad cannot enter the forests. Locals believe that the elephants prefer the tender bamboo leaves found in Arunachal.
- Compensation for damage is nominal, comparatively lower than the rates in other states like Assam. The compensation process is lengthy and complicated and require validation from number of government agencies. Damage is supposed to be assessed by the Forest Department, and validated and compensated by the horticulture department.
- There are reported cases of accidental elephant deaths by urea consumption in farmlands. It is plausible that the animals mistook urea for salt.
- Biodiversity Management Committee not set up. People's Biodiversity Register not documented.
- No Eco-Development Committee.
- No conflicts with small cats.

- The community lacks a homestay/guesthouse for tourists, researchers. A Community reserve office cum residence can be set up.
- The community received 5 lakhs awards from the state government. This was used to set up the ropeway at lama camp.
- Salary for the Patrolling team is through the Wildlife Conservation Society and Rainforest Alliances.
- The patrolling team needs walkie-talkies for better communications. While patrolling, the team divides into groups of two and certain areas have signal issues.
- The patrolling team wants to initiate a river-cleaning project to remove waste dumped in the *dukhokho* river. The river is considered sacred. Earlier attempts failed.
- The patrolling team plans to initiate awareness programs and activities in the government schools, create short clips that can be shared on social media.
- Golden cat, leopard cat, marbled cat and clouded leopard cat found in the Singchun area.
- Large military presence in the area. Military camps have mandatory “arc of fire” area of 50m to maintain clear line of sight. This requires large-scale felling of trees if set up in forested land.
- Pressure on firewood for space heating. Summers are usually cold. Solar energy cannot be harnessed due to low availability of solar energy.
- 5 lakhs received from the tourism department used for constructing a 2-bedroom guesthouse at Lama Camp.

Suggestions from project representatives:

- Influence policy change through this project, e.g. simplification of process and review of compensation amount for HWC.
- Awareness generation amongst the locals against the use of pesticides, which are reportedly a threat to elephants.
- Capacity building of line departments (including the horticulture dept) in assessing crop damage and facilitating compensatory actions in HWC.
- Creation of a booklet to inform the locals of the legal mechanisms associated with HWC compensation.
- Sensitization of locals to avoid certain habits during particular seasons, electrification of fences, etc., to mitigate HWC.
- Using the co-finance component, create a list of existing government schemes for financing HWC mitigation. E.g. Compensation schemes, rural electrification schemes, animal husbandry schemes, etc.
- Setting up of EDC, BMC as part of the co-finance component.
- PBR should be documented for future ABS agreements.
- Homestays/guesthouses can be set up under eco-tourism.

- Funds from Tourism department and loans from NABARD, similar to the one in Tawang, can be accessed.
- Ensure female representation in all activities/committees.
- Due to the large army presence in the region, they can be involved in conservation measures. Sensitization, awareness programs can be organized to mitigate forest degradation.
- Firewood demand can be reduced by adopting innovative heating mechanisms – such as the one adopted in Lahaul, Himachal Pradesh (UNV, Secure Himalaya project).
- Design a strategy to make homestays more beneficial to the community, logistics and set up tourism facilities. Replicate the Thembang village model in managing homestays – homestay owners take turns hosting guests to ensure equity and coordinate meal preparation to avoid food wastage. Signboards for basic necessities can be used to bridge communication gap.

### **Next Steps and Agreed Actions**

Based on the observation and findings of both (Dudwa and Arunchal) project site visit, Safegurd consultant will complete UNDP SESP and prepare following safegurd planning document for the project

1. Indigenous People Planning Framework or a Tribal Planning Framework as there are Indigenous /tribal peoples are present in and around of the proposed project sites in Dudwa and Arunachal. The Indigenous Peoples/ Tribal people Planning Framework (IPPF) clarifies the principles, procedures and organizational arrangements including guidelines for obtaining Free Prior Informed Consent to be applied to Indigenous Peoples (IP)/ Tribal Peoples (TP) for the proposed project. The IP/TPPF aims to safeguard the rights of IPs/TPs to participate and equitably receive culturally appropriate benefits from the project.
2. Process Framework as it is highly likely that restriction of access to grazing, collection of fodder, roofing and fencing materials, firewood and other forest products that the local peoples including IPs in Dudhwa sites. Local people opined to avoid any form of restrictions to access to natural resources in Arunachal sites. The Process Framework (PF) describes a process to be established by which members of potentially affected communities participate in design of project activities, determination of measures necessary to mitigate likely impacts and implementation and monitoring of relevant project activities.

Annexure 1.2 List of attendees at the consultation with the Shergaon BMC and Head of Village Council on 20/2/2020

S.No	Name	Designation	E-mail	Signature
1.	LOBSANG TASHI	BMC, Member	9436690714 lobsanbmcnu1010@gmail.com.	
2.	PEM NORBU THUNGWON	BMC, chairman.	4402222540	
3.	Dorjee Khandu Monje	BMC Secretary	9774138738	
4.	Lobsang Tashi Thungwon.	BMC Member	9402968960	
5.	Ramana Athaya	PROF, IISER Pune	9960318508	
6.	Rin chong kawa	Chairman village council	9402946159	
7.	Chong khandu kawa	Member village council	9402431175	
8.	LEKHANDU	BMC, Members	9402045554	
9.	LEDO THUNGWON	Chairman, Garmay Thak	9436936315	

Annexure 1.3 List of participants at the meeting with Singchun Bugun Village

Annexure 1.3 List of participants at the meeting with Singchun Bugun Village  
 SINGCHUN, ARUNACHAL PRADESH 20/2/2020

S.No	Name	Designation	E-mail	Signature
1.	KAMAL MEDHI	LANDSCAPE COORDINATOR	kmedhi@wafindia.net	[Signature]
2.	PIJUSH KR. DUTTA	Lead Community Engagemt.	pdutta@wafindia.net	[Signature]
3)	ARJUN Tseringphing	Singchung		[Signature]
4)	Dawa Norbu Grew	Singchung (SEVER)		[Signature]
5)	Thinley Norbu Grew	Singchung (SEVER Boy)	Kellygrew098@gmail.com	[Signature]
6)	Wangtse Phingya	S. chung (SEVER Boy)		[Signature]
7)	Michael Phiang	S. chung (SEVER Boy)		[Signature]
8)	Lucky Tsering Phingya	Singchung (SEVER Boy)		[Signature]
9	Dorjee Phuntso	Singchung (SEVER Boy)		[Signature]
10	Shaleena Phingya	Pattrolling Member	Shaleenaphingya92@gmail.com	[Signature]
11	D. Poma	R.F.O. EWS	0653 hma.rajeev	[Signature]
12	Jimbu Muxphun	Sing		[Signature]
13	L.N. THONGCHU	Dy. F.O.		[Signature]
14	S.N. Phiang	Member Secretary SEVCRMC	Sangeynoebu Phiyang 60752@gmail.com 7085327553	[Signature]
15.	Indri Grew	Admisor	phuarung@gmail.com	[Signature]
16	Khandu Grew	ehlamang n SEVER	7629839981	[Signature]

Annexure 1.4 Photos from the Safeguards Visit to the Pakke-Eaglenest Landscape, February 2020.



(i). Consultation with the Nyishi Community, Pakke Jungle Camp, Seijosa, Pakke Tiger Reserve (19/02/2020).



(ii). Consultation with Shergaon Biodiversity Management Committee and the Village Council Chairman, Shergaon (20/02/2020).



(iii). Consultation with the Singchun Bugun Village Community Reserve Management Committee (SBVCRMC) and Patrolling Squad, Singchun Village (20/02/2020).

## **Annex 2 Consultation Report Dudhwa Landscape**

A safeguards and project preparation mission for the proposed Strengthening conservation and resilience of globally significant wild cat landscapes through a focus on small cat and leopard conservation project took place from January 4<sup>th</sup> to 14<sup>th</sup>, 2020. The WWF team included Anushika Karunaratne (Lead Specialist, Safeguards, WWF-US), Renae Stenhouse (Director, GEF Agency), Hari Bhattari (Safegaurds Consultant), Rushi Pant (Head of Biodiversity and NRM, UNDP), Dipankar Ghose (Director, Species & Landscapes Programme), Harshad Sambamurthy (Senior Program Officer, Specicies and Landscape Programme) and Rashid Raza (Project Design, UNDP) visited sites in Duduwa National Park network (*Katerniaghat Wildlife Sanctuary* and Dudhwa National Park). The list of people met is included at the end of this report.

This report summarizes the mission findings and agreements reached during the mission

### **Objectives**

The specific objectives of the mission were to:

- Build capacity of the project design team on WWF’s Environment and Social Safeguards Integrated Policies and Procedures.
- Identify any potential adverse environmental and social impacts of indicative activities in the potential project sites in the Dudhwa National Park and categorize the project.
- Agree on the broad safeguards due diligence assessments and mitigation plans to be developed (in this case, Indigenous/Tribal People Planning Framework and a Process Framework) during project preparation.
- Agree on a timeline and next steps for the safegaurds process to meet UNDP and WWF requirements prior to submission of the Project document for GEF and WWF Agency approval.

### **Mission Findings**

The Dudhwa landscape comprises of three protected areas-- Dudhwa National park and Kishanpur Wildlife Sanctuary in Lakhimpur-Kheri district and Katerniaghat Wildlife Sanctuary in the adjacent Bahraich district, which together form the Dudhwa Tiger Reserve. The Tiger Reserve was established in 1975. The surrounding land is primarily agriculture with Sugarcane and Paddy being dominant crops. The landscape lies in Eastern Uttar Pradesh in Lakhimpur-Kheri and Bahraich Districts. An international boundary with Nepal forms the northern boundary of the landscape. The northern boundaries of Dudhwa NP (approx. 56 km) and Katerniaghat WLS sanctuary (approx. 55 km) is also the international India-Nepal border. The project will focus its activities in Katharniyaghat Tiger Reserve and Dudwa National Park. Tharu tribes are indigenous to the landscape and inhabit several enclaves bordering the Indo-Nepal border. They practice agriculture, animal husbandry and depend on forest resources for their livelihood. The largest aggregation of Scheduled Tribes (mainly Tharu) are in Palia and Nighasan in Lakhimpur-Kheri district (17.8% and 2.5% of the population respectively) and in Mihinpurwa in Bahraich (2.8% of the population). All three population centers of tribal populations are adjacent to the Tiger Reserve. Overall, in Lakhimpur-Kheri district 26.4 percent of the total population belong to the Scheduled Castes and 1.33 percent to Scheduled Tribes. In Bahraich district 14.6 percent belong to the Scheduled Castes

and 0.32 percent to Scheduled Tribes.

### **Katerniaghat Wildlife Sanctuary**

The Katerniyaghat Wildlife Sanctuary is a protected area in the Upper Gangetic plain in Uttar Pradesh and covers an area of 400.6 km<sup>2</sup> in the Terai of the Bahraich district. The Katerniaghat Forest provides strategic connectivity between tiger habitats of Dudhwa and Kishanpur in India and the Bardia National Park in Nepal. Its fragile Terai ecosystem comprises a mosaic of sal and teak forests, lush grasslands, numerous swamps and wetlands. It is home to a number of endangered species including Gharial, Tiger, Rhino, Gangetic Dolphin, Swamp Deer, Hispid hare, Bengal Florican, the White-backed and Long-billed vultures.

### **Discussions in Rampurwa Matehi Village**

The mission team met with the representatives of 6 village communities out of 8 Gram *Panchayat* (3<sup>rd</sup> tier of local self-government unit) that reside on the periphery of the Katharnikat Tiger Reserve. These are Revenu villages that pay tax to the government and have Patta (legal document for land ownership) as opposed to Forest villages. Of the 6 villages represented, around 20% of the villagers were landless and 5% of the people have Khataoni (land record) which is right to cultivate on government land. The mission team was informed by the villagers that they wanted the project to focus its attention on resolving the flooding issue that is taking place due to sedimentation of the Uari river which starts in Nepal and ends in the Tiger Reserve. The villages pointed out that given the Uari river floods the agricultural land adjacent to the river and the area which is considered an important habitat for the small cats, dredging the river would reduce flooding and any damages caused by this. However, mission team agreed that this would be beyond the scope of the project.

### **Kathotia Village**

The village, Kathotia, is located under Katerniaghat Wildlife Reserve. It is surrounded by protected area (PA) on all the sides. The village falls under the Gram sabha called kathotia and is situated in Nishangara range of the sanctuary and located at the south-east boundary of Nishangara range. The villagers are dependent on the surrounding forest for their basic/daily necessities like fuel wood, fodder, thatch grass and grazing for their cattle. The Protected Area and the local communities have shared a mutual relationship for several decades. The communities as well as their forefathers have always been dependent on the sanctuary. The basic needs like fuel wood for cooking, thatch grass and minor produce for housing and materials for making agricultural implements have been provided by the forests. The needs of the livestock are also met by these forests. Due to the rise in population of the village, the pressure on the forest has increased extensively and hence has impacted the biodiversity of the forest for the past few decades.

The Central Seed Farm which is now closed was the main source of employment for the villages. It spreads over 38 sq km in the heart of the Katerniaghat Wildlife Sanctuary and has been given back to the Sanctuary which forms part of the core of the Sanctuary and is a potential project site for restoration of degraded the once grassland-dominated ecosystem. The degradation is mainly due to significant cattle grazing and a limited number of species population due to extraction of grass for fencing and roofing and feeding domestic animals. The seed farm area provides grazing ground for cattle from all neighboring villages such as Kathotia, Maharaj Singh, Durga Gudi, Pataha Gudi, Dhobiniya, Sujuli, Joliha Simri etc.



Cows, oxen, buffaloes, bulls and goats are reared in the village. Cows and goats are left for open grazing in the forests almost around a year. Buffaloes and oxen are stall fed. For most of the year, fodder for these animals is made available from the crop residue in the agricultural fields. Also fodder species like chari and barsin are grown in the fields. However, for three months from April to June, people have to go to the forests to collect fodder for the animals because there is no agricultural residue available in the fields to feed them. Further, numbers of abandoned cows have been increasing in the area which is increasing the incidences of grazing and crop loss. According to farmers, lack of scope for selling the old and dry cows, non-functional “goshalas” and lack of grazing land, farmers are forced to abandon the cows in the fallow lands of the Central Seed Farm which has been back to Katarniyaghat Wildlife Sanctuary. The “goshala” (Cow Shelter) located in Bichiya, Katarniyaghat is reported to be inoperative. The grazing cattle at the Core where the Seed Farm was located is primarily cattle that have been abandoned by the villagers due to various reasons discussed above. Local peoples reported that about 10,000 abandoned cattle grazes in the seed farm area.

### **Baisahi Village**

There are several Tharu villages situated in and around the Reserve. Some Tharu villages are also bordering the proposed project site-- Bagulohiya Seed Farm area. Among them is Baisahi village where 122 Tharu families have been residing for many generations. The main occupation of these people is agriculture, Sugar-cane and Rice being the principal crops. Traditional crops like rice, wheat, sugar-cane, mustard, and pulses are grown. During the summer months, except for the perennial sugar-cane and a few vegetables, fields are left barren. Besides the traditional crops, with the support of the agriculture department and NRLM (National Rural Livelihood Mission), few households have started experimenting with new cash crops such as peppermint and turmeric. The number of farmers adopting alternate cash crops is likely low; this presents an opportunity for livelihood enhancement schemes. Though these people are agriculturalists, only one-fifth households own land whereas the remaining 80% household do daily wage for their living. They also keep cows, buffaloes, goats and hens for consumption and commercial purpose. It was mentioned that due to change in the socio-political and market situation, people are not interested to keep more than two cows. Most people in the village stated that they prefer buffaloes over the cows as the milk of the former fetch better price in the market and dairies and it is easy to purchase and sell buffaloes unlike cows. Buffaloes are not usually left abandoned as their price is high and can be sold easily compare to cows.

The villagers of this village collect firewood for cooking, fodder for animals, thatch grass for roofing and fencing from the nearby forests including Bagulohiya Seed Farm area. Every family in the village is almost entirely dependent on the forests in the protected area to meet their fuel wood needs. Even those with LPG connections under government subsidy have to go to the forest quite often because refilling a cylinder is expensive for the villagers. Based on the villagers' rough estimation, on an average a family consumes 10 kg of wood per day in the summers and 15 kg in the winters. The area has been used as grazing field for their cattle for many generations. Cows and goats are left for open grazing in the area almost a whole year. Buffaloes and oxen are stall fed and fodder for these animals is also collected from forest when the crop residue in the agricultural fields are not available, particularly for three months from April to June. The community collects housing materials from the forests once every alternate year soon after the monsoons. It was said

that on an average, a family needs 1 cartload (approximately 200kg) of thatch grass for constructing the roof at one time. In addition to the above, the peoples also collect timber for making agricultural implements and fencing around fields, poles for supporting the housing structures. However, these materials are not required every year. On an average the poles for all the above-mentioned purposes are replaced once every five years.

Large numbers of villagers from this village used to work at Central Seed Farm, which was the main source of employment until its closure in 2012. The villagers opined that suitable alternative for fodder, firewood and thatching and fencing materials is required if any restriction of access of these resources occurred as a result of restoration of grassland habitat under the project.

The Tharu peoples of this village informed that they do not have any formal Indigenous Peoples Organization (IPO) or Tribal council. However, they are organized through traditional institution called 'Badghar'. Originally, Badghar was almost like a village chief or king to the village people, and worked only at the village level. Nowadays, Badghar is elected chief of a village or a small group of villages for a year. The election generally takes place in January or February after celebrating the Maghi Festival and after completing major farming activities. In most cases, each household in the village which engages in farming has one voting right for electing a Badghar. Thus, the election is based on a count of households count rather than a headcount. The role of the Badghar is to work for the welfare of the village. The Badghar direct the villagers to repair canals or streets when needed. They also oversee and manages the cultural traditions of the villages. They have an authority of punishing those who do not follow their orders or who go against the welfare of the village.

#### **Village Eco-Development Committee (VEC)**

A Village Eco-Development Committee (VEC) has been formed in each village of protected areas as per the guidelines for eco development programs formulated by the UP-Forest Department. The Eco-development Committee (EDC) is made up of inhabitants of the village, under the supervision of the Forest Department. The VEC should consist of one member of every family in the village. The VEC should in turn elect members of an executive committee consisting of five members from amongst themselves. The executive committee should also include an official from the Forest Department nominated by the PA management. The members of the Executive Committee should then elect a secretary from amongst the elected members. The secretary along with the forest department official functions as the joint treasurer of the committee. A micro-plan with integrated development objectives is set up and validated by the Committee using participatory survey techniques. Activities, projects or needs are therefore defined per village and receive funding for their implementation. A village level micro-plan (2012/13- 2015/16) for Kathotia was prepared in consultancy with the village representatives, WWF-India and Forest Department officials to meet the set objective. The VEC used to be fairly active in the implementation of the activities as had been proposed in the micro-plan. Currently, most of the VECs are found to be inactive. The VECs need to be renewed periodically from competent authority. It is reported that most of them failed to renew in time some are in the process.

#### **Meeting with DFO and Warden of Katerniaghat Wildlife Sanctuary**

The DFO Mr. Gyan Prakash Singh (IFS) clarified to the mission team that there are several ongoing Government initiatives in the Katerniaghat WLS and would like the team to focus on livelihood

alternative activities under the proposed project. The mission team also discussed if there would be in legacy issues related to the Seed Farm since it closed down and the significant dependence of the communities around on it. The legacy issues would need to be revisited and taken into account to ensure that communities that were employed were adequately compensated once the Farm closed down and was given back to the National Park. The DFO informed the mission team of the resettlement program currently underway under compensated land for land to relocate villages and it was agreed that this is not related to the project scope and areas of intervention.

The DFO highlighted some major points which covers:

- Research and scientific study required for the small cats as little information is available regarding the small cats' population and their habitats, behavior etc.
- Camera trapping for species monitoring.
- Protection and management of grassland & wetland in these areas.
- Management of the grazing pressures, area identification for managed grazing practices

Potential Activities highlighted are mentioned:

- Scientific practices for grass land management
- Regular monitoring activities
- Fund intensive small cat conservation program and restoration of the grasslands
- Actual execution of weed removal plan
- Identification of native cultivatable species and collection of seeds for nursery development
- Involvement of village-based institutions in the process of project implementation.

### **Meeting with Field Director of Dudhwa Tiger Reserve**

The team visited the Dudhwa National Park headquarter and met and discussed with the Field Director Dudhwa Tiger Reserve, Mr. Sanjay Pathak about the proposed small cats project in the landscape and key management issues from safeguard perspective.

Field Director made clear that initiation of the Forest Department for voluntary resettlement of some villagers living inside the Dudhwa Tiger Reserve was a government program and will not take place in the proposed small cats project site.

He also made clear that Seed Farm area where restoration of wetland and grassland habitats has been proposed under this project is still the subject of a court case regarding compensation between Agriculture and Forestry Departments (see Annex 3).

He also opined that maximum support from this project should directly go the communities. He also agreed that peoples are heavily dependent on the proposed project sites for forest products to fulfil their daily needs like firewood, fodder, thatching and fencing materials. Besides, local people are openly grazing in the seed farm area. The seed farm area forms a part of the core of the Katarniaghat WLS where any forms of human activities are not legally allowed. In order to address these issues, he advice that project should come up to provide suitable alternatives to the communities. For example, project should think of different alternatives of thatching grass, firewood and grazing linking with synergies and current limitations with various government schemes involving wildlife and habitat conservation. The subsidized LPG cylinders (Gram Ujjwala Yojna) has potential to reduce fuelwood extraction, however most people around the fringe

of the reserve are too poor to afford the cash for a second refill, hence the beneficial impact has been of limited extent so far.

Similarly, to address the issues of addoomed cattle he opined that the existing Goushalas need to be strengthened and expanded. Biogas and organic manure can be produced commercially from The Gaushalas if they are managed properly.

### **Discussion in Bhagbantnagar Village**

The village is located nearby of the Gulra grassland area under the Dudhwa National Park. The grassland is the potential site for restoration of habitat for small cats. The village comprised of about 800 HHs with different caste groups of OBC, Dalits and few HHs of brahmin and Rajput. The main occupation of villagers is farming and 20% household are reported to be landless. Daily wage is the key source of income for landless HHs. Animal husbandry is integral part of farming of the villagers. Cows, oxen, buffaloes, bulls and goats are reared in the village. Open grazing in the forest is also reported. No serious issue of abandoned cattle reported but about 300-400 cattle graze in the BZ forest. The villagers collect firewood, fodder and thatch grass for roofing and fencing from the nearby forests but also reported that they face problem to access these resources easily. The villagers also shared with us an application addressed to deputy director of Dudhwa Tiger Reserve demanding easy access to collect fodder, roofing materials and other forest products for their domestic use.

Human wildlife conflict (HWC) is the main concerned and issue of the villagers. The agricultural fields share their boundaries with the forests. Despite several attempts to protect the crops, the damage caused by wild Boars, Blue bull, and spotted Deer is immense. The community had to stop planting several cash crops like Potatoes, Maize and Groundnut because they were rigorously eaten up by these wild animals and at the time of harvest, there was almost nothing left in the fields resulting in economic losses. Villagers are also concerned about the lengthy and complicated process and procedures to get compensation of damage by wildlife.

The farmers are most concerned about crop damage from wild boar, elephant, deer and nilgai and cattle lifting by tigers, leopards and small cats. No human casualty was reported. They demanded electric fencing to control and reduce crop damage and killing of domesticated animals from wildlife. Grassland management is required to keep the wildlife in the forest.

EDC was formed but needs renewal and not active currently.

Villagers requested alternatives like fuel efficient stoves or LPG connections with subsidy that would decrease the visits to the forest significantly.

The community wants to be provided with alternate livelihood opportunities in the village. Several households have started cultivating peppermint in their fields which does not attract wild boars or nilgai or chital and have so far been finding the sale of peppermint oil profitable. People have also heard that red seeds of wheat are not preferred by these animals. The community wants to be provided training and inputs for the cultivation of such crops.

### **Next Steps and Agreed Actions**

- The project team will finalize activities and sites by end of January
- The safeguards consultant and the design team will visit Arunachal Pradesh site mid-February

- WWF will complete its categorization due diligence and issue the Categorization Memo by mid-end February
- Safeguards Consultant will prepare an Indigenous People Planning Framework or a Tribal Planning Framework as there are Indigenous /tribal peoples are present in and around of the proposed project sites in Katarniaghat WLS and Dudhwa National Park. The Indigenous Peoples/ Tribal people Planning Framework (IPPF) clarifies the principles, procedures and organizational arrangements to be applied to Indigenous Peoples (IP)/ Tribal Peoples (TP) for the proposed project. The IP/TPPF aims to safeguard the rights of IPs/TPs to participate and equitably receive culturally appropriate benefits from the project.
- Safeguards Consultant will prepare a Process Framework as it is highly likely that restriction of access to grazing, collection of fodder, roofing and fencing materials, firewood and other forest products that the local peoples including IPs. The Process Framework (PF) describes a process to be established by which members of potentially affected communities participate in design of project activities, determination of measures necessary to mitigate likely impacts and implementation and monitoring of relevant project activities.

क्र.सं.	नाम	पद/गुण	सं.नं.	हो/दिनांक
32	जाकिर अली	मददगी	9984518673	जाकिर -
33	इरी खार	नवीन युवा		इरी खार -
34	खरपत	नवापन ठाडी		खरपत
35	अमर	नवीन युवा	9987993581	अमर
36	Anil Kumbhar	मददगी	9839239404	Anil
37	मनीष कुमार	मददगी	7760663963	मनीष कुमार
38	अनिल राव	नवीन युवा		
39	पुनवारी	नवीन युवा		
40	महताज सिद्ध	मददगी		
41	रमेश	इष्टामददगी		
42	रमेश	इष्टामददगी		
43	रुम मिशन	मददगी	9670761081	रुम मिशन
44	चिन्ता देवी	मददगी राणाफा		
45	श्याम लाल	मददगी		
46	विश्वराम	मददगी		विश्वराम
47	शिव भुजा	मददगी		
48	पूरन	मददगी		
49	पूरन	मददगी		पूरन
50	पिलीप	गुला	9910657242	पिलीप
51	इफ्तखार सिद्ध	आग-पुष्प	8052163974	इफ्तखार
52	अमर	मददगी	7518157292	
53	सुरेन्द्र गोयल	मददगी	8881475530	सुरेन्द्र
53	अमर	मददगी	9654693574	
54	अमर-पर सिद्ध	इष्टामददगी	9640512046	
55	अमर	मददगी	8765253597	
56	अमर	मददगी	8833825717	
57	रमेश	मददगी	8601129474	
58	अमर	मददगी	9984553582	
59	अमर	मददगी	9260955304	
60	अमर	मददगी	9452163260	
61	अमर	मददगी	9919180220	
62	अमर	मददगी	1386116101	

क्र.सं.	नाम	पद/ग्राम	मो. नं.	ए.ओ./दि.अ.
63	इकाश डाली	जोडावा	7234043552	
64	वसुदेव शिंदे	B.D.C.	8474383209	वसुदेव शिंदे
65	सवित्र डाली	सोलापूर	7081054713	सवित्र
66	राशम डाली	"	9670935625	राशम
67	राशम	वारीवाडे	9984374879	राशम
68	जयधामरा	वसुदेव	9918189973	जयधामरा
69	राशम डाली	वारीवाडे	9915791038	राशम डाली
70	वीरेश्वर शिंदे	वसुदेव	9919772858	वीरेश्वर
71	मनोराम	वसुदेव	7571914611	मनोराम
72	पुष्पादेवी	मतेडी	9628625080	पुष्पादेवी
73	भावाजी	मतेडी	---	
74	मीना देवी	मतेडी	---	मीना
75	वसुदेवी देवी	मतेडी	---	
76	राशम	वारीवाडे	9918566257	
77	शमश्री	शमश्री		शमश्री
78	अश्विन	वसुदेव	9554405145	अश्विन
79	वसुदेव	वारीवाडे	9052066124	वसुदेव

GEF Visit  
 बैठक - ग्राम - कर्होतिया  
 दि 8/01/2020

- 1 रामपाल चौधान कर्होतिया
- 2 मयारकीन "
- 3 सुवारका "
- 4 राम अखष "
- 5 कंछा रावत
- 6 श्याम फव
- 7 सतसरापन
- 8 हरिलाल
- 9 आनंद चौधान
- 10 अजय
- 11 जितेन्द्र
- 12 राजेश
- 13
- 14 चारिस अजय
- 15 संतराम
- 16 सुभा
- 17 लल्लू
- 18 सत्यपाल
- 19 धनार्दन
- 20 रामेश
- 21 अवधेश
- 22 कुश कुमार
- 23 गोरख
- 24 गुड्डू
- 25 विवेक चौधान
- 26 उदीप सिमाट कर्होतिया
- 27 सीला रावत "
- 28 विहारी कर्होतिया
- 29 रामेशवर "



वैदिक कथाएँ

- 30 गिरांगलकीतवाप ५७  
31 अवधेश सहनी कथाएँ  
32 सुख साहोत कथाएँ  
33 शक अशोक लेखक  
34 शक विद्या  
35 सुबापसिंह जारिन्दार  
36 राजपुत्र ए  
37 राधिका कुमार

### Annex 3 A Description of a Project Demonstration Site, Dudhwa Landscape

#### A Brief Description of a potential project demonstration site in Katerniaghat Wildlife Sanctuary in Uttar Pradesh

In order to produce high quality agricultural seeds and to provide employment opportunity to the local communities, the Central Seed Farm was established in Girijapuri and Baughlia areas of Katerniaghat Wildlife Sanctuary covering an area over 38 sq. km area post the visit of the then Prime Minister Smt. Indira Gandhi to Bahraich district of Uttar Pradesh in 1971. The land was transferred to the State Farms Corporation after clearance from the Uttar Pradesh Forest Department with the decision taken on 19.02.1975. In accordance with this agreement, 3842.20 ha. (9622.50 acres) of land was transferred to the State Farms Corporation in Katerniaghat and Nishangara Ranges. The land was transferred with the condition that the State Farms Corporation will be liable to premium cost which was fixed at Rs 1600 per acre and lease rent of Rs. 1,26,055.00 per annum. However, the premium and lease rent was never paid by the State Farms Corporation despite the forest department making several efforts in this regard. Moreover, the Forest (Conservation) Act, 1980 also requires approval from Government of India before the possession of forest land which was not obtained by the Corporation.

Following a prolonged legal battle, the ownership of this land was handed over to the Dudhwa Tiger Reserve (Uttar Pradesh Forest Department) on 07.01.2012 by the State Farms Corporation. In this case, the Lucknow High Court gave a judgment in favor of UP Forest Department on 08.07.2011. In this process, 3300 ha area of Central Seed Farm in Bagulahia was transferred to Sujauli Range of Katerniaghat Wildlife Sanctuary in 2015 which is now part of the core zone in the Sanctuary as per the Tiger Conservation Plan of Dudhwa Tiger Reserve.

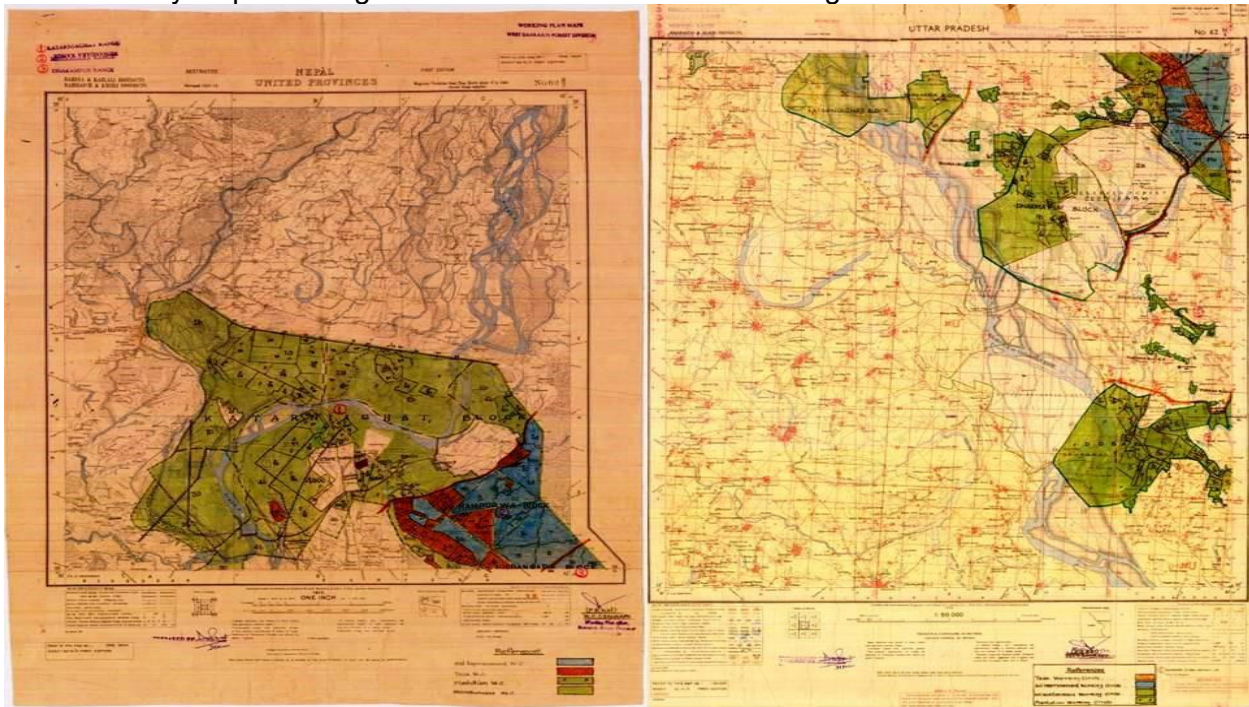


Figure-1: Map showing the boundaries and areas of the proposed project demonstration site at Girijapuri (left) and Baughlia (right) in Katerniaghat Wildlife Sanctuary.

**Table-1: List of villages dependent on Central Seed Farm at Baughlia in Sujauli Range**

Sl.	Name of Gram Panchayat
1	Bhainsahi (Tharu tribal community with HH 150-175, population 1000-1200)
2	Jangal Gulariha
3	Mahraj Singh Nagar
4	Kathoutia
5	Harkhpur
6	Karikot
7	Chahalwa
8	Chafaria
9	Rampurwa
10	Partapur
11	Amba
12	Bisnapur – Tharu

Adjoining to the seed farm area, there are about 12 villages which come under the administrative unit of Mihinpurwa block of Bahraich district. These villages have communities belonging to Scheduled Caste, Scheduled Tribe (Tharu), Other Backward Classes (i.e. Yadav, Banjara, Chouhan and Maurya, etc.) and Minorities (i.e. Muslim and Sikh) who are primarily dependent on agriculture, animal husbandry and labour migration for their livelihoods. Sugarcane, paddy, wheat, turmeric and mentha (medicinal plant) are the major agricultural crops grown by the farmers in the villages. A significant portion of the households (about 50%) in the villages are dependent on the forests and seed farm area for collection of fuelwood, fodder and small timber for meeting their day-to-day needs. Coincidentally, these areas – seed farm in particular – are the habitat of small cats population in Katerniaghat Wildlife Sanctuary.

## Annex 4 Screening Checklist

<b>Name of (sub)project</b>		<b>Province &amp; Landscape Name:</b>	
<b>District:</b>		<b>Gram Panchayat/Municipality:</b>	
<b>Ward No/Block:</b>		<b>Village/Tol:</b>	
<b>Forest Range Post:</b>			
<b>Brief description of the proposed Activities under the (sub)project:</b>			
<b>Impact on indigenous/tribal communities</b>	<b>Yes</b>	<b>No</b>	<b>Please provide brief description on either response</b>
1. Are any of IP/scheduled tribe groups identified by GoI (see a list of recognized STs in the project states at the end of this checklist) present in and around proposed (sub) project locations?			If yes, provide name of communities, ethnicity, inhabiting in and around the project area
2. Will the project activities directly or indirectly affect indigenous/tribal communities residing in and around proposed (sub) project locations?			If yes, provide the estimated number of people to be affected by the project
3. Will the proposed (sub)project interventions and activities restrict to access to private assets (farmland, houses) and public resources (forest, grasslands, wetlands, sources of drinking and irrigation water)?			If yes, provide the details of restrictions caused by the project activities with numbers of HHs affected
4. Will the proposed project activities cause a change to their socioeconomic and cultural interrelationship and mutual dependency among themselves and with other communities?			If yes, provide the details
5. Will the proposed project interventions and activities possibly affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?			If yes, describe how?
6. Will the proposed project interventions and activities positively affect their livelihoods?			If yes, list out the key positive impacts
7. Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?			If yes, provide detail briefly.
8. Will the proposed project interventions and activities alter or undermine the recognition of indigenous people knowledge, skill, technology, and learning practices?			If yes, describe briefly

9. Will the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?			If yes, describe briefly
10. Will there be loss of incomes and livelihoods as a result of the proposed project interventions and activities?			If yes, provide details briefly.
11. Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?			If yes, describe briefly.
If the answer is 'Yes' to any of these questions then the proposed project activities will have significant impacts on indigenous people and required detailed social impact assessment and designing of IPP. For FPIC requirement refer table 7.1, in Chapter 7.			

**List of Scheduled Tribes (STs) and Particularly Vulnerable Tribal Groups (PVTGs) in the Project States**

<b>Arunachal Pradesh</b>	<b>Utter Pradesh</b>	<b>Rajasthan</b>
17. Abor	16. Bhotia	1. Bhil, Bhil Garasia, Dholi Bhil, Dungri Bhil, Dungri Garasia, Mewasi Bhil, Rawal Bhil, Tadvil Bhil, Bhagaliala, Bhilalala, Pawra, Vasava, Vasave
18. Aka	17. Buksa [PVTG]	2. Bhil Mina
19. Apatani	18. Jaunsari	3. Damor, Damaria
20. Nyishi	19. Raji [PVTG]	4. Dhanka, Tadvil, Tetaria, Valvi
21. Galo	20. Tharu	5. Garasia (excluding Rajput Garasia)
22. Khampati	21. Gond, Dhuria, Nayak, Ojha, Pathari, Raj Gond (in the districts of Mehrajganj, Sidharth Nagar, Basti, Gorakhpur, Deoria, Mau, Azamgarh, Jonpur, Balia, Gazipur, Varanasi, Mirzapur and Sonbhadra)	6. Kathodi, Katkari, Dhor Kathodi, Dhor Katkari, Son Kathodi, Son Katkari
23. Khowa also known as Bugun	22. Kharwar, Khairwar (in the districts of Deoria, Balia, Ghazipur, Varanasi and Sonbhadra)	7. Kokna, Kokni, Kukna
24. Mishmi, Idu, Taroan	23. Saharya (in the district of Lalitpur)	8. Koli Dhor, Tokre Koli, Kolcha, Kolgha
25. Momba/Monpa	24. Parahiya (in the district of Sonbhadra)	9. Mina
26. Any Naga tribes	25. Baiga (in the district of Sonbhadra)	10. Naikda, Nayaka, Cholivala Nayaka, Kapadia Nayaka, Mota Nayaka, Nana Nayaka
27. Sherdukpen	26. Pankha, Panika (in the districts of Sonbhadra and Mirzapur)	11. Patelia
28. Singpho	27. Agariya (in the district of Sonbhadra)	12. Sehariala [PVTG], Sehariala, Sahariya
29. Hrusso	28. Patari (in the district of Sonbhadra)	-

30. Tagin	29. Chero (in the districts of Sonbhadra and Varanasi)	-
31. Khamba	30. Bhuiya, Bhuinya (in the district of Sonbhadra)	-
32. Adi	-	-

Source: Ministry of Tribal Affairs, Annual Report 2018-19, Annex 5B &9A

Note: The yellow highlighted IP groups are present in the proposed project areas.

## **Annex 5 An Outline of the IPP**

The Indigenous Peoples Plan (IPP) shall be prepared in a flexible and pragmatic manner, and its level of detail varies depending on the specific project and the nature of effects to be addressed. The IPP shall include the following elements at minimum:

1. A project description that will provide a general description of the project; discusses project components and activities that may bring impacts on IPs /tribal communities and identify project area.
2. A summary of the legal and institutional framework applicable to Indigenous Peoples in the area and a brief description of the demographic, social, cultural, and political characteristics of the affected Indigenous/tribal Peoples' communities, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend.
3. A summary of the social assessment.
4. A summary of results of the free, prior, and informed consent with the affected Indigenous/tribal Peoples' communities that was carried out during project preparation and that led to broad community support for the project.
5. A framework for ensuring free, prior, and informed consent with the affected Indigenous/tribal Peoples' communities during project implementation.
6. An action plan of measures to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the project implementing agencies.
7. When potential adverse impacts on Indigenous/tribal Peoples are identified, an appropriate action plan of measures to avoid, minimizes, mitigate, or compensate for these adverse impacts.
8. Accessible procedures appropriate to the project to address grievances by the affected Indigenous Peoples' communities arising from project implementation. When designing the grievance procedures, the availability of judicial recourse and customary dispute settlement mechanisms among the Indigenous Peoples need to be considered.
9. Mechanisms and benchmarks appropriate to the project for monitoring, evaluating, and reporting on the implementation of the IPP. The monitoring and evaluation mechanisms should include arrangements for the free, prior, and informed consent with the affected Indigenous Peoples' communities.
10. The cost estimates and financing plan for the IPP implementation.

## Annex 6 Content of the Social Assessment

The breadth, depth, and type of analysis required for the social assessment are proportional to the nature and scale of the proposed project 's potential effects on the Indigenous Peoples. The social assessment includes the following elements, as needed:

1. **Review of Legal and institutional framework** [*Refer IPPF/PF section on Legal and Policy Framework*]
  - a. Assessing the legal status of the Indigenous Peoples (individuals and groups) affected by the project, as reflected in the country 's constitution, legislation, and subsidiary legislation (regulations, administrative orders, etc.) and also identify local legislation (if any) which needs strengthening through project,
  - b. Assessing the capacity of the Indigenous Peoples (individuals and groups) affected by the project to obtain access to and effectively use the legal system to defend their rights.
  - c. Note. Assessments described in (a) and (b) above must give special attention to the rights of indigenous peoples to use and develop the lands that they occupy, to be protected against illegal intruders, and to have access to natural resources (such as forests, wildlife, and water) vital to their subsistence and reproduction
2. **Social Baseline** [*Also refer Section on ethnographic description of IPPF/PF*]
  - a. Identification of Indigenous/Tribal Peoples with presence in the project area with the participation of experts on the social and cultural groups involved in the project area. Likewise, the use of maps that show the location of the project and of the indigenous groups involved are required.
  - b. Gathering baseline information (gender and caste/ethnicity disaggregated as far as possible) on the demographic, social, cultural, and political characteristics of the affected Indigenous/Tribal Peoples 'communities, the land and territories that they have traditionally owned or customarily used or occupied, and the natural resources on which they depend.
    - Demographic characteristics (population, age, gender, marital status, ethnicity, family type's etc.)
    - Educational conditions (information on status of literacy and levels of educational attainment among the community members with available educational infrastructure at the village)
    - Health conditions (status of health with prevalence of major diseases and health seeking behaviors among the community members and available health infrastructures at the Village)
    - Economic conditions
      1. Non-income generating activities: self-consumption and gift-giving
      2. Income sources and activities: farming, animal husbandry, collection of medicinal herbs and other NTFPs from forests, remittances, local trade and wage labor.
      3. Estimation of annual household income and expenditures
      4. Inventory of available resources at the household level
      5. Inventory of available resources for the community.
    - Cultural aspects



- Social networks and kin membership.
- Traditions, cultural expressions, and ancestral customs.
- Tenure and land use
  - Private ownership
  - Communal ownership and ancestral land rights
  - Land uses
- Access and management of natural resources
  - Access to natural resources by households and communities
  - Management of common resources
  - Distribution of the benefits from the management of common resources
  - Incentives and penalties for the management of common resources
- Access to public services
  - Existing infrastructure
  - Basic needs to be yet covered or improved.
- Social/cultural organization/association
  - Social organization and hierarchies
  - Participation processes
- Conflict resolution
  - Indigenous mechanisms for conflict resolution
  - Relationship between traditional approaches and national legal frameworks

### **3. Key stakeholder identification and consulting**

- a. Taking the review and baseline information into account, identify key project stakeholders and elaborate a culturally appropriate process for consulting with the Indigenous Peoples at each stage of project preparation and implementation [*Also refer Project prepared Stakeholder Consultation Plan (SEP)*]

### **4. Consultations, an integral part of the Social Assessment**

Measures shall be taken to ensure that the consultation process:

- a. Favor intergenerational and gender inclusion and provide, at each stage of the project preparation and implementation, opportunities for consultation with the affected Indigenous Peoples, and other civil society organizations proposed by the affected Indigenous Peoples;
- b. Use appropriate methods of consultation with the social and cultural values of the affected Indigenous/Tribal Peoples and local conditions, and in the design of these methods, pays particular attention to concerns of women, youth and indigenous children as they all can access to development opportunities and benefits offered by the project.
- c. Provide the affected Indigenous/Tribal Peoples all relevant information on the project in a culturally appropriate, sustainable, and gender inclusive manner, at every stage of the preparation and implementation of the project. This includes that affected Indigenous/Tribal Peoples:
  - Receive documentation and materials in format and culturally appropriate language and in native language, where appropriate;

- Have knowledge about social evaluation and/or IPP (indigenous Peoples Plan) through appropriate means;
  - Have mechanisms for consultation and treatment of complaints and disputes from the beginning of planning social assessment;
  - Complaints are addressed during the process by qualified personnel
- d. Minimum content to be disclosed before consultation for social assessment include:
- The process of free, prior and informed consultation with the affected Indigenous People.
  - The measures, including those additional required to address the identified impacts and the design modifications of the project to address both the adverse and positive effects.
  - Recommendations for carrying out a process of free, prior and informed consultation to the affected Indigenous/Tribal People, to involve them in the preparation, implementation, monitoring and evaluation of the project.
  - Any formal agreement with the indigenous community involved or with the indigenous/tribal peoples 'organizations.

## **5. Analysis of impact, risks and opportunities**

- a. Identify, describe, analyze and evaluate: (i) the expected physical, economic and/or social (included cultural aspects, current lifestyles scenarios and livelihood strategies) impacts and risks of the project on each group; and (ii) the feared impacts.
- b. Identify and describe opportunities that will improve and/or enhance the quality of life of the Indigenous Peoples.
- c. The assessment of the potential adverse and positive effects of the project shall be based on the approach of FPIC (free, prior, and informed consent) consultation, with the affected Indigenous/Tribal Peoples 'communities.
- d. The assessment of the potential adverse impacts shall include an analysis of the relative vulnerability of, and risks to, the affected Indigenous/Tribal Peoples 'communities given possible distinct circumstances and close ties to land and natural resources, as well as their possible lack of access to opportunities relative to other social groups in the communities, regions, or national societies in which they live.
- e. The analysis of vulnerability shall consider the different groups in particular project contexts, for instance, in terms of potential exclusion from project benefits, negative project impacts, and the need for specific culturally compatible mechanisms for participation (e.g. for women, the widowed, permanently disabled, elderly etc.),
- f. The identification and evaluation, based on free, prior, and informed consultation with the affected Indigenous/Tribal Peoples 'communities, of measures necessary to avoid adverse effects, or if such measures are not feasible, the identification of measures to minimize, mitigate, or compensate for such effects, and to ensure that the Indigenous Peoples receive culturally appropriate benefits under the project.

## **6. Outcomes/Deliverables of Social Assessment**

1. A summary of the analysis of the Social Impact Assessment.
2. A detailed analysis of the Social Impact Assessment
  - a) Legal and institutional framework
  - b) Baseline information
    - Socioeconomic survey

- Asset inventory
  - Cultural impact assessment
3. Analysis of impact, risks and opportunities
    - a) Analysis of project alternatives
    - b) Impacts and opportunities
    - c) Risk assessment
  4. Detailed maps of the area of influence of the project and the specific location of indigenous groups affected by the implementation of the project.
  5. A preliminary version of the Indigenous Peoples Plan (IPP) as per the outline provided in Annex 5 of IPPF/PF
  6. If required, actions plan for legal recognition of customary or traditional rights to lands and territories or ancestral domains, as well as for the management of collective property and rights.
  7. Documentation of the consultation process.
  8. A database with the information collected in the baseline survey of the Social Impact Assessment.
  9. The delivery of the documents in printed and digital format.

## **Annex 7 Outline of Plan of Action/ LRP to Execute the Process Framework**

In order to implement the process framework, a Plan of Action will be developed together with affected communities to describe the agreed restrictions, management schemes, measures to assist the displaced persons and the arrangements for their implementation. The action plan can take many forms. It can simply describe the restrictions agreed to, persons affected, measures to mitigate impacts from these restrictions, and monitoring and evaluation arrangements. It may also take the form of a broader natural resources or protected areas management plan.

The following elements and principles may be included in the plan, as appropriate:

1. Project background and how the plan was prepared, including consultations with local communities and other stakeholders;
2. The socio-economic circumstances of local communities;
3. The nature and scope of restrictions, their timing as well as administrative and legal procedures to protect affected communities' interests if agreements are superseded or rendered ineffective;
4. The anticipated social and economic impacts of the restrictions;
5. The communities or persons eligible for assistance;
6. Specific measures to assist these people, along with clear timetables of action, and financing sources;
7. Protected area boundaries and use zones;
8. Implementation arrangements, roles and responsibilities of various stakeholders, including government and non-government entities providing services or assistance to affected communities;
9. Arrangements for monitoring and enforcement of restrictions and natural resource management agreements;
10. Clear output and outcome indicators developed in participation with affected communities;
11. Special measures concerning women and vulnerable groups;
12. Capacity building of the implementing agencies;
13. Capacity building activities for the affected communities to enhance their participation in project activities;
14. Grievance mechanism and conflict resolution considering local dispute resolution practices and norms; and

15. Participatory monitoring and evaluation exercises adapted to the local context, indicators and capacity. Monitoring will include the extent and significance of adverse impacts as well as the outcome of mitigation measures.
16. The cost estimates and financing plan for implementation of plan of action/LRP.