Integrated Safeguards Data Sheet (Updated)

Date ISDS Prepared/Updated: 05/30/2002

Section I - Basic Information

A. Basic Project Data

<table>
<thead>
<tr>
<th>Country: INDIA</th>
<th>Project ID: P050668</th>
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<tr>
<td>Project: Mumbai Urban Transport Project</td>
<td>Task Team Leader: A.K. Swaminathan</td>
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<tr>
<td>Authorized to Appraise Date: March 1, 2002</td>
<td>IBRD Amount ($m): 463.00</td>
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<td>Bank Approval: June 18, 2002</td>
<td>IDA Amount ($m): 79.00</td>
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<td>Managing Unit: SASEI</td>
<td>Sector: TU - Urban Transport</td>
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<td>Lending Instrument: Specific Investment Loan (SIL)</td>
<td>Theme: TRANSPORT</td>
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I.A.2. Project Objectives:
To facilitate urban economic growth and improve quality of life by fostering the development of an efficient and sustainable urban transport system (including effective institutions) to meet the needs of the users in the Mumbai Metropolitan Region (MMR).

I.A.3. Project Description:
The main components of the project along with their costs are listed below.

1) Rail Transport Component (US$654.27/Bank Financing US$304.90): The component aims to improve the capacity and performance of the suburban rail system through service efficiency improvements, (increasing existing track capacity, DC to AC conversion, improving signaling, electrical and telecommunication systems), procurement of new rolling stock and upgrading of existing rolling stock, and expanding network capacity. The component would also support studies and technical assistance, amongst other things, to improve the maintenance capabilities of Indian Railways for their railway tracks and rolling stock, the financial management and control systems, the railway safety and Quality Assurance systems.

2) Road-based Transport Component (US$183.02/Bank Financing US$150.47): This component will support increases in the capacity, efficiency and safety of the road network, better facilities for pedestrians, improvements to the operating efficiency and quality of bus services, and reductions in motor vehicle emission levels. It will also strengthen the capacity of the responsible agencies to plan, deliver, maintain and operate efficiently road based urban transport infrastructure and services. Subcomponents will:

   (a) support traffic management programs including Area Traffic Control (ATC) to optimize the functioning of traffic signals, pedestrian facilities, Station Area Traffic Improvement
Schemes (SATIS) and parking control;

(b) increase the road network functionality by improving two east-west link roads and eliminating the main road level crossings across railway tracks;

(c) improve the bus system through support of organizational reforms, efficiency measures and procurement of environment and user friendly buses; and

(d) strengthen the capacity of transport agencies in Mumbai in road in traffic management, road maintenance, road safety, and communication, and air quality monitoring as well as providing TA for updating of the CTS, review of User Charges, and developing a Motor Vehicle Emission Control Strategy (MVECS).

3) Resettlement and Rehabilitation Component (US$100.08/Bank Financing US$79.00): This component will enable GoM to undertake the timely implementation of the Resettlement Action Plan (RAP) and resettle those affected by investments under the rail and road based transport components. It will also provide assistance to those displaced to improve their overall living standards. This component is to be financed through IDA funding. This component will provide for the procurement of about 19,200 housing units to resettle project affected households. In response to the Bombay High Court Order to relocate encroachers on the Harbor Line by March 2001, actions were taken under agreed procedures, with the expectation by GoM of retroactive financing from the Bank. Already built houses were purchased to permanently resettle 3,935 project affected households. In addition some 6,000 transit houses were built as an interim measure to provide transit accommodation for around three years. Further, 107 petty shopkeepers were also offered alternative shops in the new sites to re-establish their lost shops.

The other expenses under this component include the acquisition of a limited amount of land for civil works, reconstruction of some of the basic civic amenities for the left over population and payment of compensation for increased distance to work place and permanent loss of livelihood opportunities. The technical assistance under this component includes consultancies for baseline surveys, preparation of Resettlement Implementation Plans (RIP), supervision consultants, NGO support for implementation, and training of project staff/NGOs involved with the implementation.

I.A.4. Project Location: (Geographic location, information about the key environmental and social characteristics of the area and population likely to be affected, and proximity to any protected areas, or sites or critical natural habitats, or any other culturally or socially sensitive areas.)

Mumbai Metropolitan Region (MMR) spreads over an area of 4,167 sq.kms. Mumbai is the largest city in India with a population of more than 14 millions with contradictions of extravagant homes and poor slums. The nature of the city's geography, essentially peninsular and the existing development of the older part of the city on southern tip of the peninsula has led to the encouragement of new and diversified centers such as Bandra-Kurla and New Mumbai. More than 50 percent of the city's population are staying in slums because of non-availability or unaffordability of housing. It is also the financial capital of India and a large share of major economic activities of India are concentrated here. The MMR generates about five percent of the national gross domestic product and consists of over one-third of the country's tax revenues. It is the most attractive center for foreign investment in India.

MMR is in the North Konkan region, which lies between 18o33' and 19o31' north latitude and between 72o45' and 73o28' east longitude. The region consists of mainland of North Konkan and two large insular masses of Salsette -Trombay and Mumbai separated by shallow creeks and tidal marshes. It has
a mean elevation of 11 meters above sea level and experiences a tropical savanna climate with monthly
humidity ranging between 57-87 percent. The annual average temperature is 25.3°C rising to a
maximum of 34.5°C in June and a minimum of 14.3°C in January.

With changing economic structure (declining manufacturing activities) and increasing number of
motorized vehicles, the transport sector has emerged as a key contributor to air pollution. Suspended
Particulate Matter has been identified as the worst pollutant, violating the national standards at almost all
locations in the city. The dispersion of air pollution emissions in the region is influenced by wind
conditions (direction and speed), mixing heights, stability of atmosphere, collectively termed as the
Meteorology of Mumbai's airshed. Increasing population and traffic densities have also led to increased
levels of noise. Noise due to traffic is found to be the predominant source of irritation. Measurements
made near most traffic corridor show levels above the national standards.

The environmentally sensitive locations in Greater Mumbai are mainly the coastal stretches, some of
which have mangroves, and the Sanjay Gandhi National Park, having dense forests. Mumbai's coastline
exhibits beautiful natural mangrove vegetation. The Coastal Regulation Zone Notification (1991) of the
Government of India, also provides for the protection of mangroves. The state also has its own Coastal
Zone Management Plan (CZMP).

The project would displace about 19,200 households. Except for a small number (about 200
householders), they are all slum dwellers and squatters living in poor and unhealthy housing conditions
and lack basic amenities. The housing conditions of the affect population are of poor quality with more
than 75 percent living in houses less than 20 sq. meters with poor quality of roof and walls. Most depend
on stand posts for drinking water, use community toilets, lack storm water drains and solid waste disposal
facilities reflecting the poor and unhygienic living conditions.

The socio-economic characteristics of the affected population indicate that more than two-thirds are
Hindus and speak different languages like Marathi Gujarati, Hindi, Telugu, Tamil, etc., reflecting the
cosmopolitan nature of the population. The average size of a household is 4.47, and average number of
earning members per household is reported to be 1.46. Only about one percent of the total affected
households are tribal who do not exhibit the indigenous characteristics as defined in the Bank's OD 4.20
on "Indigenous People". About half of the workers have regular income who are working with
government and private establishments, while another 30 percent engage in petty business and self
employed occupations having steady income and the rest (about one-fifth) work as casual laborers with
uncertain earnings. The average monthly household income is Rs. 2978 (US$62) with 40 percent of the
affected households living below poverty line with monthly income of less than Rs. 2,500.

The main investment project will require only 59 hectares of land and another 40 hectares will be
required for resettlement sites. The risks associated with land acquisition are minimized by acquiring
most of the lands through a market-oriented mechanism of Transfer of Development Rights in lieu of
monetary compensation. Under this process the landowner whose land is designated for public purpose in
the Development Plan can surrender the ownership of the land to the public authority without loosing the
development rights. The landowner can use these rights elsewhere or can sell the rights in the market.

B. Check Environmental Classification: A (Full Assessment)

Comments:

C. Safeguard Policies Triggered

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<th>Policy</th>
<th>Applicability</th>
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<td>Involuntary Resettlement (OP/BP 4.12)</td>
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<td>Indigenous Peoples (OD 4.20)</td>
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<td>Cultural Property (OP 4.11)</td>
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<td>Projects in Disputed Territories (OP/BP/GP 7.60)*</td>
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<td>Projects in International Waterways (OP/BP/GP 7.50)</td>
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*By supporting the proposed project, the Bank does not intend to prejudice the final determination of the parties' claims on the disputed areas.

Section II - Key Safeguard Issues and Their Management

D. Summary of Key Safeguard Issues. Please fill in all relevant questions. If information is not available, describe steps to be taken to obtain necessary data.

II.D.1a. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts.

**Involuntary Resettlement (OP 4.12):** The project involves large scale displacement of population of more than 77,000 (19,200 households) which is unprecedented in the context of urban situation in India. The World Bank Policy on Involuntary Resettlement is therefore applicable to the project. In compliance with this policy a Resettlement and Rehabilitation (R & R) Policy has been prepared and adopted by the Government of Maharashtra (GoM) for the project and a Resettlement Action Plan (RAP). Sub-project specific Resettlement Implementation Plans (RIP) have been prepared for sub-projects to be implemented in the first year. RIP for sub-projects in later years will be prepared prior to their implementation. The project is therefore in compliance with the policy. The R & R policy and the institutional framework for the project has been developed to ensure an equitable resettlement of the affected population. Through this process the potential adverse impacts could turn into positive social impact by way of security of title to housing and business units, higher standards of housing with improved access to basic amenities, cleaner and wholesome living environment, access to credit thorough community revolving fund and increased empowerment and collective action to access to the municipal and state services.

Wherever possible the project had explored alternative viable options to avoid or minimize the adverse impacts of resettlement and other project related activities. For instance the changed alignment as result of baseline surveys for a Road over Bridge (ROB) at Jogeshwari had avoided the impacts to an industrial estate. Similarly, the consultations with the potential PAPs had resulted in modifying the alignment for another ROB at Vikroli which reduced the displacement of shopkeepers from 173 to about 20 and preserved the location of a temple.

**Environmental Assessment (OP 4.01):** The project has been classified as category "A" project, largely on the basis of the large number of people requiring resettlement and rehabilitation. Because of the large-scale resettlement and the triggering of more than one safeguard policy the project has been given a safeguard classification of "S1". A consolidated EA including a Sectoral Environmental Assessment (SEA) and sub-project specific EAs and EMPs have been prepared in compliance with this policy.

Wherever adverse impacts are unavoidable and likely to be permanent, effort is being made to mitigate and minimize their impacts. For example, emphasis is being given to noise barriers in the case of sub-projects that are close to sensitive areas such as schools, so that noise pollution is mitigated.
Similarly, the likely deterioration in air quality in the long-term is being addressed by preparation of a Particulate Matter Reduction Action Plan for Mumbai, which will suggest measures to be taken by different agencies to arrest the worsening in particulate matter air pollution. The severance of communities living on either side of a major road was highlighted as an important issue at the public consultation on the environmental assessment, both in terms of social fragmentation as well as safety of pedestrians. This feedback has been taken into consideration in the design of investment components wherever possible, with provision of footpaths and other pedestrians facilities (like subways or overbridges).

Given the urban context, in all sub-projects emphasis has been placed on good construction management practices, reporting, and strict supervision, in order to ensure that the resulting environmental impacts are minimized. Even though there are many similarities across sub-projects, individual Environmental Management Plans (EMPs) have been prepared to mitigate subproject-specific environmental impacts. Given the large scale resettlement of slum dwellers into built-up housing, Community Environmental Management Plans (CEMPs) have been prepared for all resettlement sites in a participatory manner to assist the communities to adjust to their surrounding without adversely impacting the environment and mitigating risks of health impacts.

Natural Habitats (OP4.04): Mumbai’s notable natural habitat is limited to the 103 sq. km. National Park at Borivili, which is located in the northern part of the peninsula between the two rail corridors and the coastal wetlands in the eastern and western suburbs. The National Park is protected under the Indian Forest Act whereas the coastal wetlands are protected by the Coastal Regulation Zone (CRZ) Notification of February 1991. Short sections of two sub-projects pass through these wetland areas. A short section of the Bhayendar-Virar Railway line crosses the Vasai Creek and the adjoining highly degraded wetlands. The area of the wetland directly affected is less than 5000 sq.m. out of a total extent of wetland of 48 sq.km. Bridges traversing the CRZ are not prohibited but require environmental clearance under the CRZ notification. MoEF has already been approached for the approval under the CRZ Notification. A 100 m section of the Jogeshwari-Vikroli Link Road (JVLR) also impacts some 1000 sq. m. of degraded mangroves. The policy on Natural Habitats is therefore applicable. Audits have been taken and restoration and rehabilitation plans drawn up, implementation of which is covenanted in the project agreements.

Efforts to provide immediate temporary transit accommodation for squatters, in response to a court order with stringent implementation schedule, resulted in an inadvertent breach of the CRZ notification at the transit sites of Mankund, and Turbhe Mandale. GoM has now undertaken to move all squatters currently housed in this transit accommodation to their permanent accommodation on a priority basis by no later than end 2003. Environmental audit of these transit camps has also been carried out, and restoration plans to restore the land under CRZ to its original status after the dismantling of transit houses, have been prepared.

Cultural Property (OP 4.11): Mumbai with its history of nearly three hundred years is rich in cultural property particularly in the form of built heritage. GoM and MCGM are acutely aware of the need to conserve such heritage. GoM in 1995 with the involvement of NGOs listed over 600 buildings and precincts as of heritage significance. Development Control Rules 1967 govern the development of these listed buildings and precincts. GoM has also constituted a Heritage Conservation Committee in 1995 to advise the Municipal Commissioner regarding development permission to be granted in case of listed buildings and precincts. No development permission can be granted of the listed buildings or within the precincts without the consent of the Heritage Committee.
None of the MUTP sub-projects, except the pedestrian subways, directly or indirectly affect the heritage buildings. Some of the pedestrian facilities in the Island City notably one near the CST would be located in the heritage precinct. The design consultants have been advised to take cognizance of this fact. In any case the proposals will be subject to the review of the Heritage Conservation Committee.

During the execution of works if a "chance find" of archaeological significance occurs the contract requires the contractor to immediately inform the employer and stop further work. Employer will in turn inform the state Archaeology Department for further investigation.

In addition to the listed buildings there are smaller common cultural properties like shrines, small temples or mosques within the project-affected communities. Thus this policy applies to the project. These have been identified during the BSES and the RIPs cover their resettlement. For example, in case of JVLR Phase I, there are nine small temples which will be relocated according to the RIP prepared in consultation with the PAHs.

**Indigenous Peoples (OD 4.20):** About one percent of the PAHs belong to the Scheduled Tribes. A field-based review was undertaken to determine if these PAHs were subject to application of this Policy, since they might have originally belonged to tribal communities in the distant past, as of now they are integrated with the city life and do not have their traditional habitat or follow traditional ways of life. More particularly: (a) they no longer have close attachment to ancestral territories; (b) they do not identify themselves or are identified by others as distinct cultural group; (c) they do not speak an indigenous language; and (d) they no longer belong to customary social and political institutions. There is also a general reluctance to reveal the caste or tribe particularly pronounced when data is to be kept in public domain. It was determined by the review that the social impact of the project on such people is therefore similar to that on other PAPs, and thus the policy does not apply. A separate Indigenous Peoples Development Plan (IPDP) has therefore not been prepared.

II.D.1b. Describe any potential cumulative impacts due to application of more than one safeguard policy or due to multiple project component.

The main potential cumulative impact issues relate to combinations of safeguard policies such as Involuntary Resettlement and Environmental Assessment, being triggered in the case of the resettlement sites. In case of the transit housing both policies are likely to be triggered. Further, these is also the violation of CRZ notification of the GoI. While Restoration Plans are being made for the sites after dismantling of the transit housing, the residual environmental impacts will also depend on how the cumulative impacts are presently managed. Community Environmental Management Plans to address the impacts while these sites are in operation have been prepared with community participation. While the overall coordination and supervision responsibility for all these aspects rests with MMRDA, the implantation support and management consultants as well as the communities themselves will have a role to play in addressing the cumulative impacts.

The shifting of squatters (more than 10,000 households) along the safety zone of railway tracks had a significant impact in the form of increased speed and frequency of local trains in Mumbai, which in turn is improving the overall efficiency of the suburban train system in Mumbai besides reducing the number of accidents and improving safety.

II.D.1c Describe any potential long term impacts due to anticipated future activities in the project area.

The long term impacts associated with resettlement will translate into positive impacts in the form of secured housing with improved basic amenities and permanent places for reestablishing the petty business units and thus improve the overall living standards. One of the long term impact on displaced
persons could be increased expenditures on recurring expenses of maintenance cost of the housing societies.

The potential long-term environmental impacts could be further congestion and deterioration in local air quality because of increase in volume of traffic, despite demand management particularly in the Island City. Carbon dioxide emissions can be expected to increase with the forecast increase in travel demand, even with the PT+DM (public transport and demand management) policy adopted. Other long term impacts relate to possible change in land-use as an indirect impact of better access to areas which till recently were not as easily accessible.

II.D.2. In light of 1, describe the proposed treatment of alternatives (if required)

The GoM formulated a Comprehensive Transport Strategy (CTS) in 1994. The methodology for formulating the CTS included prediction of travel demand up to 2011 based on inputs on population, employment, vehicle ownership, travel behavior, and other socio-economic parameters. Alternative strategies to meet the predicted travel demand in 2011 were then evaluated based on economic and financial analysis, as well as environmental and social impacts. The preferred alternative was then translated into a medium terms investment plan.

In order to meet the projected travel demand the CTS Study identified the four strategic options, as follows: (a) Do Minimum: This option contained all the committed railway and road projects as envisaged in 1993; (b) Public Transport: In addition to all the committed projects of 'Do Minimum' option, this option contained many railway projects to increase the capacity of rail transport; (c) Public Transport with Demand Management: The option contained all the projects of 'Public Transport' option and demand management measures; (d) Road Investment: In this option, the emphasis was laid on road projects, which are expected to encourage private vehicle trips. The option also included all the committed projects in the "Do Minimum" option. The CTS Study evaluated these options on the basis of economic analysis, financial sustainability, environmental and social (resettlement) impacts and recommended Pubic Transport + Demand Management in the Island City as the most preferred strategic option. However, the CTS Study included environmental assessment of strategic options in a very limited manner. It was therefore necessary to undertake detailed environmental assessment (EA) at the sector as well as project level according to the OP 4.01 of the World Bank. MMRDA undertook and completed such an exercise for the first time in 1998, which has been updated as a Consolidated EA in 2001.

The detailed analysis of alternatives of the four alternatives at the sectoral level was carried out as part of a Sectoral Level EA for the four strategic transport options for MMR. For the purpose of the analysis, MMR was divided into four sub-regions--Island City, Western Suburbs, Eastern Suburbs and the Rest of MMR--to assess environmental impacts of transport options with respect to each sub region. Environmental impacts were assessed with respect to four key environmental parameter: Air quality, Noise, Ecology, and Social impacts. In addition Transport Service Indicators, such as efficiency and overcrowding, were also used in the EA. In line with the results of the CTS, this also resulted in identifying Public Transport + Demand Management as the preferred option for the island city. The process of updating the Environmental Assessment in 2001 undertook a qualitative impact evaluation of the developments that have taken place with respect to development of transport infrastructure since the sectoral level EA was done in 1998. It has been concluded in that Consolidated EA (2002) that Public Transport + Demand Management is still the preferred option for the Island City.

Nearly all the rail and road investment subprojects in MUTP involve work on existing alignments. To that extent the broad Right of Way for the subprojects is already defined. However, minimizing the environmental and R&R impacts has still been a major factor in determining the details of the alignments
considered. As mentioned earlier the changed alignment as result of baseline surveys for a Road over Bridge (ROB) at Jogeshwari has avoided the impact to an industrial estate. Similarly, the consultations with the potential PAPs had resulted in modifying the alignment for another ROB at Vikroli which reduced the displacement of shopkeepers from 173 to about 20, and preserved the location of a temple.

For speedy resettlement of displaced families, the GoM had adopted three alternative approaches. These include, (a) construction of tenements for relocation of affected people on the land available with government or procured through transfer of development rights (TDR) (Option A); (b) Procuring land and tenements by inviting competitive bids from the developers/owners against TDR (Option B); and; (c) Purchase of ready-built tenements from Maharashtra Housing and Area Development Authority (Option C).

In addition to the above options, a two stage resettlement is also followed to respond to the High court’s order for early shifting of people along the safety zone of railway tracks. Under this approach, the people along the safety zone have first shifted to the temporary houses with minimum basic amenities and within three year period they will shifted to the permanent houses. The resettlement sites have been chosen in such a way that it causes minimum disruption to the existing life and livelihood to the affected households. Given that paucity of land in Mumbai, the alternatives in terms of available sites were rather limited. In order to reduce the burden of recurring maintenance costs, the construction of tenements through TDR approach require the deposit of Rs. 20,000 per house towards societies corpus which well-being down the maintenance liabilities to the PAPs to a certain extent.

II.D.3. Describe arrangement for the borrower to address safeguard issues
A Project Management Unit (PMU) has been established in MMRDA, to handle the preparation and implementation of all activities, including the safeguards aspects. The PMU is headed by a Project Director with the rank of Secretary drawn from the Indian Administrative Service cadre and reports to the Commissioner, MMRDA. The Project Director has full financial, administrative and technical powers delegated to him from GOM and other implementing agencies for implementation of the R&R components. The PMU will, in turn, work closely with the Project Implementing Agencies (MRVC, MCGM, MSRDC, BEST, etc). The Project Director is being assisted by a team of Joint Project Directors responsible for: (a) Housing and Procurement; (b) Finance; (c) Social Development/Land Acquisition; (d) Environment, and (e) Public Information and Consultations. While the Joint Director for Social Development/Land Acquisition is responsible for safeguard issues related to the R&R component of the project, his/her counterpart on the Environmental side is responsible for the safeguard issues related to the environmental impacts of the project (including the environmental impacts of the R&R). The overall responsibility for safeguards lies with the Project Director.

In addition to the above arrangements, an Independent Monitoring Panel (IMP) is in place headed by a former Chief Secretary and consisting of members from the field of legal, environment and NGO sector to ensure the policies related to environment and resettlement are followed and monitor the implementation progress. The IMP would operate and interact at the level of steering committee headed by the Chief Secretary and will be funded from the resettlement budget of the project.

The active involvement of NGOs during the preparation of policy and RAP/RIP and implementation is another noteworthy feature of the project. The NGOs who are involved have experience in relocation and community development in the preparation and implementation of resettlement action and implementation plans. This has considerably helped quicker social mobilization, reduced the risk of delays in resettlement and to ensure the timely implementation of resettlement actions.

In order to address the environmental impacts of the project, environmental assessments (EA) of its
various components have been undertaken. In addition to the sectoral level EA (SLEA) mentioned earlier, the process included the preparation of Subproject-specific EA reports by way of Programmatic level Environmental Assessment (PLEA) and Micro-level Environmental Assessment (MLEA). While SLEA was a strategic document, PLEAs were prepared for small generic sub-projects like ROBs, and MLEAs were prepared for larger sub-projects like road widening and extension. The study was undertaken between June 1995 and May 1997. The study resulted in several outputs including a final report in 1998.

Since 1998 a number of developments necessitated a review of the environmental assessments. These included: (i) change in the design of the proposed project; (ii) change in the traffic and environmental baseline in Mumbai; and (iii) comments by NGOs and civil society on the validity of the assessments given (i) and (ii).

As a result, the following approach was adopted in terms of further consolidating the environmental assessment work and risk mitigation: (a) updating of all PLEAs and MLEAs and preparation of MLEAs for all sub-components; (b) preparation of fresh EMPs for all sub-components earlier covered by PLEA; (c) EMPs for all sub-components to be implemented in the first year of the project to be made available before project appraisal; (d) the preparation of a Consolidated EA that takes into account the changed baseline since 1998 and presents a comprehensive overview of all environmental aspects of the project in one document; and (e) public consultations following the disclosure of the draft Consolidated EA report, findings of which were incorporated in the final Consolidated EA report. Given that a number of sub-components of MUTP are already under implementation, it was ensured that environmental audits were undertaken, and wherever necessary "retrofit" environmental management plans prepared.

The monitoring and reporting mechanism to ensure implementation of EMPs has been agreed with the concerned institutions. Reporting formats and frequency have been agreed. Information is expected to flow monthly from the contractor to the Project Management Consultants (PMC) appointed by MMRDA; from the PMC to the Project Implementing Agency (PIA) such as MSRDC; and from the PIA to MMRDA. The MMRDA is expected to report to the World Bank on a quarterly basis. The Inspection Panel is envisaged as having access to all information as and when needed. MMRDA is to recruit Environmental Management and Capacity Building consultants to assist with monitoring and supervision of the project, and capacity building of MMRDA as well as all other implementing agencies.

In order to respond to the large scale resettlement, GoM had adopted a resettlement policy which includes an entitlement matrix, grievance redressal and implementation procedures. This policy is consistent with the Bank's policy and it was endorsed by the Bank prior to the approval of the government. For the implementation of R&R programs the PMU staff are working in partnership with NGOs and National Slum Dwellers Federation (NSDF) and will be supplemented by management consultants. In the process of relocating about 4,000 affected families to the permanent houses and another 6,000 to the transit houses so far, the PMU has demonstrated its capacity to handle the R&R program for this project.

A Resettlement Action Plan (RAP) describing the overall magnitude of land acquisition and displacement, resettlement policy, institutional framework, baseline socioeconomic characteristics, broad time table, costs and budgets, has been prepared. Following this, Resettlement Implementation plans (RIPs) for each of the sub-projects will be prepared. Four such RIPs for those projects to be implemented in the first year of the project have been prepared describing the details of impacts, payment of compensation, deliver of entitlements, designs of proposed tenements, and site related improvements, time-table, costs and implementation arrangements.
The implementation of resettlement action plans have already commenced and so far 3,935 families (20 percent) have been relocated in 48 buildings in four different locations with an independent flat of 225 sq. ft. In addition, 107 families were also allotted alternative shops enabling them to re-establish their lost petty business units. Another 6,125 families (32 percent) were shifted to the transit housing who will eventually be shifted to permanent houses within three years. Thus, all those residing along the safety zone of railway tracks were shifted away. This has a significant effect in improving the operational efficiency of running the local trains in terms of speed and frequency. As a result of this resettlement, the High Court had vacated the Public Interest Litigation (PIL) petition filed in August, 1998 on the safety of the passengers and removal of encroachers along the railway tracks.

A rapid impact assessment of initial resettlement by the Bank through independent consultants had revealed that all eligible affected persons were provided with alternative houses and shops and none of allottees have either sold out or rented out the houses indicating the initial success of resettlement. The client has initiated the full length impact assessment of resettlement implementation till date. The findings of these studies will be used to undertake any remedial measures that may be required to address any outstanding issues or difficulties experienced by the affected people in the resettlement process. The findings will provide valuable inputs for the remaining implementation of resettlement.

II.D.4. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

Public consultation has been an important input into the process of planning and designing of MUTP so far. The affected communities have been involved at every stage of the project preparation and implementation. Continuous involvement of NGOs, consultative committees of different sections of the society, and recently the independent monitoring panel are important part of managing safeguard issues in a consultative manner. The consultation process began by carrying out a survey of Public Attitude during the formulation of Comprehensive Transport Strategy (CTS) in 1994. The draft CTS proposals were also presented to various PIAAs, Government agencies and NGOs. They generally endorsed the strategy of Public Transport + Demand Management recommended by the CTS.

To begin with the R&R policy preparation, a committee consisting of members from government, private sector, NGOs and civil society was formed. The NGOs and NSDF were closely associated with carrying out baseline surveys and preparation of implementation plans. MMRDA has also established a Public Information Centre (PIC) at MMRDA and field centers have also been opened in the areas of resettlement sites. All documents such as RAP, baseline surveys, list of affected persons, Resettlement policy, brochure of slated features of the project, Environmental Management Plans etc., are placed in the PIC for the benefit of affected persons and general public. The executive summary is of the RAP and Consolidated EA is also available in a local language. MMRDA also put up the executive summary of the RAP and Consolidated EA on their web site.

With regards to the environmental assessment, a number of consultative meetings have been held, with the first one being held in June 1997. The participants included the representatives of the government departments, local authorities, project implementation agencies and the consultants in the transport and environment field. With the passage of time and substantial developments like construction of flyovers that had occurred, the process of updating the EA was started in late 2000. A consultation meeting involving academia, environmental experts, consultants, NGOs and representatives of PIAAs and the World Bank was organized in November 2000 for presentation of the updated EA. A second similar meeting was organized in December 2000. After the preparation of the Consolidated EA a set of two final public consultation meetings were organized in November 2001. Most of these consultations were very well attended, and in addition to providing useful feedback on the project, also highlighted the
public support for the project.

In addition to the continuous informal consultation process during the preparation of CEMPs and RIPs for the R&R sites, the first formal consultation meeting with project affected persons was organized in December 2000. A second and final meeting with a similar group was in November 2001.

For the final consultation meetings on the environmental assessment in November 2001, it was ensured that all the leading newspapers carried advertisements well in advance of the meeting, posters and pamphlets were distributed amongst the project affected persons, the relevant documents were made available to through the PIC well in advance of the meeting, and invitations were issued to the members of the media and press. This strategy of disclosure was found to work well with the general public as well as project affected persons.

E. Safeguards Classification. Category is determined by the highest impact in any policy. Or on basis of cumulative impacts from multiple safeguards. Whenever an individual safeguard policy is triggered the provisions of that policy apply.

[X] S1. – Significant, cumulative and/or irreversible impacts; or significant technical and institutional risks in management of one or more safeguard areas

[ ] S2. – One or more safeguard policies are triggered, but effects are limited in their impact and are technically and institutionally manageable

[ ] S3. – No safeguard issues

[ ] SF. – Financial intermediary projects, social development funds, community driven development or similar projects which require a safeguard framework or programmatic approach to address safeguard issues.

F. Disclosure Requirements

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<tr>
<th>Environmental Assessment/Analysis/Management Plan:</th>
<th>Expected</th>
<th>Actual</th>
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<tr>
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<td>11/9/2001</td>
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<td>Date of submission to InfoShop</td>
<td>12/10/2001</td>
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<tr>
<td>Date of distributing the Exec. Summary of the EA to the ED</td>
<td>1/3/2002</td>
<td>3/5/2002</td>
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<td><em>For category A projects</em></td>
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<th>Dam Safety Management Plan:</th>
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Date of “in-country” disclosure
Date of submission to InfoShop

If in-country disclosure of any of the above documents is not expected, please explain why.

Signed and submitted by: Name Date
Task Team Leader: A.K. Swaminathan
Project Safeguards Specialists 1: I. U. B. Reddy/Person/World Bank
Project Safeguards Specialists 2: Sameer Akbar/Person/World Bank 05/30/2002
Project Safeguards Specialists 3:

Approved by: Name Date
Regional Safeguards Coordinator: L. Panneer Selvam 05/30/2002
Sector Manager/Director: Vincent J. Gourne 05/30/2002

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