

SOCIAL SAFEGUARDS FRAMEWORK

Project Name: Uttar Pradesh Agriculture Growth and Rural Enterprise Eco-system Strengthening Project (UPAGREES)

Implementing Agency: Department of Coordination, UPDASP, Government of Uttar Pradesh

Applicable Standards: Government of India guidelines; World Bank Environmental and Social Framework (ESF)

1. Objective

The Social Safeguards Framework (SSF) for UPAGREES aims to ensure that project interventions promote inclusive, equitable, and environmentally sustainable agricultural growth, while avoiding, minimizing, or mitigating adverse social and environmental impacts during planning, implementation, and operation of project activities.

2. Scope and Applicability

The framework applies to all UPAGREES-supported activities, including farmer aggregation, FPO/SHG strengthening, Agri-enterprises, value chain infrastructure, climate-resilient agriculture interventions, and allied sector enterprises (agriculture, horticulture, fisheries, livestock).

3. Social Safeguards principles

- **Equity and Inclusion:** Priority inclusion of women farmers, small and marginal farmers, SC/ST households, tenant farmers, landless workers, persons with disabilities, and other vulnerable groups.
- **Gender Mainstreaming:** Equal access for women to project benefits, assets, training, leadership roles, and finance; gender-disaggregated monitoring indicators.
- **Land and Livelihood Protection:** No involuntary land acquisition; only voluntary land donation with informed written consent; avoidance of impacts on common property resources.
- **Labor and Working Conditions:** Prohibition of child and forced labour; adherence to fair wages, occupational health and safety standards, and safe working conditions.
- **Community Health and Safety:** Measures to mitigate risks related to agro-chemicals, construction activities, climate stress, and gender-based violence (GBV/SEA/SH).
- **Stakeholder Engagement and GRM:** Regular consultations with communities and a multi-tier, time-bound Grievance Redress Mechanism accessible to all stakeholders.

5. Institutional Arrangements and Capacity Building

Dedicated Environmental and Social Specialists at the State level (PMU) and Safeguards Focal Points at the District level (DPIU) will oversee implementation. Capacity building, training, and IEC activities will be undertaken for the project staff, FPGs/FPOs, WPGs, and community institutions.

6. Monitoring, Reporting, and Disclosure

Social and environmental indicators will be integrated into the UPAGREES MIS. Periodic reporting, third-party audits, and social audits will ensure compliance. Safeguards documents and **citizen entitlements will be publicly disclosed in accordance with transparency norms.**

Outcome:

The Safeguards Framework ensures that UPAGREES delivers inclusive agricultural growth, enhanced rural livelihoods, gender equity, and climate-resilient development while maintaining high standards of social and environmental responsibility.

A- BROAD SOCIAL SAFEGUARDS PARAMETERS TO BE MONITORED DURING PROJECT IMPLEMENTATION

1. Gender Equity & Women's Empowerment

- Mandatory inclusion of women farmers, women-headed households, SHGs, and women-led FPOs
- Equal access to project benefits, assets, training, finance, and market linkages
- Women-friendly scheduling, childcare-sensitive meeting times, and safe mobility
- Leadership roles for women in FPO/cluster governance
- Gender-disaggregated indicators in MIS

Key Risks to be mitigated: Exclusion, elite capture, unpaid labour burden

2. Social Inclusion (Vulnerable & Marginal Groups)

- Inclusion of:
 - Small & marginal farmers
 - SC/ST households
 - Landless agricultural labourers
 - Tenant farmers, sharecroppers
 - Persons with disabilities
 - Migrant households
- Pro-poor targeting and transparent beneficiary selection process
- Differential support packages where needed

Key Risks to be mitigated: Marginalization, inequitable benefit sharing

3. Land & Resource Use Safeguards

- Only public/government land is allowed for use in the project
- No involuntary land acquisition
- Voluntary land donation only with written consent
- In case of livelihood loss or resettlement issue, R&R Act 2013 is applicable
- Avoidance of common property resources critical to communities
- Clear land tenure verification for infrastructure/assets

Key Risks to be mitigated: Displacement, livelihood loss, disputes

4. Labor & Working Conditions

- Prohibition of:
 - Child labour
 - Forced labour
- Safe and fair working conditions in:
 - Agri-enterprises
 - Processing units
 - Warehouses
- Equal wages for women and men
- Occupational health & safety (OHS) measures
- Labour Management Guideline and OHS Guideline will be applicable

Key Risks to be mitigated: Exploitation, unsafe work environments

5. Community Health, Safety & Well-Being

- Safe use, storage, and disposal of Agro-chemicals
- Awareness on climate, heat stress, and pesticide exposure
- Use of PPEs
- Traffic and construction safety near project sites
- Prevention of GBV/SEA/SH in project activities
- OHS and GRM Guidelines will be applicable

Key Risks to be mitigated: Health hazards, gender-based violence

6. Grievance Redress & Citizen Engagement

- Multi-tier Grievance Redress Mechanism (village–block–district–state)
- Anonymous complaint channels
- Time-bound grievance resolution
- Regular community consultations and social audits
- GRM Guideline and SEP will be applicable

Key Risks to be mitigated: Conflict, lack of accountability

C. CROSS-CUTTING SAFEGUARDS & IMPLEMENTATION MECHANISM

1. Institutional Arrangements

- State-level Environmental & Social Specialist
- District Safeguards Focal Points
- Integration with line departments and PRI institutions

2. Capacity Building

- Training of:
 - Safeguards Nodal Officers' (DPIU) Training
 - SOs Field staff
 - FPO leaders
 - Farmers/Fish Farmers/ Women SHGs
- IEC materials in local language (Hindi)

3. Monitoring, Reporting & Compliance

- E&S indicators embedded in UPAGREES MIS
- Third-party audits and social audits (Mid Term and End Term)
- Periodic E&S performance reporting

4. Disclosure & Transparency

- Public disclosure of safeguards documents
- Public disclosure of Dos and Don'ts at each Sub-Project site
- Public Disclosure of Grievance System for complaints registration at each site, dashboard and office
- Public disclosure of Sub-Projects information on board
- Public disclosure of all important/emergency contact numbers at each site
- Community-level dissemination of rights and entitlements at project sites

Enclosures:

- 1- Labour Management Guideline
- 2- Occupational Health and Safety Guideline
- 3- Grievance Registration, reporting and redressal guideline
- 4- Component wise social safeguards monitoring formats

SOCIAL & ENVIRONMENTAL SAFEGUARDS**2-PAGE POCKET CHECKLIST****For: District Officials | Block Teams | FPOs | SHGs | Field Facilitators****A-BEFORE APPROVAL****1- Sub Project Screening and categorization (ESS-1)**

- ☐ Environmental & Social Screening Form completed
- ☐ Site visit conducted
- ☐ Risk category assigned
- ☐ Activity not in exclusion list

2- Land Acquisition (ESS-5)

- ☐ No private land acquisition
- ☐ No displacement of households
- ☐ Voluntary land consent obtained (if applicable)
- ☐ No impact on common property resources

3- Consultation before selection of any sub project (ESS-10)

- ☐ Community consultation conducted
- ☐ Women participated in consultation
- ☐ Vulnerable groups consulted
- ☐ Meeting records maintained

B- DURING IMPLEMENTATION**4- Labour & Safety norms (ESS-2)**

- ☐ No child labour involved
- ☐ No forced labour involved
- ☐ Equal wages for women and men ensured
- ☐ PPE and safety equipment available and being used
- ☐ Workers aware of grievance mechanism

5- Environmental norms (ESS-3)

- ☐ IPM / CSA practices promoted
- ☐ Safe pesticide storage ensured
- ☐ Chemical containers disposed safely
- ☐ Waste management arrangements are in place
- ☐ Water-saving practices being adopted

6- Community Safety Norms (ESS-4)

- ☐ Safe handling of Agro-chemicals being followed with PPE Use
- ☐ GBV/SEA/SH awareness conducted and IEC displayed
- ☐ Safe worksite conditions maintained

C- INCLUSION CHECK

7- Gender

- ☐ Women beneficiaries included
- ☐ Women represented in leadership roles
- ☐ Women trained and linked to enterprises

8- Vulnerable Groups

- ☐ SC/ST households covered
- ☐ Small & marginal farmers prioritized
- ☐ Landless and vulnerable households included

D- ENVIRONMENTAL CHECK

9- Biodiversity management (ESS-6)

- ☐ No activity in protected/ecologically sensitive areas
- ☐ Native species/agroforestry promoted
- ☐ No habitat destruction

10- Cultural Heritage (ESS-8)

- ☐ No impact on cultural/religious sites
- ☐ Chance-Find Procedure explained to staff (100 mt, 300mt and 500mt norms-ASI guideline)

E- GRM CHECK

11- Grievance reporting and redressal in place

- ☐ Complaint register/box available at site
- ☐ GRM contact displayed publicly
- ☐ Complaints acknowledged within 48 hours
- ☐ Cases resolved within timelines
- ☐ Confidential handling of GBV complaints

F- GO / NO-GO DECISION

12- Sub Project categorization norms

GO (ESMP Not Needed)

All checklist items complied with.

CONDITIONAL GO (ESMP Prepared)

Minor gaps identified; mitigation actions assigned.

NO-GO (Exclusion List)

Any of the following found:

- Involuntary land acquisition
- Child/forced labour
- Significant environmental damage
- Displacement of households/livelihoods
- Activity in prohibited/protected areas