

TECHNOLOGY CENTRE SYSTEMS PROGRAM (P145502)

Social Management Framework

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**The Office of Development Commissioner -MSME
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Maulana Azad Road, New Delhi -110001**



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working world**

Acronyms & abbreviations

BSR	Basic Schedule of Rates
CAS	Country Partnership Strategy
CFTI	Central Footwear Training Institute
CIHT	Central Institute of Hand Tools
CCTC	Central Tool Room & Training Centre
CNM	Cluster Network Managers
DGE&T	Directorate General of Employment & Training, Ministry of Labour, Government of India
DONER	Department of Development of North Eastern Region
DPR	Detailed Project Report
FFDC	Fragrance and Flavour Development Centre
GRC	Grievance Redress Committee
IBRD	International Bank for Reconstruction and Development
IDA	International Development Association
IDEMI	Institute for Design of Electrical Measuring Instrument
IGTR	Indo-German Tool Room
IP	Implementation Partner
IPDP	Indigenous Peoples Development Plan
IPP	Indigenous Peoples Plan
IPSS	Indigenous Peoples Social Screening
JWG	Joint Working Group
M&E	Monitoring and Evaluation
MIS	Management Information System
MSME	Micro, Small and Medium Scale Enterprises
NGO	Not Government Organization
NPM	National Program Manager

NTFP	Non Timber Forest Product
OBC	Other Backward Class
O/o DC	Office of Development Commissioner, Ministry of Micro, Small and Medium Scale Enterprises
OP	Operating Procedure
PAP	Project Affected Persons
PC	Program Coordinator
PDO	Project Development Objectives
PIU	Project Implementation Unit
PSC	Project Steering Committee
R&D	Research and Development
RFCTL AR&R Act	The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013
RPF	Resettlement Policy Framework
RAP	Resettlement Action Plan
SC/ST	Scheduled Caste and Scheduled Tribe
SHG	Self Help Groups
SIA	Social Impact Assessment
SMF	Social Management Framework
TC	Technology Centres
TCSP	Technology Centre Systems Program
ToR	Terms of Reference

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I. Overview

A. Background

The Micro, Small and Medium scale enterprises (MSME) sector has been witnessing a strong growth in recent years, accounting for more than 45% of the manufacturing output and around 40% of the total export of India as of 2012-13¹. This sector is also the leading provider for employment and business avenues in rural and urban India, thereby spurring equitable and inclusive growth across local economies. Arguably, MSMEs play a crucial role in the socio-economic growth story of India.

Yet, the potential of the Indian MSMEs in creating jobs and livelihood generation opportunities remains untapped. Inadequate access to technology, technical and business skills and finance have been highlighted as some of the key constraints for the MSMEs in the manufacturing sector.

Some of these constraints have successfully been addressed by the 18 Technology Centres (TCs) spread across the country and run under the aegis of Ministry of MSME. The performance of these TCs, in fact, has been acknowledged by the Union Finance Ministry in the Budget speech of 2013-14 and led to the proposal of expanding the scheme by setting up 15 new TCs and upgrading the existing ones. This initiative, titled the Technology Centre Systems Program (TCSP), has thus emerged as a timely intervention to enhance the productivity of the Indian manufacturing MSMEs by improving their capacity for technological innovation and specialization, which in turn will have positive spillover effects on the societal needs across industrial clusters in the country.

B. Context of the Project

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

The TCSP is a national project based on a number of design principles and at building on the strengths and addressing the weaknesses of the existing Micro, Small and Medium Enterprise (MSME) Technology

¹ Annual Report 2012-13, Ministry of MSME, Government of India

Centre program. It also seeks to develop synergies with the other related public/private institutions and schemes involved in similar activities. The design principles and features of TCSP are: (i) Technology Centres to achieve technological and pedagogical excellence for transformational impact; (ii) Technology Centres to be demand driven; (iii) No crowding-out of the private sector; (iv) Good governance; (v) Linked to eco-system; (vi) National Relevance; (vii) Effective Implementation and (viii) Design inspired by good practices.

C. Project Development Objectives

The proposed Project's Development Objective (PDO) is to set up 15 New TCs and upgrade the development of Technology centres to enable enhancement of competitiveness of MSMEs, improve employability of trainees in manufacturing industries and financial sustainability of the Technology Center Systems.

The scope of the project includes, but is not limited to, the following key elements:

- ▶ The project aims at (a) upgrading the existing 18 TCs, enhancing their capacity in addressing the design, training and advocacy support needs of the MSMEs, (b) replicating and improving upon the successful techno-economic model at the 18 TCs across 15 green field centres in key high potential sectors.
- ▶ Each TC will emerge as a centre of excellence with state-of-the-art infrastructure facilities and business processes including latest machinery & equipment to design and manufacture quality tools, testing facility and for conducting training programmes.
- ▶ Leveraging sound international leading practices, contextualized to local conditions, will also be crucial in developing robust and sustainable business models for the TCs such that they play a key role in making the manufacturing processes more efficient, leading to a greater global footprint for the Indian MSMEs in the global manufacturing domain.
- ▶ The skilling & training capacity of the TCs will be upgraded to match international standards and to align with the requirements of national-level educational agencies. Long Term Diploma & Certificate courses in tool engineering, specialized hi-tech courses in tool engineering for engineering graduates and skilled enhancement courses for industry personnel will also be introduced.
- ▶ Special projects to promote research and innovation in the areas of special significance to MSMEs, government agencies and other organizations will be introduced.

D. Beneficiaries

The project beneficiaries are Indian MSMEs, larger firms, social entrepreneurs, small and marginal farmers along the value chains, as well as young students and workers including women and others who belong to socially disadvantaged groups, particularly from Low Income States (LIS)

E. PDO level results indicators

The PDO level results indicators are as follows:

- ▶ Enable Enhancement of competitiveness of MSMEs by the upgraded and new TCs measured by:
 - total number of MSMEs supported by TCs;
 - revenue of TCs from access to technology activities
 - Enhancement of employability of trainees measured by number of long term trainees employed within six months after trained at TCs
 - Enhancement of financial sustainability of TCs

F. Components

The proposed project has three components: (1) Technical Assistance to the existing and new Technology Centres; (2) Investments to up-grade and build facilities for the existing and new Technology Centres and (3) Technical assistance to MSME Ministry for Project implementation. Their key elements are described below:

- ▶ **Component 1: Technical assistance to the existing and new Technology Centers**
 - Three key support systems have been proposed for executing the activities under this component.
 - One, competitively recruited Manufacturing Technology Partners for each System of TCs specialized on specific industries/technologies. A robust Technology framework will support the TCs in rapid knowledge transfer and provide e-Business services to the MSMEs.
 - Two, Cluster Network Managers for each System (or sub System) of TCs specialized on specific industries/clusters. CNMs will play a key role in creating an extensive network, providing a platform to the MSMEs in connecting with the academia & research institutions to support their ventures.
 - Three, an IT Platform Service Provider that will develop a cloud based IT platform including a portal that will support the MSME ecosystem to serve the needs of institutional public sector. Pre-defined indicators will also be tracked at TC levels through an MIS framework ensuring operations in line with the mandate of the TCSP.
- ▶ **Component 2: Investments to upgrade existing and develop new Technology Centers**
 - Land: the Project is expected to span multiple States including Low Income and Special Category States (LIS)². There is a very strong interest in the Program from the states.
 - Investments to upgrade and build the facilities for the existing and new Technology Centres would involve upgrading the existing Technology Centres and financing the construction of new facilities for about 15 new Technology Centres. This component will require land – both for the expansion of existing Centres and establishment of new Centres.

² As defined in World Bank's Country Partnership Strategy for India (CAS, FY13-FY17)

- For the proposed locations to be selected, it is required that the States have completed the process of land acquisition and/or transfer of Government land under different tenure system in accordance with relevant Acts, Policies and Procedures concerning them and that the land should be available free of any encumbrances. This would also mean that there will not be any claim related to private as well as Government land by any affected persons. Most States have already expressed a strong interest in the Project and committed to allocate land for the new TCs free of any encumbrances and claims.
- The scope for having a transformative impact together with the time it will take for the facilities to become operational will be important criteria for site selection. The States have, as stated earlier, expressed their commitment to allocate land for expansion and for the new Technology Centres without any encumbrances and without any claims. In order to achieve transformative impact in the earliest possible time, it is important that Centers should become operational quickly with this investment. This will be a decisive factor that would influence the selection of sites for expansion and the setting up of new Centres.
- On the basis of the experience and understanding gained so far through site visits to existing Centres and the proposed new Centres, the land provided for expansion and establishment of new Centres can be classified into three categories. The land required for expansion of existing Centres and the establishment of new Centres most likely would belong to one of these categories.
- The first categories of sites are those where expansion will take place on land within the existing gated complexes. The expansion of IDEMI, Mumbai, CTTC Bhubaneswar and IGTR Aurangabad for example will take place on such land located within their gated complexes. This means the expansion of these two TCs will not require any additional land and, therefore, will not have any adverse social impact.
- The second category of sites are those where new Centres will be set up on sites that are well within clearly demarcated, existing and functioning industrial growth centre. For examples, the proposed Technology Centre in Durg, Chhattisgarh, which will be located within the clearly demarcated and functioning Industrial Growth Centre, Borai and the proposed Bengaluru Technology Centre, will be located within the existing and protected Aerospace Park. Inasmuch as the allotted plots to these two proposed TCs are well within existing, protected and clearly demarcated industrial areas, they are free from any claims, encumbrances and use by anyone for any purpose. And setting up of a new Centre on these sites and similar sites will not have any adverse social impact.
- The third category of sites are those where a new TC will be established on plots that are not within functioning growth centres and are spread over a large area of land that are not clearly demarcated and protected. The proposed sites in Baddi, Himachal Pradesh and in Ningthoukhong, Imphal, Manipur belong to this category. Though the Government of Himachal Pradesh had declared Baddi as an industrial development area, the area for industrial and manufacturing activities are spread over a very large area in

and around Baddi town covering many villages. This means the Baddi industrial development area is different from the ones in Borai (Durg) and in Bengaluru. This also means that some parts of such land could be under different use by different people to meet some of their needs. This is also the case with one of the sites for the proposed TC in Manipur where the site is in Ningthoukhong.

► **Component 3: Technical assistance to the MSME Ministry for Project implementation and Monitoring and Evaluation**

- The Project will be implemented with the support of an external Implementation Partner recruited through international competitive bid, which will provide support in the following areas:
 - Procurement (e.g. preparation of ToRs and bidding documents)
 - Financial management
 - Contract management
 - Environmental and Social Safeguards
 - Monitoring and Evaluation
- Small dedicated team: A National Program Manager (NPM) will be hired to act as the interface between the Implementation Partner and the Project Coordinator of the MSME Ministry (see the section on the implementation and governance framework for the Project below).
- Other TA: this will entail training of staff to support the capacity of the Ministry with respect to the design and implementation of other related MSME support programs, financial management, procurement, IT and M&E systems.
- The Program will seek to strengthen the current organizational model and performance management of TCs to achieve transformational impact in a substantial and durable manner, including through accountability measures established in the Results Framework Document (RFD). When conditions permit, technology centers will be market tested to explore other organizational models to deepen private sector participation. In order to protect against the risk of private capture, these initiatives will incorporate appropriate safeguards such as having explicit provisions enabling the State to buy back the equality of the private partners at any time.

G. Program financing

TCSP is estimated to be a \$400 million project, running across 72 months of implementation. The land for the Greenfield and brownfield activities will be provided by the state governments.

The component-wise break up of project activities provided below

Table1: Program cost and financing

Program Components	Program cost	World Bank Financing	Gol Financing	% of World Bank Financing
1. Technical assistance to TCs				
1.1. Manufacturing Technology Partners	14	11.2	2.8	80
1.2. Cluster Network Managers	12	9.6	2.4	80
1.3. IT Platform Service Provider	8	6.4	1.6	80
2. Investments to upgrade existing/develop new TCs				
2.1 Buildings	70	56	14	80
2.2 Capital Investments	131	104.8	26.2	80
2.3 Operating costs of new TCs and contingencies	150	0	150	0
3. TA to DC/MSME Ministry-				
3.1 PMU	8	6.4	1.6	80
3.2 SDPMT at PIU	2	1.6	0.4	80
3.3 Other TA	5	4.0	1.0	80
Total Costs	400	200	200	50

II. Socio-economic baseline for TCSP

A. Methodology

To assess the potential social impact of TCSP, the socio-economic profile of affected stakeholders has been prepared in line with the key elements of the TCSP.

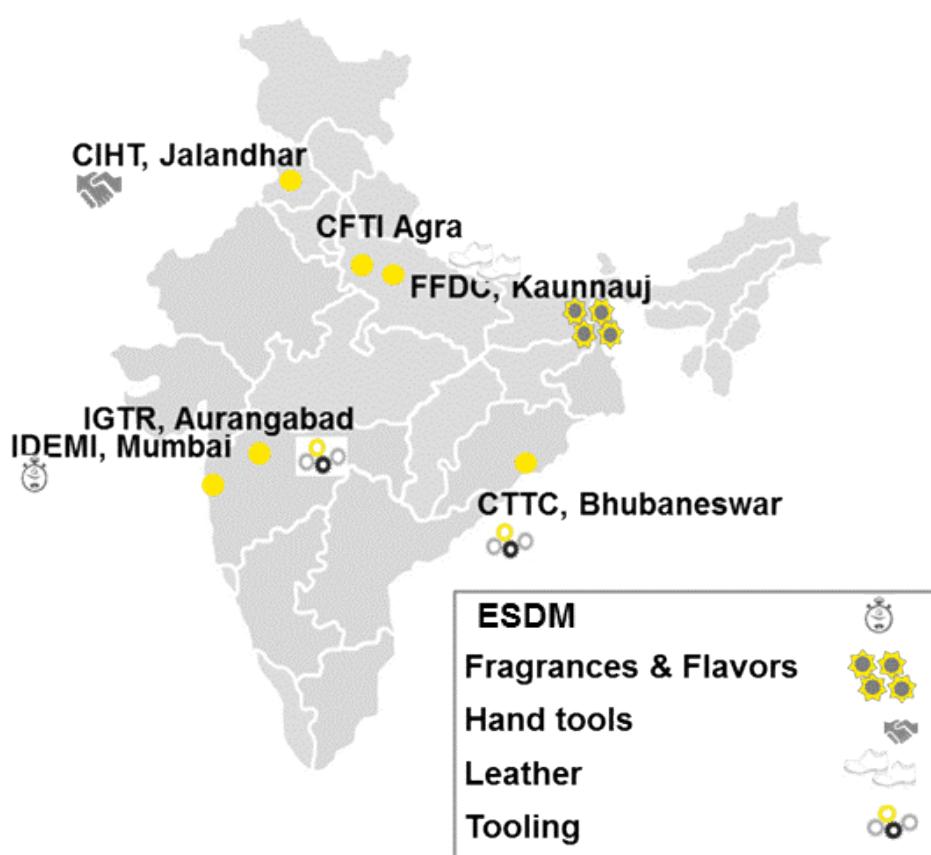
For this purpose, a preliminary diagnostic review was undertaken of six TCs, selected in consultation with the O/o DC (MSME) based on their geographic spread and potential of the industries catered by them. Extensive desk review was also undertaken of all the existing TCs.

The site visits were made at the following TCs:

- ▶ Indo-German Tool Room (IGTR), Aurangabad
- ▶ Central Tool Room & Training Centre (CTTC), Bhubaneswar
- ▶ Central Institute of Hand Tools (CIHT), Jalandhar
- ▶ Fragrance and Flavour Development Centre (FFDC), Kannauj
- ▶ Institute for Design of Electrical Measuring Instruments (IDEMI), Mumbai
- ▶ Central Footwear Training Institute (CFTI), Agra

The location and the industry-focus of these TCs is captured in Figure 2 below:

Figure 2: Diagnostic review of 6 existing TCs was undertaken



The stakeholder consultation at each of the TC's was undertaken through a participatory approach with the following select groups:

- ▶ Staff
 - Technical and non-technical staff, including full-time or on contract
 - Locally employed staff, including ad hoc employment
- ▶ Students
 - Students of long term, medium term and short term courses
 - Female residential students
 - Government of India support students from Scheduled Caste/Scheduled Tribe categories
- ▶ Micro/small scale clients
 - Farmers undertaking agricultural production, such as of essential oil for fragrance and flavors
 - Small scale entrepreneurs, such as women preparing incense sticks at home
 - Small/medium scale clients
 - Clients seeking design & testing support in highly specialized industrial manufacturing
- ▶ Industry representatives
 - Heads of industry associations in the sectors that the visited TCs catered to

Based on this diagnostic review, the current social development impact of existing TCs and the existing and potential social risks of TCSP have been captured as the current socio-economic baselines in assessing the social impact of TCSP.

The key findings of this diagnostic review are captured in the schema in Figure 3 on the next page.

Table3: Social Impact of TCSP – Current Scenario

Scope	Development impact of TCs			Existing and potential social risks of TCs
	Skill development	Business promotion	Social inclusion	
Key findings	Through flexible on/off campus long term, medium term and short term training programs, the TCs are able to train a wide variety of students	The TCs acts as nodal agencies across the value chain of an industry, linking farmers to small businesses to manufacturers and exporters TCs provide design & testing support in advanced industries like aerospace	High students/trainees admission rate under Schemes for SC/ST, women and those from low income states & North East Region Special programs are run for the differently abled, slum dwellers, women and other such minority groups.	Existing TCs are typically in industrial zones with clearly demarcated boundaries. Proposals for new TCs/ Expansion of TCs to undergo social safeguards screening

B. Development impact of TCs

1. Skill development and entrepreneurial opportunity creation

Key observations

Training and skill development

- ▶ Continued demand for long term and flexible medium and short term training programs, with high workshop-level exposure among students.
- ▶ High placement records indicate a strong market for the trained students as well.

Entrepreneurship promotion

- ▶ TCs play a key role in strengthening the end-to-end value chain, thereby having a long term positive impact on the local economy that also includes income generating opportunities for small and marginal farmers, social entrepreneurs and members of women's Self-Help Groups.
- ▶ FFDC Kannauj, which caters to the fragrances and flavors industry, has tracked that almost all of its micro and small scale clients who received assistance in production, testing & marketing of their products have experienced 50-200% increase in revenues.

2. Training and skill development

Interactions with staff and students at TCs revealed that the availability of technically strong workforce with effective application capabilities in the manufacturing sector, particularly at the workshop level, continues to be limited. By introducing specialized applied courses, the TCs can play a key role in plugging this supply-side gap.

3. Entrepreneurship promotion

Stakeholder consultations, including with industry representatives and independent local entrepreneurs, underscored the importance that these TCs play in ensuring access to technology, advocacy support and other business and technical requirements of the industry. For example, most MSMEs are unable to address the high precision designing needs of sophisticated industries like automotive or aerospace industries. By supporting MSMEs in designing and calibrating the models for clients, TCs act as a key support system for the upcoming players in the sector. Studies have also shown that a conducive environment (with access to finance, technologies, skills), such as envisioned by the TCs, leads to positive results in improving the MSME density in local regions across countries³.

A snapshot of admission rates in the various training programs and the business support on production activities offered by the TCs is presented below:

Table4: Physical performance: Snapshot of opportunities created for training & production by TCs as of 2012-13

	Number of trainees trained	Number of units assisted	Number of MSMEs assisted
CTTC - Bhubaneswar	21,304	1,105	547
IDTR - Jamshedpur	8,900	2,014	1,214
IGTR – Indore	5,462	480	410
IGTR - Ahmedabad	5,950	1,898	1,822
IGTR - Aurangabad	8,747	929	475
CTTC - Kolkata	3,489	726	358
CITD - Hyderabad	8,561	851	657
CTR - Ludhiana	2,950	3,399	2,415
ESTC - Ramnagar	5,230	272	NA
TDC - Mumbai	5,246	5,206	3,164
CIHT - Jalandhar	3,953	3,575	3,470

Source: Annual Reports for 2012-13 for TCs

³ Kushnir, Mirmulstein, and Ramalho “Micro, Small, and Medium Enterprises Around the World: How Many Are There and What Affects the Count?”, MSME Country Indicators 2010, World Bank/IFC

4. Social inclusion and development opportunity creation

Key observations

- ▶ Seats are reserved for SC/ST candidates in long term program and the tuition fee is reimbursed by the Ministry of MSME to the TC's. Tuition fee is also reimbursed by MoMSME for SC/ST trainees for short and medium term courses.
- ▶ Active participation of students in medium and short term programs through state funded schemes and region-specific schemes
- ▶ Flexible off-campus programs for slum dwellers and women with a focus on basic vocational skills, such as for making incense sticks
- ▶ Extension centres set up in tribal and politically-sensitive areas for difficult to reach groups, such as in Rayagada, State of Odisha
- ▶ Special technical training programs run for differently abled students, tailored to their needs and skills

To ensure equitable growth and development opportunities, each of the TCs undertakes a number of key initiatives to support socially and economically disadvantaged sections of the society. Fellowships for training and financial and non-financial support for undertaking business ventures are provided to members of SC/ST groups, women, differently abled and other minority groups by each of the TCs. A summary of key activities under social inclusion provided by the TCs are given below:

- ▶ Fully funded training programs are offered to students from the Scheduled Caste and Scheduled Tribe. In regular Long Term programs, seats are reserved for SC/ST candidates as per Government of India norms and the tuition fees reimbursed by the Ministry of MSME. State-level schemes also provide funding and scholarships to students from Below Poverty Line families, meritorious students who are unable to afford the tuition fee etc.
- ▶ Department of Development of North Eastern Region (DONER) has sponsored Skill development training programme under Capacity Building for Skill Development training to the Trainees from North Eastern region. CTTC, Bhubaneswar and IGTR Aurangabadis regularly conducting the sponsored training programme of DONER and after successful completion of the training trainees have been placed in various organizations.
- ▶ Special courses for high school dropouts which train them on basic machine operations. Placement support is also provided through the network of the TCs, upon successful completion of the course.
- ▶ To ensure wider outreach of the TC's activities, a number of activities are further offered. In difficult to reach regions, extension centres have been set up, such as the Rayagada Extension Centre by CTTC Bhubaneswar offering skill development opportunities in the LWE affected parts of the state. Special programs for slum dwellers and at-home women are also offered by some of the centres wherein the faculty and staff offer off-campus training to interested participants free of cost at flexible hours.

Table5: Training provided to members of socially and economically disadvantaged groups

	SC	ST	Women	Differently abled
CTTC - Bhubaneswar	1,582	1,634	3,325	-
IDTR - Jamshedpur	715	2,528	907	-
IGTR - Indore	915	591	241	-
IGTR - Aurangabad	1,861	934	570	-
CTTC - Kolkata	573	128	65	10
CTR - Ludhiana	559	-	92	-
ESTC - Ramnagar	1,193	332	864	6
CIHT - Jalandhar	935	10	1,037	-
Total	8,333	6,157	7,101	16

Source: Annual Reports for 2012-13 for TCs

C. Existing and potential social risks of TCs

1. Location and land usage

The impact of acquiring new land for the TCSP has potential social risks to external stakeholders. In assessing the potential impact to vulnerable groups, the following key findings have been identified:

Key observations

- ▶ TCs have permanent constructed boundary around the plot, thereby minimizing any existing or future encroachment and adverse social risks.
- ▶ The previous land usage of new TCs needs to be reviewed as part of assessing the adverse social risks of TCs as most of them are expected to be acquired from State

Key land-related observations made at the 6 locations visited are summarized below:

Table6: Land-related observations

	Rural/ Urban/ Semi-urban	Land-use zone	Surrounding area land-use	Demarcated/ protected by a boundary (Y/N)	Total campus area (in ha)	Total built- up area (in sq. mt.)	Ownership of land
IGTR, Aurangabad	Urban	Existing gated complex	Industrial/ Special Economic Zone/ Commercial/ Residential	Yes	5.19	21,972	Allocated by State Government on a lease for 99 years
CCTC, Bhubaneswar	Urban	Existing gated complex	Industrial. Surrounded by Educational; and smallscale industries, uni. medical college etc.	Yes	5.23	10,553	Allocated by State Government on a lease for 99 years
CIHT, Jalandhar	Urban	Existing gated complex	Residential	Yes	4.41	6,097	State Government
FFDC, Kannauj	Semi-urban	Existing gated complex	Industrial & Agricultural	Yes	8.50	8,187	Institute owned land provided by State Government
IDEMI, Mumbai	Urban	Existing gated complex	Commercial / Residential	Yes	1.84	5,632	Government of India
CFTI, Agra	Urban	Existing gated complex	Industrial	Yes	7.21	3,123	Institute owned land

D. Baselines for new Technology Centres

The baselines for the new TCs will be prepared in accordance with plans for conducting Social Impact Assessment (SIA) that includes census socio-economic survey as explained in the Resettlement Policy Framework (RPF) for TCSP and the proposed locations. The key areas of baseline will also include the following:

- ▶ The demographic profile of the district/region where the TC is proposed to be set up. This will include the number of blocks and villages affects, the number of towns within a specific radius of the proposed location. Accordingly, the population in the focus area will be surveyed and the population density per square kilometer will be provided. The demographic trends of women, SC/ST and minorities will also be captured as part of the baselines study.
- ▶ The economic profile will be captured in terms of the key employment avenues, the classification of the workforce in terms of main and marginal workers and the percentage of women, SC/ST and minorities as percentage of main and marginal workers
- ▶ To assess the social impact of allocating the proposed land for setting up the TC, the existing land usage will be reviewed to assess adverse social impacts. The usage of the area by permanent residents, squatters and other illegal users will be identified to assess adverse social impacts.

III. Project administrative structure and implementation

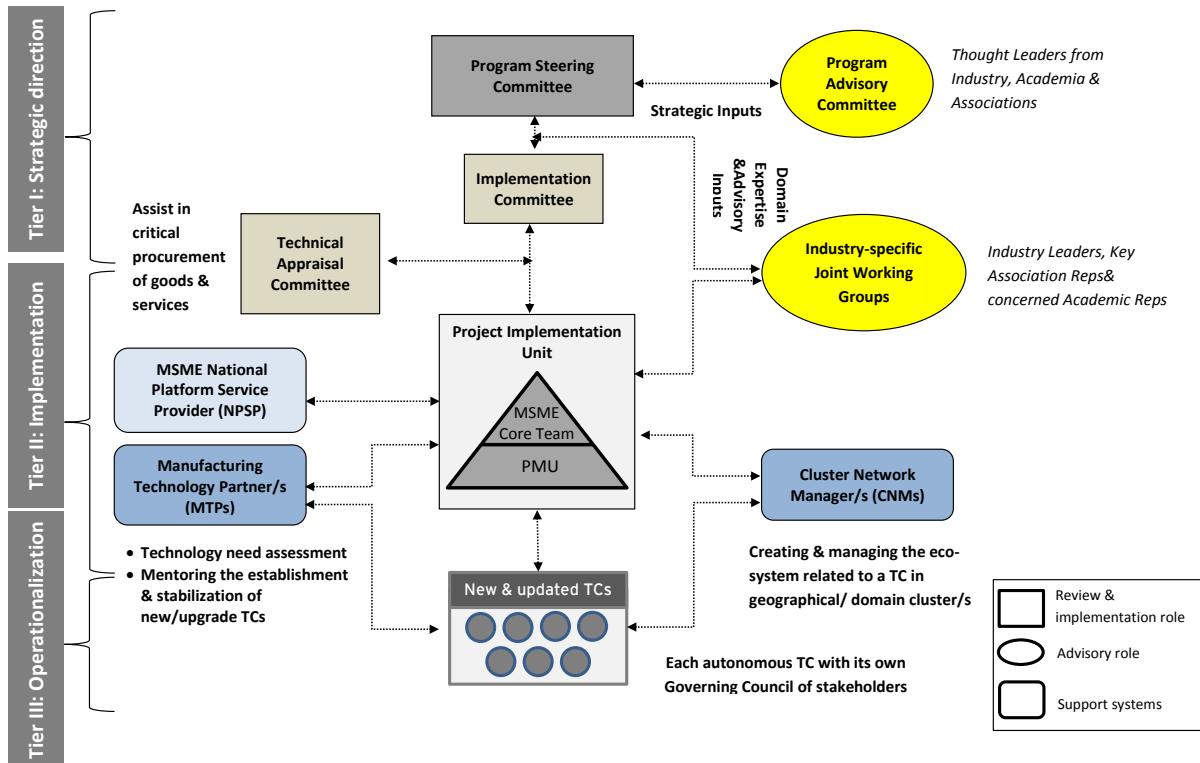
A. Governance framework

TCSP is proposed to be a national-level project under Ministry of MSME. The supervisory activities for the project will be undertaken by a Project Steering Committee (PSC) which will be chaired by Secretary, Ministry of MSME. The PSC will include representation from main stakeholder institutions including from: Ministry of Science and Technology, Ministry of Communication and Information Technology, Ministry of Heavy Industry, Ministry of Labor (DGE&T), State Governments through their Principal Secretaries/Secretaries of Industry, the NSDA, Academia and Research Institutes as well as the relevant leading industry associations. A Project Advisory Committee (PAC) with experts from academia, industry and relevant associations will provide strategic inputs on strengthening the Indian MSME ecosystem through this Program. This level is represented as 'Tier I: Review & assessment' in Figure 1 below.

The implementation activities of the project will be undertaken through the Office of Development Commissioner, MSME (O/o DC(MSME)) with the Development Commissioner (DC) acting as the designated official in-charge for TCSP. To provide industry-specific inputs, Joint Working Groups (JWG) will also be set up which will comprise domain specific industry leaders, representatives from the relevant business associations, government institutions and academia. This level is represented as 'Tier II: Governance & supervision' in Figure 1 below.

For purposes of smooth execution of the implementation activities, a dedicated Program Coordinator (PC) will be designated from the O/o DC (MSME). The PC will act as the nodal point for coordination with support agencies and with the TCs for the purposes of execution of the TCSP. The PC will be assisted by a small dedicated team which will act as the interface between the DC and the Implementation Partner (IP).The IP has been procured competitively through international bidding, and will together with the PC and his core team form the *Project Management Unit* (PMU), which will carry out the day-to-day management of the Project. This level is represented as 'Tier III: Execution' in Figure 7 below.

Figure7: Governance framework for TCSP



Based on the proposed Governance Framework for TCSP

Box 1: Project Management Unit

The Project Management Unit (PMU), set up under the aegis of O/o DC (MSME), will act as the nodal agency in coordinating with external and internal stakeholders, through the design and implementation of the project. The PMU is expected to rapidly boost the capacity and expertise of the MSME PC and his core team in all key implementation aspects. These will include but not be limited to; procurement, financial management, environment, social, health and safety safeguards specialists, and deploy other subject expertise as and when needed. The scope of activities for the PMU is summarized below:

- ▶ Preparation of Detailed Project Reports including financial plan and business models for the TCs
- ▶ Bid process management for external vendors, including tendering, bid evaluation, contract award and contract management
- ▶ Coordination with Cluster Network Managers and Manufacturing Technology Partners on pre-defined progress assessments
- ▶ Preparation of periodic status reports on project progress and safeguards compliance for the defined set of activities and tasks

- ▶ Preparation of social safeguard instruments such as RAP and IPDP where necessary and in accordance with Resettlement Policy Framework.
- ▶ Facilitation of preparation and implementation of TC-specific Gender Equality and Social Inclusion Plan (GESIP) in accordance with the strategy for GESIP.
- ▶ Management of the Process of Social Management Framework including the implementation of the Strategy for Gender Equality and Social Inclusion Plan (GESIP) and related action plans including preparation of TC specific GESIP.
- ▶ Monitoring of key activities against the results indicators for the project
- ▶ Other coordination activities deemed necessary by the PC.

IV. Section I – Social Safeguards Management

A. Annex SS I- Review of policy framework on social safeguards

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

1. Operational policies and directives of the World Bank

Table8: Operational policies and directives of the World Bank

Policy	Key features	Applicability to TCSP
OP 4.10 – Indigenous Peoples	<p>The objective are to avoid mitigate adverse impact on Indigenous Peoples and to ensure indigenous peoples benefit from Bank financed development projects</p> <p>The scope includes:</p> <ul style="list-style-type: none"> ▶ Self-identification of Indigenous People as members of distinct indigenous cultural group and recognition of this by others ▶ Collective attachment to distinct habitats/ancestral territories in project area and to natural resources in these habitats; ▶ Customary social, economic, cultural and political institutions that are separate from dominant society and culture and ▶ Indigenous language often different from the official language of the State <p>Implementation requires participation of indigenous peoples in creation of “indigenous peoples development plans”.</p>	Undertaking of Indigenous Peoples Social Screening/Social Assessment as the basis for preparing Indigenous Peoples Development Plan in accordance with the Guidelines for preparing IPDP as set out in the Resettlement Framework (RPF) of TCSP, if required in a site to be identified

Policy	Key features	Applicability to TCSP
OP 4.12 – Involuntary Resettlement	<p>The key objectives are</p> <ul style="list-style-type: none"> ▶ Avoid, minimize, mitigate adverse impacts ▶ Absence of legal title/claim is not bar to resettlement assistance as all Program affected are eligible for resettlement assistance and compensation ▶ Resettlement of all affected will be planned and implemented as a development project as an integral part of the Program and through a transparent and participatory process of consultation 	<p>Applicable to both new TCs and upgrades wherever expansion beyond existing property of TCs is necessary and caused by acquisition of private land and/or transfer of Government land under different tenure systems</p> <p>Application of the provisions of Resettlement Policy Framework – Social Screening, SIA, Categorization of SMP and preparation of RAP</p>
OP 4.20 – Gender and development	<p>The objective is to ensure equitable access to opportunities to poverty eradication and economic growth across women and other target groups.</p>	<p>Given the focus of TCs across sectors in the local economies, their direct and indirect impact on creating economic opportunities across genders and minority groups is likely to be high. The TCSP already has prepared a ToR for Gender and Social Inclusion Plan (GESIP) that would be used to prepare TC specific GESIP as part of TCSP implementation</p>

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

The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013 (RFCLAR&RA 2013Act) as Amended by the Amendment Ordinance, No. 9 of 2014, dated December 31, 2014, provides a systematic and time-bound procedure for land acquisition, allowing for necessary checks and safeguards to ensure an equitable and transparent process of land acquisition for industrialization, development of essential infrastructural facilities and urbanization with the least disturbance to the owners of the land and other affected families.

Implementation process

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

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

Other applicable national level policies include:

- ▶ National Policy for the Empowerment of Women (2001)
- ▶ The Persons with Disabilities (Equal Opportunities, Protection of Rights and Full Participation) Rules, 1996
- ▶ Untouchability Offences Act, 1955
- ▶ The Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Rules, 1995
- ▶ Minimum Wages Act, 1948
- ▶ Factories Act, 1948
- ▶ Contract Labour Act, 1970
- ▶ The Bonded Labour System (Abolition) Act, 1976
- ▶ Child Labour (Prohibition and Regulation) Act 1996 along with Rules, 1988
- ▶ Children (Pledging of Labour) Act, 1933 (as amended in 2002)

- ▶ The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006, is a key piece of forest legislation passed in India on December 18, 2006.
- ▶ Panchayats (Extension to Scheduled Areas) Act, 1996

State level policies and schemes, such as the State Industrial Policy (including the special provisions for thrust sectors) may also be reviewed for each state and zone wherein the TCs are proposed to be set up.

In addition to this, State-specific policies and schemes related to eligibility and admission criteria will also be reviewed to facilitate gender and social inclusion so that women and members of other vulnerable sections of society could enjoy the benefits of TCSP's vocation/technical skills development programs.

3. The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act (FRA), and Panchayats Extension to Scheduled Areas Act (PESA).

These are two important Acts in the context of this programme. These are outlined below.

Forests Rights Act 2006: The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006, is a key piece of forest legislation passed in India on December 18, 2006. It has also been called the "Forest Rights Act", the "Tribal Rights Act", the "Tribal Bill", and the "Tribal Land Act." This Act is crucial to the rights of tribal and other forest dwellers in different parts of our country as it provides for the restitution of deprived forest rights across India, including both individual rights to cultivated land in forestland and community rights over common property resources. The Act is significant as it provides scope and historic opportunity of integrating conservation and livelihood rights of the people. The key provisions of the Act have been listed below:

- ▶ Right to Live in the forest
- ▶ Community rights such as Nistar
- ▶ Right to collect, use or dispose NTFPs
- ▶ Right to rehabilitation in case of eviction or displacement from forest land
- ▶ Rights for conversion of leases or grants on forest lands into titles
- ▶ Right to conserve and manage any forest produce which has been traditionally protected and conserved

Panchayats Extension to Scheduled Areas Act, 1996 or PESA is a law enacted by the Government of India to cover the "Scheduled areas", which are not covered in the 73rd amendment or Panchayati Raj Act of the Indian Constitution. It was enacted on 24 December 1996 to enable Gram Sabhas (village assemblies) to self-govern their natural resources. It is an Act to provide for the extension of the provisions of Part IX of the Constitution relating to the Panchayats to the Scheduled Areas.

4. Entitlement Matrix for Project Affected persons

An Entitlement Matrix has been prepared to for all categories of Project Affected Persons (PAPs), based on The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013.

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

Table9: Entitlement Matrix

Entitlement Matrix		
Impact type	Entitled entity	Entitlement based on The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013
1. Loss of Land (Titleholders)		
1A. Loss of Agricultural Land	Affected Family (Titleholder)	<ul style="list-style-type: none"> ▶ Cash compensation at replacement cost as determined according to The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013 or replacement of land if available. ▶ If the residual plot is not viable and PAP becomes a marginal farmer, then any of the following three options are to be given to the PAP, subject to PAP's acceptance: <ul style="list-style-type: none"> • Acquire the required land and pay compensation and assistance for the same. • If PAP so wishes acquire the remaining portion of the plot and pay compensation and assistance for the entire plot including residual part. • If PAP is from vulnerable group, compensation for the entire land by means of land for land will be provided, if PAP wants so, provided that land of equal productive value is available. • If the land for land option is exercised, then an

Entitlement Matrix		
Impact type	Entitled entity	Entitlement based on The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013
		<p>additional INR 50,000/- per acre will be paid for land preparation.</p> <ul style="list-style-type: none"> • An amount of INR 25,000/- will be provided for each PAP towards building a cattle shed etc. ▶ If the PAP wishes to buy land with the compensation amount, then an additional INR 50,000/- per acre will be paid for land preparation. ▶ Subsistence Grant of INR 50,000/- ▶ One time resettlement allowance of INR 50,000/- ▶ All fees, stamp duties, taxes and other charges, as applicable under the relevant laws, incurred in the relocation and rehabilitation process, are to be borne by the IA.
1B. Loss of Residential/ Commercial land	Affected Family (Titleholder)	<ul style="list-style-type: none"> ▶ Cash compensation at replacement cost as determined according to The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013 or replacement of land if available. ▶ Subsistence Grant of INR 50,000/- ▶ One time resettlement allowance of INR 50,000/- ▶ All fees, stamp duties, taxes and other charges, as applicable under the relevant laws, incurred in the relocation and rehabilitation process, are to be borne by the IA.
2. Loss of Structures (Titleholders)		
2A. Loss of Residential Structures	Affected Family (Titleholder)	<ul style="list-style-type: none"> ▶ Compensation of structure will be paid at the replacement cost to be calculated as per latest prevailing Basic Schedule of Rates (BSR) without depreciation. ▶ Assistance of INR 30,000/- towards temporary accommodation or Rental assistance as per the prevalent rate in the form of grant to cover maximum six month rentals, whichever is higher. ▶ Subsistence Grant of INR 50,000/-

Entitlement Matrix		
Impact type	Entitled entity	Entitlement based on The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013
		<ul style="list-style-type: none"> ▶ Transportation assistance of INR 50,000/- ▶ One time resettlement allowance of INR 50,000/- ▶ Relocation assistance under existing Government schemes/programs ▶ Right to salvage material from demolished structure and frontage etc.
2B. Loss of Rental Accommodation (Residential/ Commercial)	Tenants	<ul style="list-style-type: none"> ▶ Rental assistance for both residential & commercial tenants: Assistance of INR 30,000/- towards temporary accommodation or Rental assistance as per the prevalent rate in the form of grant to cover maximum six month rentals, whichever is higher. ▶ Additional structures erected by tenants will also be compensated separately directly to the tenants. ▶ Transport/ Shifting assistance based on type of house and household assets, subject to a minimum of INR 50,000/-. ▶ Any advance deposited by the tenants will be refunded from owners total compensation package to the tenant on submission of documentary evidence. ▶ Right to salvage material from demolished structure and frontage etc. erected by tenants.
3. Loss of Structures Residential/Commercial (Non-Titleholders)		
3A. Loss of Immovable and Pucca Structures (Residential/ Commercial)	Squatters/ Encroachers	<ul style="list-style-type: none"> ▶ Squatters and Encroachers will be notified and given one month time to remove their assets or enough time to harvest their present crops. ▶ Compensation for loss of structures at replacement cost. All asset/structures impacted will be compensated irrespective of the notice time. ▶ Subsistence Grant of INR 50,000/- ▶ Transport/ Shifting assistance of INR 50,000/- ▶ One time resettlement allowance of INR 50,000/- ▶ Relocation assistance under existing Government schemes/programs ▶ For Squatters and Encroachers right to salvage

Entitlement Matrix		
Impact type	Entitled entity	Entitlement based on The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013
		material from the demolished structure.
4. Loss of Crops and Trees	Titleholders Share Croppers Lease Holders Non-title holders	<ul style="list-style-type: none"> ▶ Advance notice to all to harvest crops, fruits and remove trees. ▶ In case of standing crops, cash compensation at current market prices for mature crops based on average production. ▶ For fruit bearing trees compensation at average fruit production for next 15 years to be computed at current market value. ▶ For timber trees compensation at market price based on kind of trees.
4. Loss of livelihood		
4A. Loss of Primary Source of Income/ Livelihood	Titleholders Non- Titleholders Agricultural Labourers Share Croppers	<ul style="list-style-type: none"> ▶ Subsistence Grant of INR 50,000/- ▶ INR 25,000/- for cattle shed or petty shop ▶ One time grant of INR 25,000/- to artisans, small traders and certain others ▶ Employment opportunity for PAPS in the sub-project construction work, if available and if so desired by them. ▶ National/State level job card under National Rural Employment Guarantee Program. ▶ Income generation skill upgrading vocational training of their choice at a rate of INR 10,000/- ▶ For Agricultural Labourers and Share Croppers an assistance of 500 days of wages at prevailing minimum wage rate ▶ One time resettlement allowance of INR 50,000/-
5. Common Property Resources		
5A. Loss of Common Property Resources	Community	<ul style="list-style-type: none"> ▶ Reconstruction as per latest norms and guidelines, Commissioning and handing over to concerned departments/ community of all affected community property resources with community consultation and participation

Entitlement Matrix		
Impact type	Entitled entity	Entitlement based on The Right to Fair Compensation and Transparency in Land Acquisition and Resettlement Act 2013
6. Vulnerable		
6A. Vulnerable PAPs	Women headed households, Widows, STs, Chronically ill, old persons etc.	<ul style="list-style-type: none">▶ A onetime assistance of INR 50,000/- over and above other entitlements.▶ Handholding for ensured access to other government subsidies, schemes and services
7. Other Unforeseen/ Unanticipated Impacts		
7A. Unforeseen/ Unanticipated Impacts		<ul style="list-style-type: none">▶ Any unforeseen/ unanticipated impacts due to the sub-projects will be documented and mitigated based on the spirit of the principle agreed upon in this framework.

B. Annex SS II - The Screening Process and Impact and Risk Approach

1. Tiered Approach to Social Screening Process

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

A model Social Screening format is attached as Annex. This Social Screening format has been revised on the basis of Due Diligence site visits and the categorization of the sites both for expansion of existing TCs and the establishment of new TCs.

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

Similarly, if a new Technology Centre is to be established within an established and operational sites such as Industrial Estates, Industrial Parks, Export Promotion Zones etc. the sites will not go through SSP as there will not be any adverse social impacts in the absence of acquisition of private land and/or transfer of Government land to establish a new Centre.

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

Link to Resettlement Policy Framework: The Social Screening Process (SSP) has been fully integrated into the Resettlement Policy Framework that is attached as Annex 3 with which the Social Screening/Indigenous Peoples Screening formats are also attached.

2. Indian Legal System for Social Safeguard Management:

The Indian legal system for social safeguard management centres on the very recently enacted The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013

(RFCLAR&RA 2013)as Amended by the Amendment Ordinance, No. 9 of 2014, dated December 31, 2014. The Entitlement Matrix, for example, is based onthis RFCLAR&RA (refer Annex 1). In addition the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act (FRA), and Panchayats Extension to Scheduled Areas Act(PESA), are two important Acts in the context of this programme. These are outlined below.

Forests Rights Act 2006:The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006, is a key piece of forest legislation passed in India on December 18, 2006. It has also been called the "Forest Rights Act", the "Tribal Rights Act", the "Tribal Bill", and the "Tribal Land Act." This Act is crucial to the rights of tribal and other forest dwellers in different parts of our country as it provides for the restitution of deprived forest rights across India, including both individual rights to cultivated land in forestland and community rights over common property resources. The Act is significant as it provides scope and historic opportunity of integrating conservation and livelihood rights of the people.

The key provisions of the Act have been listed below:

- ▶ Right to Live in the forest
- ▶ Community rights such as Nistar
- ▶ Right to collect, use or dispose NTFPs
- ▶ Right to rehabilitation in case of eviction or displacement from forest land
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C. Annex SS III -The Process of Social Management Framework

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

All such sub-projects will go through the process of Full Social Screening (FSS) as the basis for determining whether or not these sub-projects will go through the process of Resettlement and Indigenous Peoples Development Plan as set out in the Resettlement Framework. Such a process will help to determine whether or not a Full or Abbreviated Resettlement Plan and also whether or not an Indigenous Peoples Development are required to be prepared.

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

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

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

The TSCP does not require any contract clause as it has well defined Resettlement Policy Framework and Processes. However, the following specific social safeguard performance indicators will be used to monitor social safeguard processes before the award of construction contract.

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

As explained above, the responsibility for implementing the Resettlement Policy Framework and Processes will be with the Technology Centre who will be assisted by the Project Management Unit of the

Project.

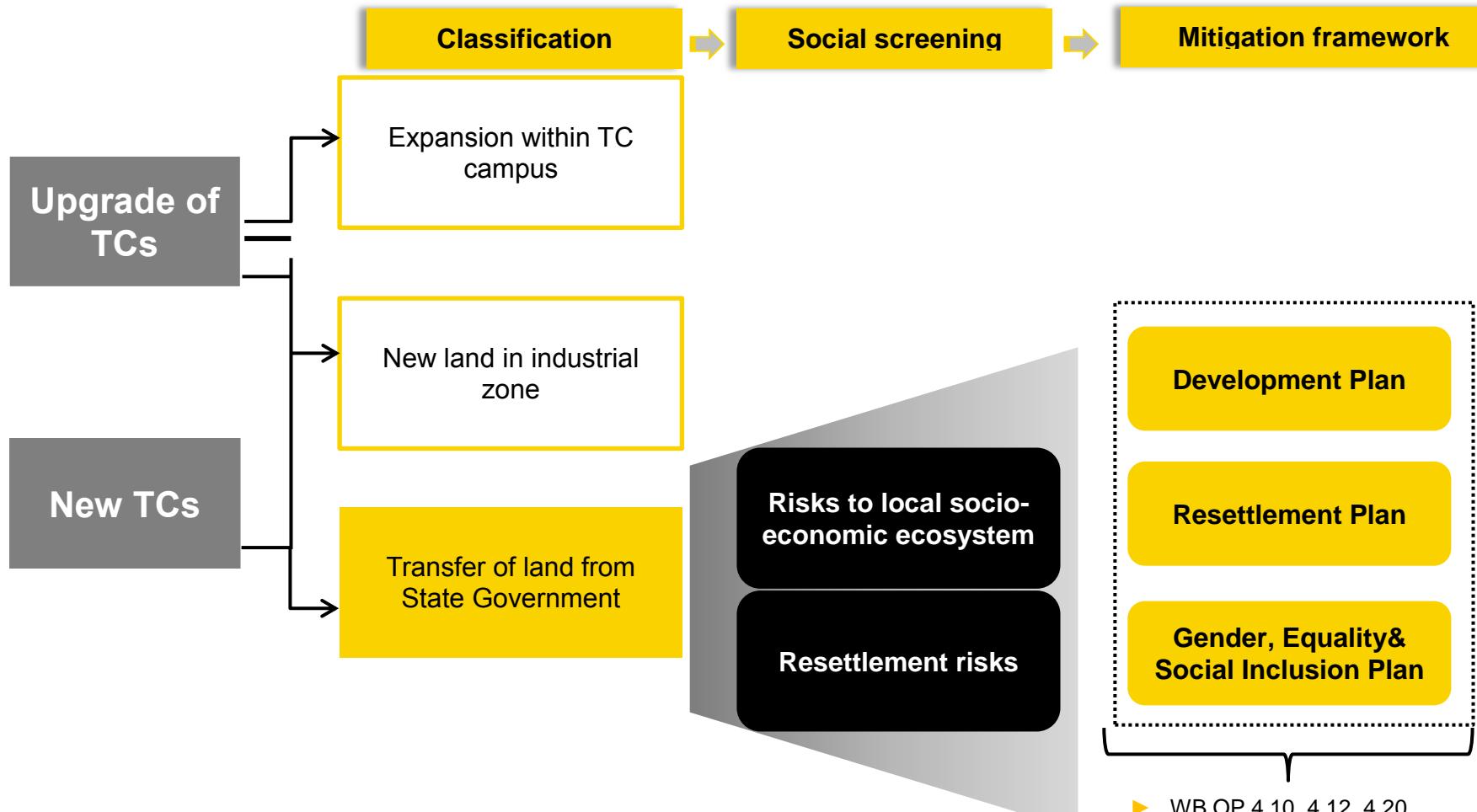
The Social Safeguard Process and the preparation of SMPs will be completed before the award of contracts for construction.

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

The PMU will prepare and submit to the Bank, through the Office of Development Commissioner, its strategy and action plans for participatory monitoring for review. The strategy and action plan will indicate the structure and process of participatory monitoring, the time frame and also specific indicators within 6 months of the approval of the Project. The process of monitoring will be done using the methodology of random sampling that would also be a part of the strategy.

The process flow for implementing the social safeguards has been captured in the phase-wise diagram in Figure 10 on the next page.

Figure10: Process flow for implementing the social safeguards for TCSP



D. Annex SS IV -Capacity Building Activitiesfor Social Safeguard Management

The Technology Centres are the implementing agencies at the level of States and they do not have any structure and process for addressing social safeguard processes at present as the need for such a structure and process had not been felt at the Centres so far.Nevertheless, each Technology Centre will have a designated Nodal Officer for Social Development who will not only be responsible for social safeguard process but also for social development aspects of the Centre such as Gender, Equality and Social Inclusion.

The Nodal Officer will be someone who is at present working on extension activities of the Centre such as support to Community Based Organizations such as Self-Help Groups for sustainable sources of livelihood and income and also Corporate Social Responsibility programs.

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

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

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

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

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

E. Annex SS V - Resettlement Policy Framework

1. Introduction

The proposed Technology Centre Systems Project (TCSP) is about upgrading and development of Technology Centres which have as their mission the improvement of technological capabilities of MSMEs and technical skills of students in selected manufacturing industries and States, with a strong emphasis on Low Income States. A Technology Centre is specialized in a given industry/technology. It provides on fee basis: technical training to workers and students as well as advisory services to MSMEs on both technology and business issues. It also helps MSMEs get exposure and access to state of the art technology/equipment. These facilities can help MSMEs develop prototypes and get their equipment tested and calibrated.

The TCSP is a national project based on a number of design principles and at building on the strengths and addressing the weaknesses of the existing Micro, Small and Medium Enterprise (MSME) Technology Centre program. It also seeks to develop synergies with the other related public/private institutions and schemes involved in similar activities. The design principles and features of TCSP are: (i) Technology Centres to achieve technological and pedagogical excellence for transformational impact; (ii) Technology Centres to be demand driven; (iii) No crowding-out of the private sector; (iv) Good governance; (v) Linked to eco-system; (vi) National Relevance; (vii) Effective Implementation and (viii) Design inspired by good practices.

The proposed project has three components: (1) Technical Assistance to the existing and new Technology Centres; (2) Investments to up-grade and build facilities for the existing and new Technology Centres and (3) Technical assistance to MSME Ministry for Project implementation.

Of the three components listed above, the component (2) Investments to upgrade and build the facilities for the existing and new Technology Centres would involve upgrading the existing Technology Centres and financing the construction of new facilities for about 15 new Technology Centres.

This component will require land – both for the expansion of existing Centres and establishment of new Centres. The States have also expressed their commitment to allocate land for expansion and for the new Technology Centres. The scope for having a transformative impact together with the time it will take for the facilities to become operational will be a decisive factor that would influence the selection of sites for expansion and the setting up of new Centres.

This would mean that the States have already completed the process of land acquisition and/or transfer of Government land under different tenure system in accordance with relevant Acts, Policies and Procedures concerning them and that the land should be available free of any encumbrances. This would also mean that there will not be any claim related to private as well as Government land by any affected persons.

2. The Resettlement Policy Framework

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

The World Bank's Social Safeguard Policy consists of OP 4-12 – Involuntary Resettlement and OP 4.10 – Indigenous Peoples. The OP on Involuntary Resettlement has clearly stated policy objectives, impacts covered, mitigation measures and eligibility criteria. It also has guidelines for preparing Resettlement Policy Framework and this RPF is in accordance with these guidelines.

As far as OP 4.10 – Indigenous Peoples is concerned; it uses the term Indigenous Peoples in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing certain characteristics in varying. The RPF uses the term Scheduled Tribes (ST) rather than Indigenous Peoples.

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

The RPF applies to all components of Technology Centre Systems Program that requires acquisition of private land and transfer of Government/public land and that are likely to have adverse social impacts including involuntary resettlement.

3. Objectives of Resettlement Policy Framework

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

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

4. Social Safeguard Screening

The Project Management Unit (PMU) will undertake Social Safeguard Screening (SSS) for land provided for expansion of existing Technology Centre and also the new site for setting up of a new Technology Centre. The screening is to identify potential adverse social, economic and cultural impacts likely to be

caused in order to determine whether or not the OP 4.12 on Involuntary Resettlement and/or OP 4.10 on Indigenous Peoples are applicable. Formats for screening are attached as Annex 2A, Annex 2B, and Annex 2C to this RPF. Social Safeguard Screening (SSS) will be done separately for each Technology Centre.

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

5. Categorization of Technology Centre (Sub-project)

The findings of SSS and SIA will provide the basis for categorizing each Technology Centre (Sub-Project) as S1 and S2. A Technology Centre will be classified as S1 if 400 and more families in the Plains and 200 and more families in tribal areas are affected. A Technology Centre (Sub-Project) with less than 400 project affected families will be categorized as S2.

The S1 category Sub-Project will go through the process of comprehensive SIA and preparation of Resettlement Action Plan in accordance with the guidelines provided in this RPF. The SIA and the RAP will be disclosed before the start of construction activities for the Technology Centre.

The S2 category Sub-Project does not require SIA but an Abbreviated Resettlement Action Plan (ARAP) in accordance with the guidelines provided in this RPF. The ARAP will be based on the census socio-economic survey of project affected persons.

In case the S1 category Sub-Project involves 200 or more tribal families affected, it will result in the preparation of an Indigenous Peoples Development Plan for which the guidelines have also been provided in this RPF.

6. Adverse Impacts Covered

The RPF covers adverse social and economic impacts caused by acquisition of private land and involuntary taking of land under different tenure systems resulting in loss of shelter leading to relocation, loss of assets or access to assets on which people depend for their social, economic and cultural needs and loss of income sources or means of livelihood whether or not the affected persons need to be relocated. Some of the key adverse impacts covered are:

- ▶ **Loss of shelter/homestead** resulting in displacement and involuntary resettlement caused by acquisition of private pattaland and/or transfer of Government land under different tenure

systems. Loss of shelter/homestead will also include temporary loss faced by tenants and lease holders;

- ▶ **Loss of land** used for residential, agricultural and commercial/small business purposes;
- ▶ **Loss of other structures** such as those used for commercial and/or small business purposes resulting in loss of business and income and other structures attached to the land;
- ▶ **Loss of agricultural income** and this includes loss of crops, trees etc.;
- ▶ **Loss of assets or access to assets** including those accessed by community to meet their communal needs such as firewood and fodder; and
- ▶ **Loss of income or means of livelihood** caused by land acquisition and/or transfer of Government land under different tenure
- ▶ **Deprivation and displacement** due to acquisition of private residential or agricultural or commercial land and also transfer of Government land under different tenure systems
- ▶ **Inconvenience and nuisance to public** due to construction activities for new TCs and the expansion plans for the existing TCs
- ▶ **Social unrest** on construction sites for various socio-political reasons

The losses mentioned above could also be considered as and/or converted into adverse impacts such as

- ▶ Loss of land;
- ▶ Loss of structures, both residential and commercial;
- ▶ Loss of sources of income or means of livelihood;
- ▶ Loss of public infrastructure; and
- ▶ Loss of access to common resources/properties.

7. Criteria for Eligibility

This RPF recognizes Project Affected Persons (PAPs) as belonging to one of the following three groups;

- ▶ Those with formal legal rights to the land and other rights recognized by Indian legal framework;
- ▶ Those without formal legal rights to land at the time of census socio-economic survey but have a claim to such land or assets under Indian legal framework or becomes recognized through a process identified in the Resettlement Plan and
- ▶ Those without recognizable legal right or claim to the land and/or properties they are occupying.

To achieve the objectives of this RPF, particular attention will be paid to the needs of vulnerable groups among the affected especially those living Below the Poverty Line (BPL), the landless, the elderly, women and children. The Entitlement Matrix that is a part of this RPF has provisions for compensation and resettlement assistance to all Project Affected Persons as categorized above in broad terms. Some of the terms used in the RPF are defined below.

Project Affected Person is the one who stands to lose all or part of their physical and non-physical assets such as productive land, commercial/business structure, access to common properties and sources/means of livelihood and income;

Project Displaced Person is the one who has lost homestead/shelter and or commercial/business structure and has to be relocated. A Project Displaced Person is also a Project Affected Person;

Titleholder is a person who has legal title/Patta/document to support his/her claim/right towards ownership of land and all assets on the land – residential, commercial/business, crops, trees etc.

Squatter, a non-title holder is a person who has settled on Government/public land without permission and has built residential and/or commercial structure, or has illegally occupied Government/public structures prior to the Cut-Off-Date;

Encroacher is a person who has trespassed into Government/public land adjacent to his/her own land and using it for residential, rental, commercial and business purposes and deriving income prior to the Cut-Off-Date; and

Cut-Off-Date is the date on which notification for acquisition of private land is issued under The Right to Fair Compensation and Transparency in Land Acquisition, Resettlement and Rehabilitation Act (RFCTLAR&R) Act, 2013 for acquisition of private titled land. For those without title, the Cut-Off Date shall be the date on which census socio-economic survey is being undertaken

8. Principles for compensation and resettlement assistance

The payment of compensation for all acquired land, structures, and both residential and commercial, and other assets will be paid at replacement costs to title holders in accordance with the provisions of RFCTLAR&R Act. In addition to compensation, they will also be paid resettlement assistance for income generating activities and assistance for relocation where necessary.

As far as those without title (non-title holders) to the land/property they are occupying are concerned, they are not entitled for compensation for the land they illegally occupy but eligible for the structures they have built and grown on the land in addition to resettlement assistance. Cut-Off Date for non-title holders to become eligible for resettlement assistance will be the date on which the census socio-economic survey is done. Any non-title holders who illegally occupy the public land/property after the Cut-Off-Date will not be eligible for any resettlement assistance. Non-title holders are considered as “squatters” and also include “encroachers.”

Payment of compensation and resettlement assistance to all project affected persons irrespective of their legal status will be on the basis of entitlements as set out in the Entitlement Matrix that is attached as Annex 1.

9. Mitigation Principles

In case it is not possible to avoid adverse impacts, the PMU will facilitate its mitigation through O/o DC-MSME in accordance with the following principles.

- ▶ The PMU will follow the process of resettlement, as set out in the following section, to identify potential social safeguard issues and will also plan and facilitate implementation of mitigation measures consistent with social safeguard policies of World Bank and RFCTLAR&R Act;
- ▶ Resettlement of project affected/displaced persons will be planned and implemented as a sustainable development program as an integral part of TCSP;
- ▶ Lack of legal title to illegally occupied Government/public land and structures will not be considered a bar to compensation and resettlement assistance;
- ▶ Homestead losers, including those who are squatting on Government/public land without authority/title will also be assisted with physical relocation;
- ▶ Commercial/business structure losers will also be provided with appropriate alternative structures such as shops irrespective of their legal status;
- ▶ Vulnerable sections of project affected/displaced persons such as those living Below the Poverty Line, the aged, vulnerable sections of the society such as the destitute, female-headed families, those belonging to scheduled tribes/castes will be identified through resettlement process and mitigated through targeted support for capacity building and income generation;
- ▶ Construction activities/civil works related to Technology Centres will be appropriately linked with resettlement process ensuring that all affected/displaced persons are provided with compensation and resettlement assistance prior to the starting of construction activities;
- ▶ The process of resettlement will be planned and implemented through a participatory process involving Project Affected Persons and will be monitored through independent third party consultant. This is to ensure that the process of involuntary resettlement has been done in accordance with this RPF and also to identify and address issues affecting the process of resettlement and;
- ▶ The PMU will undertake transparent and informed public consultations with multi-level stakeholders and will also meet all disclosure requirements at National and State levels in addition to placing all relevant documents at Bank's InfoShop

10. The Process of Resettlement

The structure of resettlement to mitigate adverse impacts involves the following processes:

- ▶ Undertaking of Social Safeguard Screening to determine whether or not this Program will trigger social safeguard policies – Involuntary Resettlement and Indigenous People;
- ▶ Undertaking of Social Impact Assessment (SIA) including census socio-economic survey to identify and categorize all project affected persons irrespective of their legal status;
- ▶ Categorization of Technology Centre (Sub-Project) as S1 and S2;
- ▶ Preparation of Resettlement Action Plan or Abbreviated Resettlement Action Plan; and

- ▶ Preparation of Indigenous Peoples Development Plan, if indicated by Social Safeguard Screening and the number of project affected families belonging to Scheduled Tribes

If Social Screening and SIA indicate, there is a need to prepare Resettlement Action Plan (RAP), Abbreviated Resettlement Action Plan (ARAP) and/or Indigenous Peoples Development Plan, (IPDP) a Social Impact Assessment as explained below will be undertaken prior to preparing RAPs and/or IPDPs.

11. Social Impact Assessment (SIA)

Since the land for expansion of existing Technology Centres and expansion of new Centres are to be made available free of any encumbrances, the Social Impact Assessment (SIA) will focus on the following in case the process of social screening indicates there are adverse impacts to be addressed:

- ▶ Identification and categorization of land under different tenure systems to which the land belonged at the time of acquisition of private land and/or transfer of Government/public land;
- ▶ Review of the patterns of use of land under different tenure systems – what category of land under tenure systems, who/how many used each type of land, for what purpose – residential, residential-cum-commercial, agricultural and other means of income/sources of livelihood;
- ▶ Assess whether any land used by Scheduled Tribes for their social, economic and cultural needs was transferred and if yes;
- ▶ Assess their adverse socio-economic and cultural impacts on those who depended on them along with patterns of use, type of adverse impact, the number of persons affected by such a transfer of public land;
- ▶ Undertake a census socio-economic survey of all affected by acquisition of private land and transfer of Government/public land, the type of loss, adverse social, economic and cultural impacts;
- ▶ Formulate a strategy to consult them through a prior and informed participatory process that is also transparent;
- ▶ Assess whether all those who were to be paid compensation for their private land had been compensated and confirm that no claims for compensation are pending;
- ▶ Assess whether the loss of access to/claims over common properties for social, economic and cultural needs had been compensated and that no claims are pending for claims and access rights;
- ▶ Identification of the patterns of use of private land and Government/public land– residential, residential-cum-commercial, agricultural or as any other means of income/livelihood and categorize them to receive entitlement in accordance with the Entitlement Matrix;
- ▶ Identification of vulnerable groups among the affected for targeted attention to help them with additional assistance; and
- ▶ Prepare Resettlement Action Plan and/or Indigenous Peoples Development Plan.

In addition to the Social Screening Formats that are attached as Annex 3A, 3B and 3C, the guidelines for the preparation of Resettlement Action Plans, both full and abbreviated and Indigenous Peoples Development Plan are attached as Annex 3D, 3E and 3F to the RPF. A full Resettlement Action Plan (RAP) will be prepared if the total number of Project Affected Persons, affected both by acquisition of

private land and transfer of Government/public land exceed 400 or more. An abbreviated Resettlement Action Plan (ARAP) will be prepared if the number of Project Affected Persons is less than 400.

12. Multi-level Consultation and Participation

The PMU, through O/o DC-MSME, will undertake multi-level stakeholder's analysis as the basis for its policy for undertaking a process of prior, transparent and informed consultation. In addition to this, the PMU will also undertake stakeholders' analysis and consultations with particular focus on project affected persons and communities. The process of consultation and participation will provide an opportunity to all affected persons, Community Based Organizations (CBOs), interest group organizations, NGOs/CSOs to express their concerns related to likely adverse impacts and plans to mitigate them. During the process of consultation, particular attention will be paid to facilitate separate Focus Group Discussions of women and other vulnerable sections of society.

In case the Technology Centre is located in designated tribal areas, such as those covered by Tribal Sub Plans, the transparent, prior and informed consultations would involve traditional opinion/community leaders of Scheduled Tribes with particular attention paid women and youth who are likely to benefit from the Centre.

This process will also provide an opportunity for the Program to explain, among others, the criteria for selection of sites for expansion and new Technology Centre that would avoid adverse social, economic and cultural impacts, plans to mitigate them in case such adverse impacts occur and also the benefits of the Program particularly to young men and women who have the necessary qualifications and who meet admission criteria to enjoy the training programs that would be available.

13. Documentation of Public Consultation

The process of public consultation will be documented in detail and the documentation will consist of (1) date, time and place of consultation, including Focus Group Discussions; (2) list of those who participated and place of residence; (3) list of NGOs/CSOs/CBOs; (4) list of issues/concerns raised/expressed; (5) Details of actions taken to address concerns and (6) list of documents/information provided by the PMU with regard to benefits of the Program and plans to address adverse impacts.

14. Monitoring and Reporting

The monitoring of resettlement process will be based on specific, measurable and quantitative indicators. The indicators would, among others, relate to (i) number of those eligible for compensation, resettlement assistance and relocation and actual number of those who were paid compensation, resettlement assistance and relocated; (ii) number of vulnerable sections of persons from among affected persons and number of such persons provided with additional targeted support for Income Generating Programs (IGPs); (iii) number of grievances/complaints brought to GRC; (iv) number of grievances/complaints redressed and accepted by those who brought up the grievances

15. Grievance Redress Mechanism

The grievance redress mechanism centres on Grievance Redress Committees (GRC) located at the level of a Technology Centre. The GRC is a Technology Centre specific as it would not be possible for those with grievances, particularly those located in remote and far off places, to take their grievances to a central GRC located in New Delhi.

The Grievance Redress Committee (GRC)

The Grievance Redress Committee at a Technology Centre would be headed by the General Manager or the Director of the TC. The Committee will also include the Assistant General Manager or Deputy Director who will act as the coordinator and also have a representative of an industry that has a major stake in the focus sector, the Nodal Officer for Social Development/Social Development Consultant, and a representative of a local NGO/CSO (civil society organization). The composition must ensure representation of minority groups, including women and SC/STs. Additionally, grievances may also be addressed at the national level to the O/o DC(MSME) through the proposed National Portal to be set up as part of the TCSP.

Scope of GRC

The GRC will receive and redress grievances and complaints that are formally brought to the GRC in writing by the persons and/or group of persons who have a grievance because of the Program's adverse impact on him/her and them. The grievance would, among others, relate to payment of compensation and resettlement assistance to all project affected persons in accordance with the eligibility criteria as set out in this RPF. All those who were affected by acquisition of private land and transfer of Government/public land under different tenure systems and whose claims had not been settled prior to handing over of the site to a Centre would be eligible to take up his/her or their grievance to the GRC.

In as much as one of the main activities of the Technology Centre is to provide technical/vocational training, grievance related to admission and eligibility criteria in violation of relevant policies of the Government will also come under the scope of GRC.

Process of GRC

- ▶ The GRC will meet on a fix day or date of every month during the first year of the Program and this could be changed according to requirements during subsequent years;
- ▶ The GRC will meet the following working day if the day/date fixed for the monthly meeting falls on a holiday;
- ▶ The GRC will consider and redress all registered and acknowledged grievances/complaints received at least 15 days prior to the scheduled day/date of the meeting;
- ▶ The GRC will receive all grievances/complaints and enter them in the Grievance Register;

- ▶ The GRC will work out a timeframe to redress grievances/complaints if such grievances/complaints are not redressed during the first meeting;
- ▶ The GRC will acknowledge receipt of all grievances/complaints, by registered post, within 7 days of receipt;
- ▶ The GRC will consider and redress grievances/complaints through public and transparent process in which all those who have lodged their grievances and complaints in order to facilitate transparency and accountability;
- ▶ The GRC will communicate its decisions/redress in writing to the complainants within 5 working days after the meeting; and
- ▶ The GRC decisions are not the final and the grieved and complainants have the right to seek judicial redress if they are not happy with the decisions of GRC.

Documentation of the Grievance Redress Process

The process of grievance redress will be a regular, transparent and participatory one and is an important and integral part of TCSP's governance and social accountability agenda. Each GRC at the Centre level will keep a separate Case File for each grievance/complaint received in which all related documents and record of discussions are kept. Each GRC will also maintain the following three Registers. Each GRC will prepare a six-monthly report and send it to the PIU at the Ministry of MSME.

- ▶ **Complaints/Grievances Register** will contain (a) Serial Number; (b) Case Number; (c) Name of the Grieved/Complainant; (d) Name of Father/Husband; (e) Gender (f) Age; (g) Full Address; (h) Brief details of grievance/complaint; (i) List of documents, if any, attached; (j) Details of previous grievance/complaint, if any; (k) Date of receipt of grievance/complaint and (l) Date of acknowledgement of grievance/complaint.
- ▶ **Resolution Register** will have details of (1) Serial Number; (2) Case Number; (3) Name of the Grieved/Complainant; (4) Details of grievance/complaint (5) Field visit, if any, and findings; (6) Date of public hearing; (7) GRC's decision; (8) Details of decisions – redressed, pending or rejected and (9) Agreement reached/Commitment made.
- ▶ **Closing Register** will contain details of (i) Serial Number; (ii) Case Number; (iii) Name of the Grieved/Complainant; (iv) Date of Hearing; (v) GRC's decision; (vi) GRC's decision – whether or not accepted; (vii) Whether the grieved/complainant seeking legal redress; (viii) Date, medium and mode of communication to the grieved/complainant and (ix) Date of closing of grievance/complaint.

Right to seek Legal Redress

The grieved/complainant will have the right to seek legal redress through the judicial system if he/she or they are not satisfied with the decisions of the GRC. The option of seeking redress through the GRC or through the judicial system will be explained to project affected persons during the process of public consultation and participation

16. The Social Management Framework – An Evolving Document

The Social Management Framework (SMF) has two distinct sections – one on Social Safeguards and another on Gender Equality and Social Inclusion (GESI). As stated in the previously disclosed SMF, this revised SMF is also considered to be a living and evolving document that would be periodically reviewed and updated both by the Office of the Development Commissioner and the World Bank during the period of the Program and if dated if necessary. This revised SMF is the result of such a review both by the Office of the Development Commissioner and the World Bank based on *Due Diligence* field visits. The TCSP would undertake the next review prior to mid-term review by the World Bank.

17. Multi-level Public Disclosures

The PMU will disclose the SMF and related social safeguard documents/instruments at three levels, at the level of:

- ▶ At the Ministry of Medium, Small and Micro Enterprises;
- ▶ At the level of Technology Centre in the States and
- ▶ At the level of World Bank.

At the level of the Ministry, the SMF and all social safeguard related documents, including Resettlement Policy Framework and Resettlement Instruments including Entitlement Matrix and Resettlement Action Plans will be separately identified and uploaded in the Ministry's website in English and in Hindi as the Program covers a number of States in India.

At the level of Technology Centre in a State, the SMF and social safeguard related documents/instruments such as the SMF, Resettlement Policy Framework including the Entitlement Matrix, Resettlement Action Plans etc. in English and local language. These documents will be separately identified and disclosed in the website of each Technology Centre

At the level of the World Bank, the Bank will disclose this SMF and its RPF and any other future social safeguard instruments such as the reports of SIA and resultant Resettlement Instruments at the *InfoShop* for downloading and reference by interested stakeholders.

18. Multi-level Re-disclosure of Revised Social Management Framework

In accordance with the Multilevel Disclosure Policy as mentioned above, this revised Social Management Framework and all documents related to social safeguards such as SIA Reports, RAPs, IPDPs etc. will be disclosed at three levels: (i) at the level of Ministry of Micro, Small and Medium Enterprises/DC-MSME, Government of India; (ii) at the level of Technology Centre in States where they are located and (iii) at the level of the World Bank.

Ministry of Micro, Small and Medium Enterprises will re-disclose this Social Management Framework in the Ministry's website <www.msme.gov.in>both in English and in Hindi.

The Technology Centres in the States will re-disclose this Social Management Framework and all social safeguard related documents, both in English and local language in their websites. In addition to this, printed copies of the Social Management Framework and all social safeguard documents, both in English and in the local language will be placed in the Government offices and libraries at the State, District, Tehsil and Block levels. The SMF will also be disclosed in the website of each State Government where the Centre is located.

The World Bank will also re-disclose this SMF and all social safeguard related documents at the **InfoShop** for downloading and reference by interested stakeholders.

F. Annex SS VI–Social Screening Certificates

A – Expansion of Existing Technology Centre – Social Screening Certificate

Location and Address of Technology Centre

NAME OF THE TECHNOLOGY CENTRE	NAME OF CLUSTER
Street Address	Phone: Fax:
Year of Establishment	Email ID: Website:

Person-in-Charge of Technology Centre

NAME OF PERSON IN-CHARGE	DESIGNATION	CONTACT DETAILS
		Phone: Fax: Mobile: Email ID

CERTIFICATION

This is to certify that the extension of this Technology Centre will take place within its existing gated complex located at the address given above and that it does not require any land outside its present complex.

This is also to certify that copies of the following original documents are attached to confirm the above certification.

1. Site Plan of the existing gated complex and
2. Lay-out/Building Plan of the proposed constructed marked on the site plan

SIGNATURE OF COMPETENT AUTHORITY

Name: -----

Designation: -----

Date: -----

Place: -----

B – Establishment of New Technology Centre in clearly demarcated, protected and functioning Industrial Area – Social Screening Certificate

Location and Address of the Technology Centre

NAME OF THE TECHNOLOGY CENTRE	NAME OF THE CLUSTER
Street Address:	Phone: Fax:
Email ID:	Website:

Person-in-charge of Technology Centre

NAME OF PERSON-IN-CHARGE	DESIGNATION
CONTACT DETAILS Phone: Fax: Mobile:	Email ID:

Name, Location, Address and Details of Industrial Area

NAME OF INDUSTRIAL AREA (e.g.Industrial Growth Centre, Borai)	YEAR OF ESTABLISHMENT
TOTAL AREA OF LAND (IN ACRES):	TYPES OF INDUSTRIES (Tick Appropriate Ones) Manufacturing: Service: Energy: Others (Specify)

List of Industrial Units Surrounding the Allotted Plot

S. No	NAME OF INDUSTRIAL UNITS	TYPE OF INDUSTRY

Details of Plot of Land Allotted:

PLOT/SERIAL NO.	AREA OF LAND (IN ACRES)	DATE OF ALLOTMENT	DATE OF POSSESSION
NAME OF ALLOTTING OFFICIAL	NAME OF ALLOTTING ORGANIZATION	ALLOTMENT LETTER NUMBER	DATE OF LETTER

CERTIFICATION

This is to certify that the proposed Technology Centre will be located on a plot of land allotted by a Competent Authority of the State Government and that the plot of land is located within clearly demarcated, protected and functioning Industrial Area and that the allotted land is free from any claims, use and encumbrances.

This is also to certify that copies of the following original documents are attached with this Social Screening Certificate.

1. Site Plan of the Industrial Area with clearly marked allotted plot;
2. Letter of Allotment of Land;
3. Certificate of Handing Over of Land;
4. Certificate of Non-Incumbency

SIGNATURE OF COMPETENT AUTHORITY

Name: -----

Designation: -----

Date: -----

Place: -----

C – Establishment of New Technology Centre in un-demarcated, unprotected open Industrial and other Non-Industrial Area – Social Screening Certificate

Location and Address of Land Allotted for Technology Centre

NAME OF THE TECHNOLOGY CENTRE	NAME OF THE CLUSTER
Street Address:	Phone: Fax:
Email ID:	Website:

Person-in-charge of Technology Centre

NAME OF PERSON-IN-CHARGE	DESIGNATION
CONTACT DETAILS Phone: Fax: Mobile:	Email ID:

Details of Plot of Land Allotted

CLASSIFICATION OF LOCATION (Tick the Appropriate)	AREA (Acres)	LAND TENEURE (e.g. <i>Shamlat</i>)	CURRENT USE (Tick the appropriate)
Rural			Agriculture
Urban			Grazing
Semi-urban			Homestead
Non-Industrial			Community Use
Industrial			Squatting
			Encroachment
			Livelihood
			Others (Specify)

PLOT/SERIAL NO.	KHASRA NUMBER	DATE OF ALLOTMENT	DATE OF POSSESSION
NAME OF ALLOTTING OFFICIAL	NAME OF ALLOTTING ORGANIZATION	ALLOTMENT LETTER NUMBER	DATE OF LETTER

List of Public and Participatory Social Screening Participants

Place/s of Social Screening

Name of Social Screening Place/s	Date/s of Screening	Time of Screening

CERTIFICATION

This is to certify that the proposed Technology Centre will be located on a plot of land allotted by a Competent Authority of the State Government as detailed above and that the plot of land is free from any claims, use and encumbrances of any kind.

This is also to certify that the process of social screening and demarcation of the site have been a public and participatory process in which representatives of Gram Panchayat and earlier users of allotted land were involved as indicated in this Social Screening Certificate.

This is also to certify that copies of the following original documents are attached with this Social Screening Certificate.

1. Revenue/*Patwarim* map of the allotted land that includes *Khasra*/Plot numbers;
 2. Letter of allotment of land issued by a Competent Authority
 3. Letter of Possession
 4. Non-Incumbency Certificate
 5. Location map of the allotted land

SIGNATURE OF COMPETEENT AUTHORITY

Name: -----

Designation: -----

Date: -----

Place: -----

G. Annex SS VII– Format for Indigenous People's Social Screening

Name of Technology Centre: _____

Address: _____

Whether the Centre is located in area covered by Tribal Sub Plan: Yes----- No-----

If yes, name of the Block _____ and the District _____

Whether the land for expansion of the Centre/Establishment of the Centre is available free of any encumbrances: Yes----- No-----

Whether the land for expansion of the Centre/Establishment of the Centre was acquired from Patta holders: Yes----- No-----

If the land was acquired, whether compensation to all Patta holders has been paid and that no claims are pending: Yes: ----- No: -----

Whether the land for expansion of the Centre/Establishment of the Centre was Government/Public land: Yes: ----- No: -----

If Government/Public land: Give the name of the *tenure system* to which it belonged:

Forest land: Yes: ----- No: -----; Revenue land: Yes: ----- No: -----; Panchayat land: Yes: ----- No: -----;
Village Common Land: Yes: ----- No: -----

If the transferred involved any one of the above mentioned *tenure systems* please answer the following:

Patterns of Previous Land Use – Government Land under Different Tenure Systems

Land Tenure	NTFP	Fodder	Firewood	Residential/Commercial Structures	Cultural Structures
Van Panchayat Land					
Gram Sabha Land					

Revenue Land					
Forest Land					
Total Number Of families					

Whether the project affected persons have self-identification as members of a distinct indigenous cultural group and recognition by others as such: Yes ----- No -----

Whether the project affected persons have collective attachment to geographically distinct habitats or ancestral territories in the project affected area and to the natural resources in these habitats and territories: Yes ----- No -----

Whether the project affected persons have customary, cultural, economic, social or political institutions that are separate from those of the dominant society and culture: Yes ----- No -----

Whether the project affected persons have an indigenous language often different from the official language of the State: Yes ----- No -----

This is to certify that, on the basis of this Social Screening, the Expansion of the existing Centre/Establishment of the new Centre is not in an area covered by Tribal Sub Plan and, therefore and the Government/public land that was transferred for expansion of existing Centre/Establishment of a new Centre was not in any way used by those who belong to Scheduled Tribes. In view of this, this is also to certify that there is no need to prepare an Indigenous Peoples Development Plan (IPDP).

OR

This is to certify that, on the basis of this Social Screening the Expansion of the existing Centre/Establishment of the new Centre is in an area covered by Tribal Sub Plan and, the Government/public land that was transferred for expansion of existing Centre/Establishment of a new Centre was used by those who belong to Scheduled Tribes to meet their social, economic and cultural needs and that a separate IPDP is being prepared to address the adverse impacts.

Signature of the Authorized Signatory_____

Name_____ Designation: _____

Date: _____ Place: _____

H. Annex SS VIII: Resettlement Action Plan

Outline for Resettlement Action Plan

- ▶ Brief description of the Technology Centre: its location and description of the area where it is located – designated industrial area/park, special economic zone, located within area covered by Tribal Sub Plan, etc. and whether the Technology Centre is under expansion or a new one to be established;
- ▶ Details/categories of land handed over for expansion or establishment of new Centre – type of land – private/patta land and Government/public land under different tenure systems in hectares;
- ▶ Details of patterns of use of the land when private land was acquired and Government/public land were transferred:
 - Residential;
 - Residential-cum-commercial;
 - Agricultural and other sources of income/livelihood
 - Access to common properties/natural resources for firewood, fodder, sources of income/livelihood, cultural properties etc.
- ▶ Details/number of affected persons whose use and access to common properties as listed above had been adversely affected;
- ▶ Details of compensation paid, if any; number of patta holders paid and number of patta holders to be paid;
- ▶ Details/number of affected persons who had been paid of compensation for assets lost on Government/public land and resettlement assistance provided to compensate loss of access to common properties and details of those yet to be compensated both in terms of income and access to common properties;
- ▶ Details of vulnerable groups of persons from among such affected;
- ▶ Census socio-economic survey of all project affected persons irrespective of their legal status;
- ▶ Details of prior, informed and transparent process of consultation
- ▶ Detail of Grievance Redress Process
- ▶ Resettlement Action Plan – compensation to be paid, payment of entitlement in accordance with the Entitlement Matrix, special assistance to vulnerable group of affected persons; budget, time frame, institutional arrangements for planning, monitoring and evaluation

I. Annex SS IX: Outline for Abbreviated Resettlement Action Plan

Outline for Abbreviated Resettlement Action Plan

Brief description of the Technology Centre: its location and description of the area where it is located – designated industrial area/park, special economic zone, located within area covered by Tribal Sub Plan, etc. and whether the Technology Centre is under expansion or a new one to be established;

Details/categories of land handed over for expansion or establishment of new Centre – type of land – private/patta land and Government/public land under different tenure systems in hectares;

Details of patterns of use of the land when private land was acquired and Government/public land were transferred:

- ▶ Residential;
- ▶ Residential-cum-commercial;
- ▶ Agricultural and other sources of income/livelihood
- ▶ Access to common properties/natural resources for firewood, fodder, sources of income/livelihood, cultural properties etc.

Details/number of affected persons whose use and access to common properties as listed above had been adversely affected;

Details of vulnerable groups of persons from among such affected;

Census socio-economic survey of all project affected persons irrespective of their legal status;

Details of prior, informed and transparent process of consultation

Detail of Grievance Redress Process

Resettlement Action Plan

- ▶ List of PAPs to be paid compensation and resettlement assistance in accordance with the Entitlement Matrix;
- ▶ List of vulnerable group of PAPs requiring targeted special assistance
- ▶ Budget
- ▶ Time-frame
- ▶ Institutional arrangement for RAP implementation

J. Annex SS X: Guidelines for preparing Indigenous Peoples Development Plan

Introduction

The expansion of existing Technology Centres or the establishment of new Centrres do not require any acquisition of private “patta” land or transfer of Government/public land under different tenure systems. This is because the Ministry of Micro, Small and Medium Enterprises (MoMSME) has strictly stipulated that the expansion of existing Centres or the establishment of new Centres will only take place when the land is available free of any encumbrances and without any claims over the land that would be provided to MoMSME.

Nevertheless, the guidelines for preparing Indigenous Peoples Development Plan (IPDP) have been prepared in case the expansion of existing Centres or establishment of new Centres in States where the majority of the population belong to Scheduled Tribes and where the Scheduled Tribes population is adversely affected by the Program resulting in loss of social, economic and cultural resources on which they depend. The IPDP will be prepared if the Indigenous Peoples Social Screening (IPSS) indicates that those who belong to Scheduled Tribes are adversely affected by activities related to TCSP.

The Scheduled Tribes – Indigenous Peoples in India

For the purpose of IPDP, the Scheduled Tribes are identified as those living in one particular geographic area and have the following characteristics:

- Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;
- Customary social, economic, cultural and political institutions that are separate from those of the dominant society and culture; and
- Indigenous language often different from the official language of the State

Indigenous Peoples Plan

When a site for expansion of an existing Centre or the establishment of a new Centre is provided, the assumption is that the site is available free of any encumbrances and all issues related to compensation and resettlement assistance to address adverse social, economic and cultural impacts had already been completed. In view of this, the IPP will have the following principles.

IPP Basic Principles

The IPP will have the following basic principles to mitigate adverse social, economic and cultural impacts caused to Scheduled Tribes in the area surrounding a Technology Centre:

1. Undertake Indigenous Peoples Social Screening (IPSS) to confirm whether or not those who belong to Scheduled Tribes and who have the characteristics mentioned above are not socially, economically and culturally affected by expansion of existing Centres or establishment of new Centres;
2. Undertake assessment of all adverse impacts, including loss of rights/claims to common resources on which they depend for their social, economic and cultural needs
3. Plan an Indigenous Peoples Development Plan to mitigate all adverse impacts on Scheduled Tribe population in case such a mitigation has not already been done; and
4. Formulate a strategy for the involvement of NGOs and Civil Society Organization to facilitate active participation of affected persons in the planning, implementation and monitoring of IPDP

IP Participation and Consultation

The Indigenous Peoples Development Plan will be an outcome of free, prior and informed consultation with affected communities including their traditional leaders, women and young people through community meetings, focus group discussions involving women, interest group meetings etc. and other stakeholders such as Community Based Organizations, Civil Society Organizations and NGOs.

Contents of Indigenous Peoples Development Plan

The IPDP will basically aim to mitigate adverse social, economic and cultural impacts and promoting links to any existing development opportunities, including those offered by the Technology Centres with particular emphasis on those who are affected. The following will be the contents of the IPDP:

Baseline data including analysis of social, economic, cultural characteristics, social structure, economic activities and land tenure categories, customary and other rights to natural resources;

Strategy for consultation and participation to facilitate free, prior and informed consultation and participation involving affected persons, their communities, organizations etc. as explained above;

Mitigation measures to address adverse social, economicand cultural impacts that are identified through the process of consultation and participation;

Organizational arrangementsincluding staffing,budget and time frame for participatory planning, implementation and monitoring of IPDP.

V. Section II - Gender Equality and Social Inclusion Plan (GESIP)

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

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

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

The PMU will also monitor the implementation of Gender Equality and Social Inclusion Plan (GESIP).

Introduction

The Program aims at, among others, creating more choices for young people entering labor force in terms of providing opportunities for hands-on-technical skills development at varying levels through Technology Centres. This is expected to provide young people, including women and those who belong to vulnerable sections of society economic and social returns. This is in accordance with Government of India's focus on inclusive growth focusing on poverty reduction and group equality and also with World Bank's Country Partnership Strategy with emphasis on engagement, transformation and inclusion

This Strategy is to help with the preparation and implementation of a Gender, Equity and Social Inclusion Plan (GESIP) with particularly emphasis on gender and social inclusion also of those who belong to weaker and underprivileged sections of society such as the Scheduled Castes, Scheduled Tribes, those who are physically challenged and from low income states.

The GESIP will center on the policies of the Government of India and state governments that are relevant to reservation based admission criteria as such policies reflect the Government's approach to

gender, equity and social inclusion to benefit women and others who belong to weaker sections of the society as mentioned above.

The GESIP will be planned and implemented at two levels: (i) at the level of project affected families, if any and (ii) at the level of other beneficiaries such as potential trainees/students, particularly those from Low Income States where the Technology Centres are located.

Participatory Process of GESIP

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

- Identification of primary stakeholders, as mentioned above, particularly young people including women and those who belong to vulnerable sections of society –Schedule Castes, Scheduled Tribes, Backward Casts, minorities, differently abled and other such cohorts.
- Involvement of primary stakeholders in an informed and transparent consultative and participative process that includes Focus Group Discussions (FGDs) involving Community Based Organizations/ groups of women and other vulnerable sections, NGOs/CSOs, key opinion/traditional leaders of the community and the documentation of the process;
- Involvement of existing trainees/students and also trainers and other staff of a Technology Centre in the participatory process to understand the criteria used for selection and admission into a Technology Centre
- Explaining of the benefits of the Program in terms of access to vocational education and training for skills development and employment
- Explaining of eligibility criteria – age, educational qualification etc. – for admission based on policies of the Government of India and State Governments such as Reservation of seats, financial assistance for those who belong to weaker sections;
- Selection of 5 existing Technology Centres on the basis of purposive random sampling method such as the one located in urban area, rural area, tribal area, industrialized area etc;
- Review of patterns of admission in these Centers in the context of national and State policies for reservations and admission and use the findings to complement findings of FGDs and other processes mentioned here and
- Finalization of GESIP with support/facilitation of private sector firms in the value chains, NGOs and CSO

The Methodology

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

The GESIP

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

Contents of GESIP

The Technology Centre specific GESIP will have the following contents:

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

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

A. Annex GESIP1A: Part 1**Gender Equality and Social Inclusion Datasheet****Part 1: Trainees/Students**

Name of the Technology Centre: _____

Name of the Cluster: _____

Address of the Centre: _____

A. Current Data on Applications and Admissions for Long term Courses (Female)

Sl.no	Name of course	Applicants					Number of Applicants Admitted.				
		SC	ST	OBC	DA	Others	SC	ST	OBC	DA	Others

B. Current Data on Applications and Admissions for Long term Courses (Male)

Sl.no	Name of course	Applicants					Number of Applicants Admitted				
		SC	ST	OBC	DA	Others	SC	ST	OBC	DA	Others

Notes

1. The long term courses are having fixed number of seats, which are governed by AICTE or NCVT or State Council of Technical Education. The criteria for selection/reservation is based on the guidelines of the above mentioned institutions.(Give full names of AICTE and NCVT)
2. Candidates are admitted in the short term courses on the basis of first come first serve as they are designed and executed by the TC itself. In most cases the TCs have sufficient capacity and therefore they have a flexible admission procedure to allow for more students.

However, all women, SC/ST and differently abled candidates are assured of admission in these short term courses.

3. SC (Scheduled Caste), ST (Scheduled Tribe), OBC (Other backward Castes), DA (Differently Abled)

C. Current Data on Dropouts (Female)

Categories	Name of Course	Dropouts	Reasons for Dropout	Total
Scheduled Caste				
Scheduled Tribe				
Other Backward Castes				
Differently Abled				
Others				

D. Current Data on Dropouts (Male)

Categories	Name of Course	Dropouts	Reasons for Dropout	Total
Scheduled Caste				
Scheduled Tribe				
Other Backward Castes				
Differently Abled				
Others				

E. Attach an analytical note on the reasons for drop out of trainees/students for each of the social groups mentioned above.

F. Current Data on Placements (Female)

Categories	Name of Long term Course	Placements	Total
Scheduled Caste			
Scheduled Tribe			
Other Backward Castes			
Differently Abled			
Others			

G. Current Data on Placements (Male)

Categories	Name of Long Term Course	Placements	Total
Scheduled Caste			
Scheduled Tribe			
Other Backward Castes			
Differently Abled			
Others			

H. Current Data on Self Employment (Female)

Categories	Name of Course	Self Employed	Total
Scheduled Caste			
Scheduled Tribe			
Other Backward Castes			
Differently Abled			
Others			

I. Current Data on Self Employment (Male)

Categories	Name of Course	Self Employed	Total
Scheduled Caste			
Scheduled Tribe			
Other Backward Castes			
Differently Abled			
Others			

J.Attach a separate analytical note for Placement and Self-employment for the above mentioned social group of students/trainees.

(Note: The number of “rows” for the above Tables need to be increased/adjusted in accordance with the number of trainees in each Course at the Technology Centre.)

Signed: _____

Name: _____

Designation: _____

Date: _____

Place: _____

B. Annex GESIP1B: Part-2

Gender Equality and Social Inclusion Datasheet

Part 2: Administrative and Academic Staff

Name of the Technology Centre _____

Name of Technology Cluster: _____

Address of the Technology Centre: _____

Administrative Staff

Academic Staff

Total Number of Administrative Staff:

Summary of Administrative Staff

TOTAL									

Summary of Academic Staff

S. No	Name of Staff	Designation	Female	Male	SC	ST	Differently abled	Others
TOTAL								

(The “rows” in above Tables needs to be adjusted in accordance with the number of
Administrative and Academic Staff)

Signed: _____

Name: _____

Designation: _____

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Place: _____

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