



Initial Poverty and Social Assessment

Project Number: 42266-01
August 2009

IND: Preparing for Kolkata Environmental Improvement Project II

An initial poverty and social assessment (IPSA) is prepared in the early stage of the project cycle to assess the significance of social issues for a project. In accordance with ADB's public communications policy (PCP, 2005), the IPSA is disclosed upon completion. The final summary social assessment is included as an appendix to the project's report and recommendation of the President.

Asian Development Bank

INITIAL POVERTY AND SOCIAL ANALYSIS

Country/Project Title: India: the Kolkata Environmental Improvement Project Phase II
Lending/Financing Project/Sector/Multitranchise Financing Facility Department/ SARD/SAUD
Modality: (to be determined during PPTA) Division:

I. POVERTY ISSUES

A. Linkages to the National Poverty Reduction Strategy and Country Partnership Strategy

Environmental improvement for slums and low-income settlements has been a long-established approach for poverty reduction in India.¹ In the past, area-targeted interventions where a project focused on a discrete slum area were often used for poverty alleviation. However, the Eleventh Five Year Plan calls for an inclusive approach, in which a project is designed to cover not only the general public but also the slums and low income settlements as part of integrated system. This will equitably share the benefit of the investment. The proposed project is designed in line with the Eleventh Five Year Plan, tapping into Central–State–urban local body (ULB) partnerships. ADB's Country Operations Business Plan (2008-2010) quotes that the Country Partnership Strategy 2008-2012 which is under preparation is being closely aligned with the priorities of the Eleventh Five Year Plan and will support the Government's efforts toward promoting broad-based and inclusive growth.

B. Targeting Classification

1. Select the targeting classification of the project:

General Intervention Individual or Household (TI-H); Geographic (TI-G); Non-Income MDGs (TI-M1, M2, etc.)

2. Explain the basis for the targeting classification:

The main objective of the Kolkata Environmental Improvement Project (the Project) Phase II is to build sewerage and drainage networks in the outer parts of Kolkata's metropolitan areas. While the poor disproportionately suffer from inadequate sanitation, water logging and flooding, the Project Phase II will have both poor and non-poor beneficiaries.

C. Poverty Analysis

1. If the project is classified as TI-H, or if it is policy-based, what type of poverty impact analysis is needed?

The Project Phase II is classified as GI.

2. What resources are allocated in the PPTA/due diligence?

The proposed project preparatory technical assistance (PPTA) includes a national consultant for safeguards and social assessment (8 person-months).

3. If GI, is there any opportunity for pro-poor design (e.g., social inclusion subcomponents, cross subsidy, pro-poor governance, and pro-poor growth)?

The Project Phase II in itself promotes inclusive growth. Pro-poor design is inherent by virtue of the nature of the Project. This will be further verified in the PPTA.

II. SOCIAL DEVELOPMENT ISSUES

A. Initial Social Analysis

Based on existing information:

1. Who are the potential primary beneficiaries of the project? How do the poor and the socially excluded benefit from the project?

The Project Phase II will benefit the population in the outer parts of Kolkata's metropolitan areas. The Project Phase II will develop infrastructure which increases the coverage of sewerage and drainage system to 66% and benefits both the poor and non-poor.

2. What are the potential needs of beneficiaries in relation to the proposed project?

The poor disproportionately suffer from inadequate sanitation, water logging, and flooding.

3. What are the potential constraints in accessing the proposed benefits and services, and how will the project address them?

Affordability of the connection charges may be a potential constraint in accessing the sewerage service. Access of the poor to sewerage network will be ensured by financial assistance for connection.

B. Consultation and Participation

1. Indicate the potential initial stakeholders.
 - General public, residents of the project area, community leaders, nongovernmental organizations and civil society;
 - Elected representatives and councilors;
 - Irrigation and Waterways Department of the government of West Bengal; and
 - Fishery business owners.
2. What type of consultation and participation (C&P) is required during the PPTA or project processing (e.g., workshops, community mobilization, involvement of nongovernment organizations and community-based organizations, etc.)?

Public and community consultations involving nongovernment organizations (NGOs), community-based organizations (CBOs), and community representatives to disseminate information on the Project Phase II were already conducted by the executing agency (EA) as a part of the Preliminary Design Report Preparation.

3. What level of participation is envisaged for project design?

Information sharing Consultation Collaborative decision making Empowerment

4. Will a C&P plan be prepared? Yes No Please explain.

Public consultation was already conducted by the EA as a part of the Preliminary Design Report preparation. The process and outcome of the consultation will be reviewed and supplemented by the S-PPTA safeguards and social development specialist.

C. Gender and Development

1. What are the key gender issues in the sector/subsector that are likely to be relevant to this project/program?
There are no adverse impacts on women.

2. Does the proposed project/program have the potential to promote gender equality and/or women's empowerment by improving women's access to and use of opportunities, services, resources, assets, and participation in decision making? Yes No Please explain.

The Project Phase II will develop infrastructure which increases the coverage of sewerage and drainage system to 66%. The access to benefit of the Project Phase II will be equally distributed regardless of gender.

3. Could the proposed project have an adverse impact on women and/or girls or to widen gender inequality?
 Yes No Please explain.

The access to benefit of the Project Phase II will be equally distributed regardless of gender. No adverse effects are foreseen.

III. SOCIAL SAFEGUARD ISSUES AND OTHER SOCIAL RISKS

Issue	Nature of Social Issue	Significant/Limited/ No Impact/Not Known	Plan or Other Action Required
Involuntary Resettlement	The Project Phase II, particularly the canal rehabilitation component, will involve resettlement of those living by the banks of the canals.	About 400 households will require resettlement.	<input checked="" type="checkbox"/> Full Plan <input type="checkbox"/> Short Plan <input checked="" type="checkbox"/> Resettlement Framework <input type="checkbox"/> No Action <input type="checkbox"/> Uncertain
Indigenous Peoples	The Project Phase II will be implemented in urban areas of Kolkata. While some urban residents fall under the classification of scheduled tribes, the social, cultural, economic, and political characteristics of scheduled tribes are no different from those of nonscheduled tribe groups.	As was the case for Loan 2293-IND, the Project Phase II will improve the quality of life of urban residents by means of positive environmental impacts and enhanced public health. All residents will benefit, including scheduled tribe groups.	<input type="checkbox"/> Plan <input type="checkbox"/> Other Action <input type="checkbox"/> Indigenous Peoples Framework <input checked="" type="checkbox"/> No Action <input type="checkbox"/> Uncertain

Issue	Nature of Social Issue	Significant/Limited/ No Impact/Not Known	Plan or Other Action Required
Labor <input checked="" type="checkbox"/> Employment Opportunities <input type="checkbox"/> Labor Retrenchment <input type="checkbox"/> Core Labor Standards	The Project Phase II involves a large number of civil works contracts, and will have positive labor impacts through temporary employment opportunities during construction.	The Project will not result in negative labor impacts.	<input type="checkbox"/> Plan <input type="checkbox"/> Other Action <input checked="" type="checkbox"/> No Action <input type="checkbox"/> Uncertain
Affordability	The Project Phase II will assist the EA in obtaining enough revenue for operation and maintenance of sewerage and drainage system.	The revenue mobilization measures will be designed to keep the use of sewerage and drainage system affordable.	<input type="checkbox"/> Action <input checked="" type="checkbox"/> No Action <input type="checkbox"/> Uncertain
Other Risks and/or Vulnerabilities <input type="checkbox"/> HIV/AIDS <input type="checkbox"/> Human Trafficking <input type="checkbox"/> Others (conflict, political instability, etc.), please specify	No issues related to HIV/AIDS, human trafficking, conflict and political instability were reported during implementation of the Project Phase 1.		<input type="checkbox"/> Plan <input type="checkbox"/> Other Action <input checked="" type="checkbox"/> No Action <input type="checkbox"/> Uncertain
IV. PPTA/DUE DILIGENCE RESOURCE REQUIREMENT			
1. Do the TOR for the PPTA (or other due diligence) include poverty, social and gender analysis and the relevant specialist/s? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no, please explain why.			
2. Are resources (consultants, survey budget, and workshop) allocated for conducting poverty, social and/or gender analysis, and C&P during the PPTA/due diligence? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no, please explain why.			

ⁱ Examples include: the Urban Community Development in 1958 which used an area-oriented self-help approach to alleviate slum conditions; environmental improvement of urban slums as a basic need of slum population in the Fifth Five Year Plan (1970s), resulting in national assistance to provide basic physical facilities to urban poor (safe drinking water, sewerage, storm water drains, community baths and latrines and street lighting); addressing of urban poverty in the Seventh Five Year Plan (1980s) which led to implementation of the Urban Basic Services Program aimed at catering to the basic social as well as physical needs of the urban poor; two national schemes (the *Nehru Rozgar Yojana*) in 1989 and (the Urban Basic Services for the Poor) in 1990 addressing (i) employment creation, (ii) housing and shelter upgrades, (iii) social development, and (iv) environmental upgrade in slums, plus the Prime Minister's Integrated Urban Poverty Eradication Program launched in 1995, which aims to achieve community empowerment, employment generation and environmental improvement for improving the quality of life of urban poor--the three initiatives were restructured into a new scheme in 1995, *Swarna Jayanti Shahari Rozgar Yojana*, which is primarily an employment generation program for the urban poor.