

# Resettlement Plan

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Document Stage: Draft for Consultation  
Project Number: 38272-044  
September 2021

India: Uttarakhand Integrated and Resilient Urban Development Project – Development and Improvement of Sewerage System with 5 Year Operation and Maintenance of Nainital, Uttarakhand

Package UIRUDP: WW-NTL-01

Prepared by Urban Development Department, Government of Uttarakhand for Asian Development Bank.

## CURRENCY EQUIVALENTS

(as of 13 August 2021)

Currency unit	–	Indian rupee (₹)
₹1.00	=	\$0.0135
\$1.00	=	₹74.26

## ABBREVIATIONS

ADB	-	Asian Development Bank
CAPPA	-	Community Awareness and Public Participation Agency
CBO	-	Community Based Organization
ESMC	-	Environment and Social Management Cell
FGD	-	Focus Group Discussions
GOI	-	Government of India
GOU	-	Government of Uttarakhand
GRC	-	Grievance Redress Committee/ Grievance Redress Cell
PMU	-	Program Management Unit
PIU	-	Program Implementation Unit
IPMC	-	Investment Program Management Consultants
RFCTLARRA 2013	-	Right for fair Compensation and Transparency in Land Acquisition, Rehabilitation, and Resettlement Act 2013
NGO	-	Non-Government Organizations
NPRR	-	National Policy on Resettlement & Rehabilitation
PMDSC	-	Project Management and Design Supervision Consultant
PWD	-	Public Works Department
ROW	-	right-of-way
R&R	-	Resettlement & Rehabilitation
SCDO	-	Social and Community Development Officer
SDS	-	Social Development Specialist
SIA	-	Social Impact Assessment
PAR	-	Project Appraisal Report
TLC	-	Town Level Committee
UDD	-	Urban Development Department
ULB	-	urban local bodies
UIRUDP	-	Uttarakhand Inclusive and Resilient Urban Development Project
UUSDIP	-	Uttarakhand Urban Sector Development Investment Program

## WEIGHTS AND MEASURES

km	–	kilometer
LPCD	–	liter per capita per day
m	–	meter
MLD	–	million liter per day
m <sup>2</sup>	–	square meter
km <sup>2</sup>	–	square kilometer

## **NOTE**

In this report, "\$" refers to United States dollars.

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## EXECUTIVE SUMMARY

**Background.** The proposed Uttarakhand Integrated and Resilient Urban Development Project (UIRUDP) aims to improve universal and equitable access to safe and affordable drinking water, and access to adequate and equitable sanitation and hygiene for all ending open defecation. The outcome of the project is reliability and efficiency of water supply and sanitation services in Dehradun and Nainital enhanced. The project has four major outputs as follows: (i) Output 1: Water supply system and service in Dehradun improved. (ii) Output 2: Integrated sanitation systems and drainage enhanced in Dehradun and Nainital. (iii) Output 3: Computerized maintenance and management systems (CMMS) for water and sanitation developed and implemented in Dehradun and Nainital. (iv) Output 4: Project Management, institutional capacity and knowledge strengthened.

This Resettlement Plan is prepared for one of projects under output 2, which is development of sanitation and drainage systems in all 13 municipal wards of Nainital covering Snow view, Narayan Nagar, Harinagar, Ayar Patta, Rajbhavan, Awagarh, Sher ka Danda, Upper Mall, Nainital Club, Sukha Tal, Mallital Bazar, Shri Krishna Nagar, Tallital Bazar.

**Project Description.** This project will include: (i) construction of a new 18 MLD STP replacing the 10 MLD old STP which is not functioning and (ii) replacement of trunk sewer leading up to the new STP, which involves the installation of around 4km of new sewer pipes with 800 mm size. The new 18 MLD STP will be constructed in the same premises where old STP at lower level exists in Russi village. Other project components includes (iii) installation of five pre-fabricated small-scale STPs with the treatment capacity of 20/40 kilo-liter per day (KLD) each at different locations within the town; and (iv) around 500 sewer household connections.

**Resettlement Plan.** The draft resettlement plan is prepared for the proposed Development of Sewerage System (UIRUDP: WW-NTL-01) in Nainital. The project will ensure an improved drainage, sewerage and sanitation management for all the inhabitants within the target areas. The draft resettlement plan assesses the potential impacts due to involuntary resettlement for construction of the project components based on preliminary design. No land acquisition is anticipated for the project. Roadside shops and vendors, owner have been identified at the edge of the ROW along which the sewer pipeline is proposed. Potential adverse impacts (temporary income losses) are identified during laying of sewer pipelines at Tallital, Mallta Krishnapur, Talla Krishnapur and Hanuman Gadhi up to Russi Village STP site. Mitigation measures have been developed to reduce adverse impacts to acceptable levels as per environment management plan (EMP). At locations where involuntary resettlement impacts are unavoidable budgetary provisions are made in the resettlement plan as per the entitlements outlined in this resettlement plan, to compensate the losses.

**Scope of Land Acquisition and Involuntary Resettlement.** Project implementation will not require acquisition of private land as the entire civil works for the construction of the STP, the sewer pipelines and pre-fabricated STPs will be constructed within the right of way (ROW) of land and roads under government ownership. The land parcels proposed for construction of the STP is under the ownership of Uttarakhand Pey Jal Nigam, Nainital. The sewer pipelines will be laid within the ROW of existing government roads (under the ownership of National Highway Authority of India, and Nainital Municipal Corporation) and the pre-fabricated STPs will be installed within the premises of respective government offices. The resettlement plan is based on review of existing information on preliminary design, field visits, discussion with relevant stakeholders, and consultations with representatives of line departments, user groups, and with other community members as a process of social impact assessment for the project.

Based on transect walks and surveys of the affected businesses in the project area, involuntary resettlement impacts are assessed. It is assessed that twenty (20) roadside shopkeepers and vendors (106 household members) will incur temporary income loss for the period of disruption (estimated as 26 days) during the construction phase. This draft RP is based on 100% survey of sites and alignments. Since the implementation of proposed project would be through a hybrid type Design, Build and Operate mode, the contract may make some changes in the layout and design of the proposed key infrastructure and various ancillaries during finalization of detailed design. Involuntary resettlement impacts will be further assessed and reconfirmed after finalization of detailed design and alignments through detailed measurement and census surveys (DMS). The draft resettlement plan will be updated based on detailed design, DMS, census survey and site-specific consultations, prior to start of construction work and will include the 100 percent assessment of impact for all the project sites and all roads through which the sewer pipelines will be routed. Project Implementation Unit (PIU), and Project Management and Design Supervision Consultant (PMDSC) will conduct the verification survey covering 100 percent of affected persons for updating of the draft resettlement plan.

**Categorization.** The project is classified as 'Category B' in accordance with Asian Development Bank's Safeguard Policy Statement (ADB SPS) 2009.

**Legal Framework.** The policy framework and entitlements for UIRUDP are based on the following laws and policies: The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act (RFCTLARRA) 2013, and ADB SPS, 2009.

**Entitlements, Assistance and Benefits.** The entitlement matrix presented in the resettlement plan provides for compensation of all potential losses to be provided to all affected persons in the project area. In general, the affected people under the sewerage project will be entitled to the following types of compensation and assistances: (i) compensation for loss of income for the duration of impact; (ii) shifting allowance; and (iii) additional assistance to vulnerable groups.

**Impact Avoidance and Minimization.** Majority of the envisaged impacts are expected to be reduced as per the mitigations stated in the EMP. Work during night hours and nonmarket days should be considered for laying of sewer pipelines especially along market areas. To minimize and avoid involuntary resettlement impacts, consultations with the road-side shops and vendors in market areas will be conducted to finalize the construction schedule (in a phased manner), particularly in narrow roads and busy commercial areas.

**Consultation and Disclosure.** Project objectives, goals and scope of work under the Nainital project have been disclosed to the potential beneficiaries of the project, affected persons, elected representatives and institutional stakeholders. The approved entitlement matrix and resettlement plan will be made available at public locations in the city and will be disclosed to a wider audience through the Government of Uttarakhand and ADB website. Copies of the draft project information disclosure leaflet, translated in local language, will be always kept at site during the construction period.

**Grievance Redressal Mechanism:** The grievance redress mechanism (GRM) of Uttarakhand Inclusive and Resilient Urban Development Project (UIRUDP), will provide the communities and other stakeholders, a platform for expressing their opinion, registering their grievances and redress of the same within a defined time frame. A three-tier common GRM will be set-up. Public awareness campaign will be conducted to ensure that awareness on the project and its grievance redress procedures is generated. The campaign will ensure that the poor, vulnerable and others are made aware of and part of the awareness program. Grievance redress



mechanism outlined in the draft resettlement plan will ensure that complaints and grievances are resolved in a collaborative, expeditious, and effective manner through dialogue, joint fact-finding, negotiation, and problem solving.

**Resettlement Plan Budget.** The proposed budget for the implementation of the resettlement plan is **₹14,08,800.00 (Rupees Fourteen lakhs eight thousand and eight hundred only)**, which covers compensation for temporary income loss, one-time shifting allowance and one-time assistance to identified vulnerable households. The amount will be electronically transferred by the PIU to the account of the affected persons. The project will ensure preparation of identify cards and opening of bank accounts of the affected persons (not having bank accounts).

**Institutional Arrangement.** The Urban Development Department (UDD), Government of Uttarakhand is the Executing Agency (EA) of the UIRUDP. A state-level Program Management Unit (PMU) under Uttarakhand Urban Sector Development Agency, a special purpose vehicle, is set up for the project implementation. City/town level Program Implementation Units (PIU) have been set up by the Implementing Agency (IA) to manage implementation of projects, at Dehradun and Nainital. The PMU/PIU will be assisted by Project Management and Design Construction Supervision Consultants (PMDSC) which will be providing program management support, assure the technical quality of design and construction, and provide advice on policy reforms. Resettlement Plan implementation will be closely monitored by PMU/PIU on a regular basis. Community Awareness and Public Participation Agency (CAPPA) will facilitate PMU and PIU in organizing meetings with affected persons and disclosure of entitlement matrix and grievance redress mechanism with affected persons and stakeholders.

**Monitoring and Reporting.** Resettlement Plan implementation will be closely monitored by the PMU with an effective basis for assessing resettlement progress and identifying potential difficulties and problems. The PMU is required to implement safeguard measures and relevant safeguard plans, as provided in the legal agreements, and to submit periodic monitoring reports on their implementation performance. The project monitoring will include daily planning, implementation, feedback and troubleshooting etc. The PMU/UIRUDP will provide monitoring report to ADB on a semi-annual basis. Monitoring reports will continue to be submitted by PMU to ADB until a project completion report is issued.



## I. INTRODUCTION

### A. Project Background

1. The proposed Uttarakhand Integrated and Resilient Urban Development Project aims to improve universal and equitable access to safe and affordable drinking water, and access to adequate and equitable sanitation and hygiene for all ending open defecation. The outcome of the project is reliability and efficiency of water supply and sanitation services in Dehradun and Nainital enhanced. The project has four major outputs as follows:

2. **Output 1: Water supply system and service in Dehradun improved.** The project will construct around 136 kilometers (km) of water supply networks in newly added wards in South Dehradun, to close the gap of water supply infrastructure. The project will ensure reliable and quality water supply services with a standard norm of 135 liter per capita per day (lpcd); 24 hours a day and 7 days a week (24/7) supply. Around 5,400 household connections will be provided by 2028 with water meters that would allow volumetric billing. Non-revenue water (NRW) in the project area will be reduced from 45–50% to at most 25%, which is higher than the Uttarakhand performance standards. The improved water service will benefit around 40,000 population including about 4,000 urban poor and vulnerable people by 2028.

3. **Output 2: Integrated sanitation systems and drainage enhanced in Dehradun and Nainital.** The project will construct (i) two sewage treatment plants (STPs) with a total treatment capacity of 29 million liters per day (MLD); (ii) around 256 km of sewer networks; (iii) at least 117 km of stormwater drainage networks factoring potential climate risks; and (iv) around 17,410 household sewer connections in Dehradun. This output will benefit about 138,000 population, including around 15,000 urban poor and vulnerable people by 2028. The project will collect fecal sludge and septage from households that are not connected to sewer networks, and transport and treat them at a proposed STP equipped with a septage co-treatment unit. Combining a centralized sewerage system with decentralized septage management solutions, the project will establish cost-effective integrated sanitation systems in Dehradun. Once households are connected to the new centralized sewer system, existing household and community level soak pits in the project areas that would be no longer in use. These soak pits after cleaning and connecting with rainwater capturing system can be re-utilized as ground water recharge pits. This soak pit reutilization idea introduced by UUSDA will be first kind in India, which is not only an innovative solution to enhance climate-resilience but also a great example of resource saving and circular economy. In Nainital that has 100% coverage of sewerage system, the project will (i) replace around 4 km of an aging trunk and outfall sewers with leaks; and (ii) construct a new STP with a treatment capacity of 17 MLD and five prefabricated compact STPs with advanced moving bed biofilm reactor technology, which will have at least 20 kiloliter per day capacity each. While ensuring high quality sanitation services to benefit around 154,000 people, and no contamination of ground and surface water from sewer leaks, the project addresses the challenge of a steep hilly town and its limited land space for a large scale STP by introducing prefabricated compact STPs with advanced technology that are also equipped for reuse of treated wastewater.

4. **Output 3: Computerized maintenance and management systems (CMMS) for water and sanitation developed and implemented in Dehradun and Nainital.** To advance the O&M performance and asset management of WSS in Dehradun and Nainital, the project will procure, install, and implement city-wide CMMS for WSS schemes. Using the internet of things, this information and communication technology (ICT)-based platform will communicate with supervisory control and data acquisition (SCADA) and geographical information system (GIS) to

provide real-time data and information. It will also provide a range of functions, including but not limited to the following: (i) present and record operation status; (ii) schedule and track inspections; (iii) plan, implement, and report the results of preventive maintenance; (iv) manage fixed assets across multiple sites; (v) manage inventory, work orders and contract managements; and (vi) provide customer services, which include the establishment of consumer data management system with disaggregated data by sex, age, and other social dimension.<sup>1</sup> The detailed program functions for CMMS will be determined through the customized design based on the WSS system needs and WSS governance structure in Dehradun and Nainital.

**5. Output 4: Project management, institutional capacity and knowledge strengthened.** This output includes a range of activities such as: (i) enhancing project and contract management of UIRUDP through hands-on implementation support and skills training for project management unit (PMU) and project implementation units (PIUs) at Dehradun and Nainital; (ii) developing robust WSS O&M manuals, which will be aligned with the national WSS manuals<sup>2</sup> and customized to the WSS system, governance structure, and specific conditions and needs in the project cities; (iii) providing training and implementation support on the WSS O&M manuals and CMMS use to UUSDA, UJN, UJS, and project ULBs; (vi) executing community awareness, participation, and behavior changes programs on water conservation, public health and hygiene practices, waste reduction, and making safe, clean, and healthy community environments; and (v) implementing the gender and social inclusion (GESI) action plan; and (v) strengthening institutional capacities and deepening the knowledge of UUSDA, UJN, UJS, project ULBs, and/or the ward members at project ULBs on a wide range of subjects on urban infrastructure and services, including WSS tariff re-structuring to enhance the sustainability,<sup>3</sup> green and resilient urban planning for livable and prosperous cities, integrated watershed and water management, intelligent and sustainable WSS operation and management, and gender equality and social inclusion (GESI) issues in urban systems and services.

6. This resettlement plan is prepared for one of project under output 2, which is development of sanitation and drainage systems in all 13 municipal wards of Nainital covering Snow view, Narayan Nagar, Harinagar, Ayar Patta, Rajbhavan, Awagarh, Sher ka Danda, Upper Mall, Nainital Club, Sukha Tal, Mallital Bazar, Shri Krishna Nagar, Tallital Bazar.

7. Implementation of the project will be governed by the acts, rules, regulations of Government of India (GOI), the state of Uttarakhand and as per the requirements of ADB Safeguard Policy Statement, 2009. During the design, construction, and operation of the project the State of Uttarakhand, Government of India will ensure impact avoidance, mitigation and compensation consistent with ADB SPS, 2009 and international good practice.

<sup>1</sup> 'Internet of things' describes the network of physical objects—"things"—that are embedded with sensors, software, and other technologies for the purpose of connecting and exchanging data with other devices and systems over the internet.

<sup>2</sup> GOI, Ministry of Housing and Urban Affairs, Central Public Health & Environmental Engineering Organisation (CPHEEO). (i) *Manual on Operation and Maintenance of Water Supply System – 2005*; (ii) *Manual on Sewerage and Sewage Treatment Systems – 2013 Part B O&M and Part C Management*; and (iii) *Manual on Storm Water Drainage Systems – 2019 Part B O&M and Part C Management*. (accessed 18 September 2020).

<sup>3</sup> The World Bank has an ongoing project in Uttarakhand to support institutional strengthening of ULBs' public financial management and revenue management systems, which would have positive impacts on the financial sustainability of the water supply and sanitation systems and other urban services. To avoid any duplicated efforts, the project team will closely monitor and communicate with the World Bank. If any gaps are identified, the project team will design specific activities to support the project UBLs. (World Bank. 2019. [Uttarakhand Public Financial Management \(PFM\) Strengthening Project.](#))

## B. Nainital Project Location

8. Nainital is the judicial capital of Uttarakhand, where the High Court of the state is located and the Governor of Uttarakhand resides. With a total area of 11.73 km<sup>2</sup> at an average elevation of 2,084 meters (6,837 feet) above sea level, the slopes of the nearby mountains are most populated, with an elevation ranging from 1,940–2,100 meter (6,360–6,890 feet). Nainital is set in a valley around Nainital Lake that is 1,433 meter long and 463 meter wide at an altitude of 1,940 meter (6,350 feet) from sea level. Estimated population of Nainital in 2020 is over 60,000. Compared to the 2011 census data of 41,377, the urban population is increased by 50%.

9. As Nainital is the most popular hill station, the average daily visitors to Nainital is around 72,650, 90% of which stay overnight. Permanent population increase and 120% floating population overstressed existing water supply infrastructure and service, including the recently added one financed by ADB. The most critical problem is water availability rather than the provision of water supply infrastructure per se. As the water authority in Nainital is observing the rapid groundwater depletion and ground water quality deterioration, the duration of water withdrawal from tube wells has been restricted and available hours of taped water are reduced.

10. The water pollution issue has been more significant in Nainital lake, as the aging sewerage networks that has been built between 1980s are not functioning properly, leaving untreated water leaking into the lake, deteriorating the water quality and resulting in reduced available water for the existing water supply systems. The sewage treatment plant of 10 MLD capacity is not working properly and untreated wastewater finds its way to nearby natural rivulet and ultimately to Nihal river. Thus, replacing of the aging sewerage network and necessary up-gradation of sewage treatment plant in Nainital meeting the effluent discharge norms is an urgent task for the sustainability of both water supply and sewerage systems.

11. The Nainital town is completely covered by sewer network. The existing sewer network is well functioning and due to the natural gradient, there is no issue with sewage flow in laterals. This project will construct (i) a new 18 MLD STP replacing the 10 MLD old STP which is not functioning and (ii) replace trunk sewer leading up to the new STP, which involves the installation of around 4km of new sewer pipes with 800 mm size. The new 18 MLD STP will be constructed in the same premises where old STP at lower level exists in Russi village. Also, other project components include (iii) the installation of five prefabricated small-scale STPs with the treatment capacity of 20/40 kilo-liter per day (KLD) each at different locations within the town; and (iv) around 500 sewer household connections.

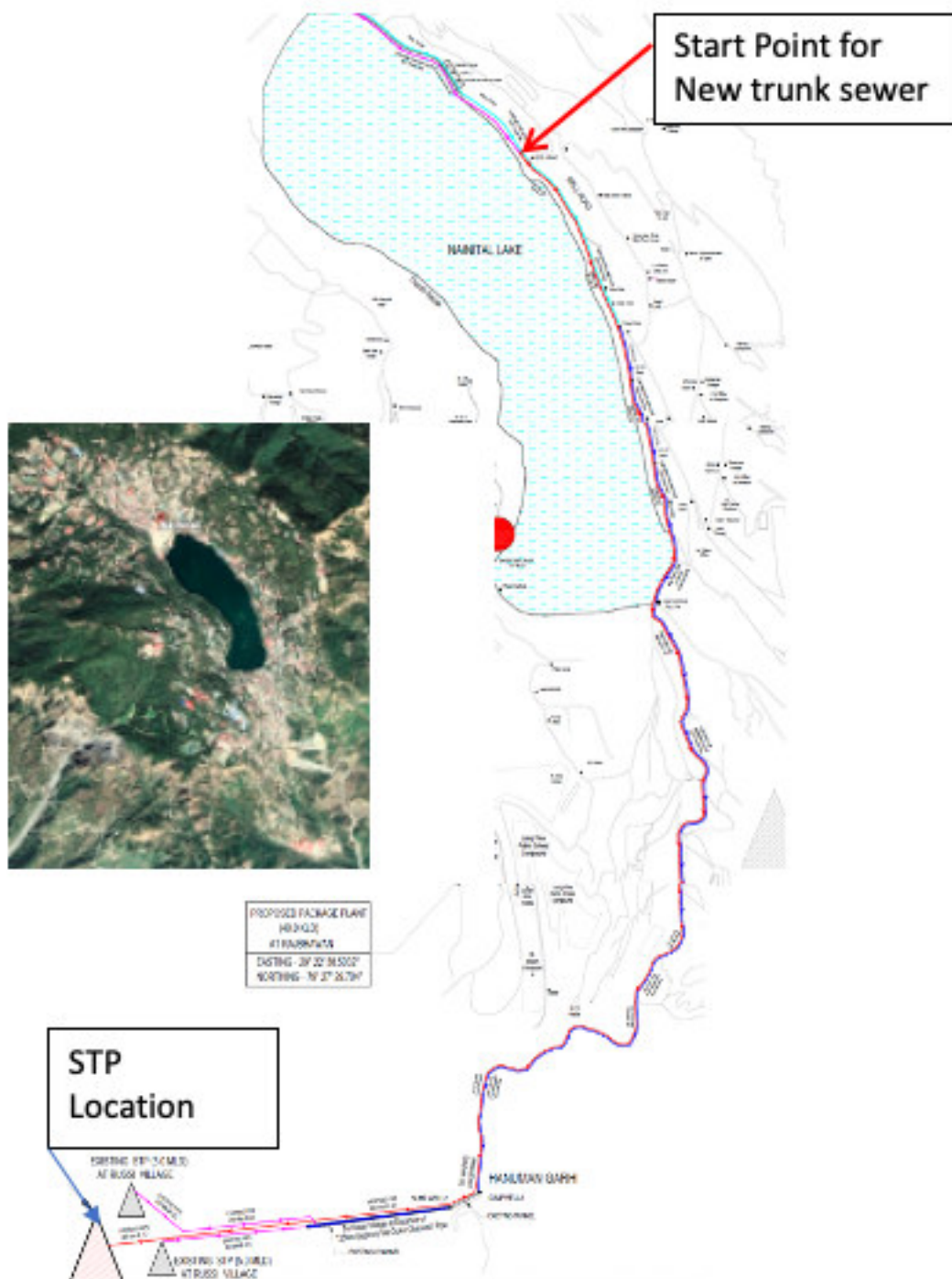
12. The design capacities of STPs have been determined based on the projected wastewater generation. Table 1 shows the projection of population increase in base year of 2021, intermediate year 2036 and ultimate design year of 2051, which are 135,154 in 2021, 179,678 in 2036 and 239,021 in 2051. Based on the projection of population increase, it has been estimated that the sub-project area will have 14 MLD, 19 MLD & 26 MLD of wastewater during the base, Intermediate & ultimate years respectively.

**Table 1: Details of Sewerage Generation in Nainital**

Town	Projected Population (including floating population)			Sewage generation (MLD)		
	Base Year (2021)	Intermediate Year (2036)	Ultimate Year (2051)	Base Year (2021)	Intermediate Year (2036)	Ultimate Year (2051)
Nainital	135154	179678	239021	14.27	18.99	25.24

Source: Detailed Project Report (2020) on Nainital, UUSDA

**Figure 1: Location of the STP and alignment of Proposed Trunk Sewer (Existing and Proposed)**



Source: Detailed Project Report (2020) on Nainital, UUSDA

## 1. Sewer Network

13. Out of total length of around 4 km, around 3 km of ductile iron Class K7 (DI-K7) pipes will be laid entirely using trenchless methods as the road along which sewer will be laid is

mostly busy and main walking area for the residents/ tourists. DI pipes have been proposed due to its better strength, ease of laying pipes being longer, less joints, less infiltration, no special bedding requirement and superior useful life when compared to RCC pipes used in sewerage applications traditionally. Moreover, this is cost effective too for 800 mm diameter pipes.

14. Further, the trenchless methods are being adopted as the sewer alignment is along Naini Lake and the busy road, where open excavation is not possible. Small pits shall be excavated at almost every 100 meter and the pipe laying work will be executed through these pits only. This will help in reduced traffic disruptions and inconvenience to local public, shopkeepers as well as tourists.

15. Other remaining sewer pipes will be 800 mm diameter Mild Steel (MS) pipes. This will be laid cross country and can be done through open excavation. Mild steel pipes will be used as these can be welded at any length and suitable for vertical and horizontal bends which are likely in that terrain.

16. During work execution, new trunk sewer will be laid in parallel to the existing trunk sewer without disturbing the function of the existing sewer. At the time of connection of new trunk sewer with the existing one, the manhole at the connection point will be isolated by plugging the upstream and downstream manholes. In the interim period, the sewage will be pumped to the downstream manhole. Once the connection is made, the new sewer will start functioning and old one will be disconnected. The network will be of the conventional gravity collection type, conveying the sewage to discharge into inlet chamber of the new STP.

17. A total of 150 manholes, mostly in-situ reinforced cement concrete (RCC) circular manholes, will be installed along the trunk sewer network. The household sewer connections along the existing trunk sewer are proposed to be shifted to new trunk sewer. Around 500 household sewer connections will be installed. House connections will be provided through a chamber constructed inside the property line and another chamber outside the property line. Chambers are to be connected with manholes in the main sewer line below the roads.

## **2. Sewage Treatment Plant**

18. The proposed STP location is near Russi village where the old STPs (2x 5 MLD) exist. There is no need for terminal sewage pumping station for STP as due to huge level difference (300 m difference between Russi village and town), the raw sewage through trunk sewer will be received by gravity. The existing STPs were constructed at two levels, and it is planned to demolish the plant units (sedimentation tanks) at lower level and construct the new STP on that part and adjoining land (Figure 2).



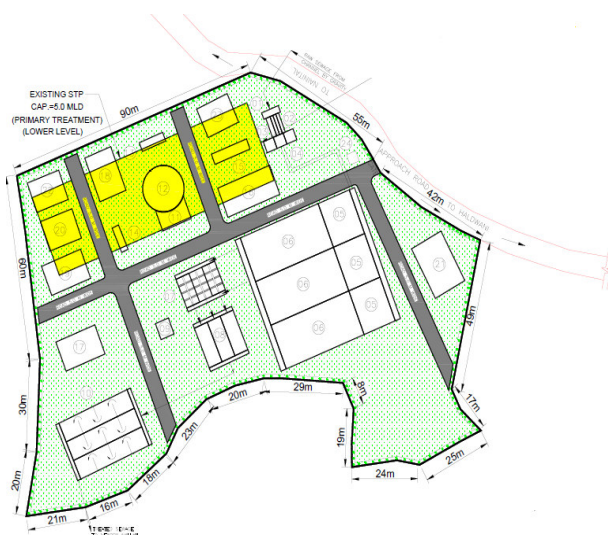
**Figure 2: Location Map for Existing and Proposed STPs**



**5 MLD STP at Lower Level**



**Layout Plan of Proposed 18 MLD STP (yellow marked is the old STP extent)**



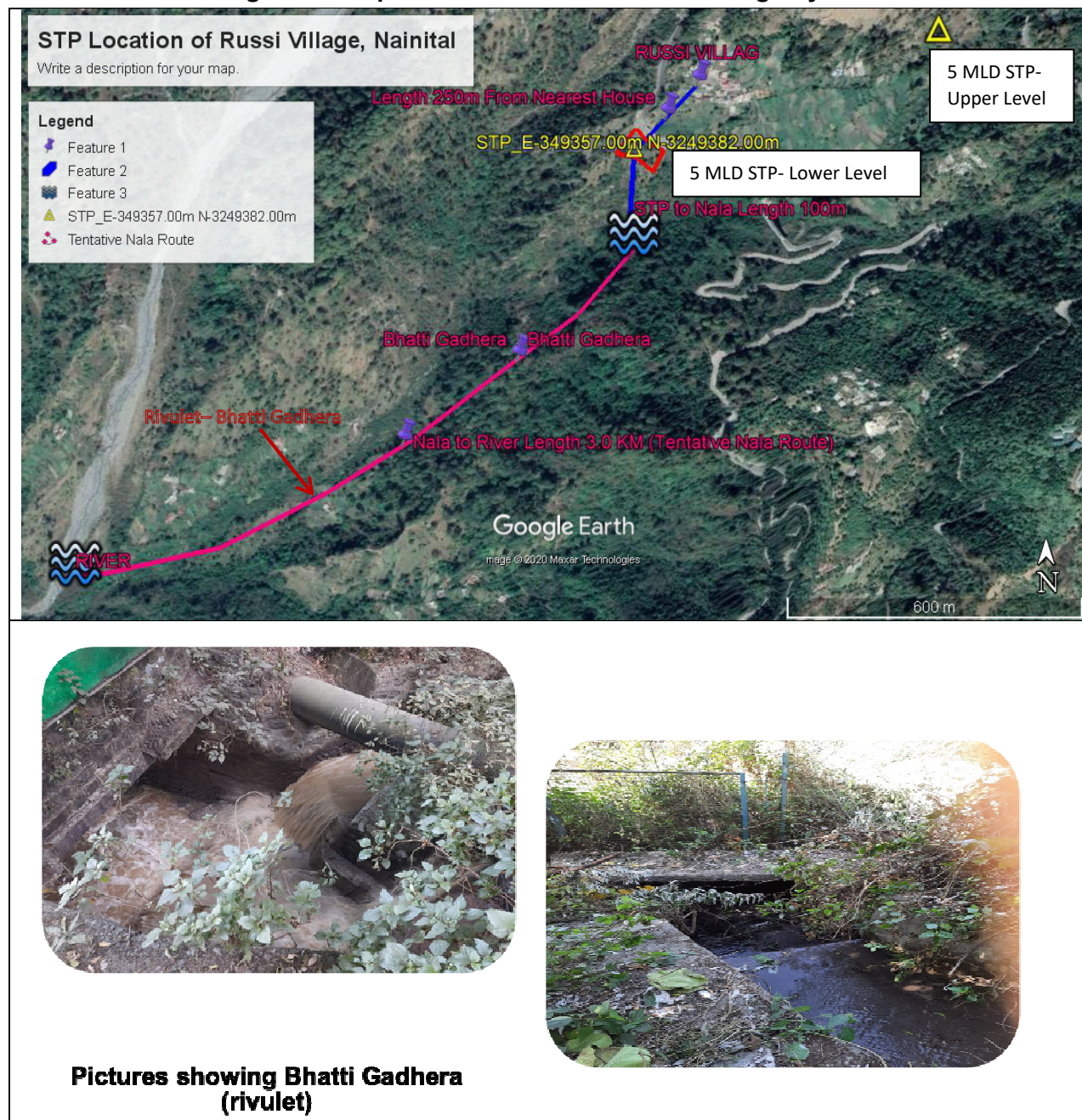
S.No	Name	Nos
1	Inlet Screen Distribution Chamber	1.00
2	Fine Screens and Channels (Mechanical)	3.00
2	Fine Screens and Channels (Manual)	1.00
3	Grit Chamber	3.00
4	Parshall Flume Channel	1.00
5	Anoxic Basin	3.00
6	MBBR Basin	3.00
7	Plate Settler Clarifier	3.00
8	Disc Filter	3.00
9	Backwash water Sump	1.00
10	Chlorine Contact Tank	3.00
11	Common Sludge Sump	1.00
12	Sludge Thickener	1.00
13	Centrifuge Feed Sump	1.00
14	Plant Drain Sump	1.00
15	Plant Water Sump	1.00
16	Process Air Blower Building	1.00
17	Chlorination Building	1.00
18	Centrifuge Building	1.00
19	Electrical Sub-Station Building	1.00
20	Transformer Yard	1.00
21	Admin Building Includes PLC SCADA, Laboratory	1.00
22	DG Room / Shed	1.00
23	Chemical Building	1.00
24	Security cabin	1.00

Source: Detailed Project Report (2020) on Nainital, UUSDA



19. The treated effluent shall be discharged into the nearby rivulet which ultimately meets the Nihal river downstream. The rivulet passes at 100 m from the proposed STP boundary, and it travels around 3 km before it meets the river.

**Figure 3: Proposed STP and Effluent Discharge System**



Source: Detailed Project Report (2020) on Nainital, UUSDA

### 3. Pre-fabricated Sewage Treatment Plants

20. With an objective to reuse the treated sewage and reduce the freshwater requirements, five (5) packaged STPs have been proposed in the project. These STPs, of 20/ 40 KLD capacity each, will be installed in government buildings/ compounds which are:

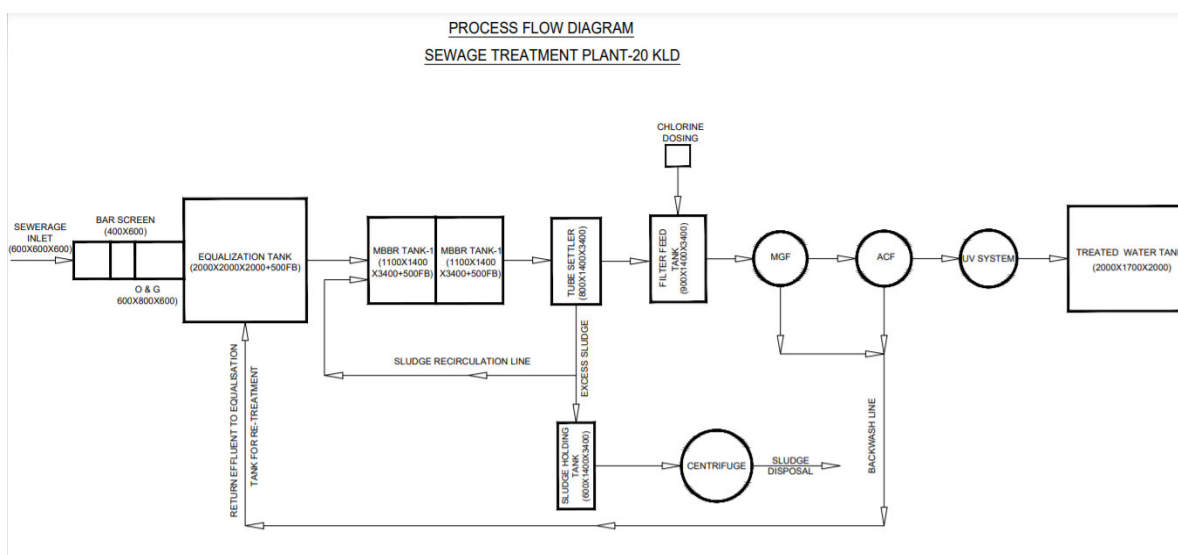
- (i) High Court Building Complex (40 KLD)
- (ii) PWD guest house (20 KLD)
- (iii) Forest Staff quarter (20 KLD)
- (iv) Polytechnic college (40 KLD)
- (v) Raj Bhawan Complex (40 KLD)

**Figure 4: Location of Five Pre-Fabricated STPs**



Source: Detailed Project Report (2020) on Nainital, UUSDA

**Figure 5: Process Flow Diagram of 20 KLD STP**



Source: Project Management Unit, UIRUDP and Project Management and Design Supervision Consultants



#### 4. SCADA and GIS system

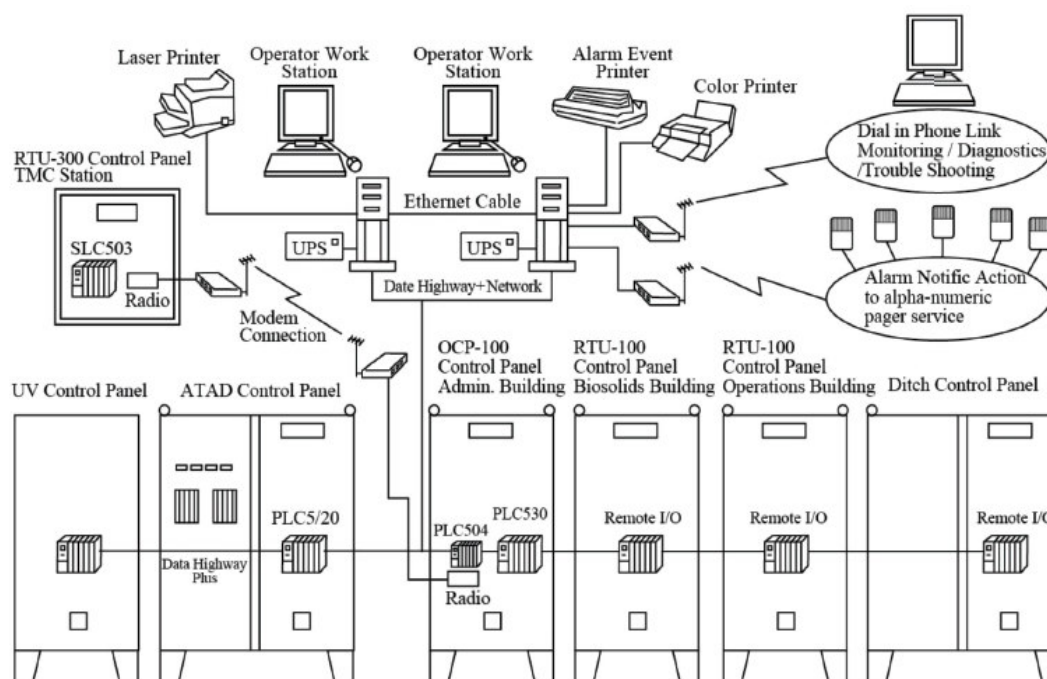
21. The STP will be automatically operated, with PLC based control with SCADA/ HMI which will be monitored/ controlled from control station housed in Administrative Building.

22. The GIS data of trunk sewer and its manholes will be linked to web-based interface/ dashboard to Supervisory Control and Data Acquisition (SCADA) for control and monitoring. SCADA presents the data as a viewable and controllable system on the screen of a computer. The data thus collected is stored and analyzed for better real time process control. It assists plant operating personnel by monitoring and announcing abnormal conditions and failure of equipment and allows the operators to perform calculations based on the sensor inputs. Daily, weekly and monthly reports can be prepared using the stored data. A typical SCADA is shown in Figure 6.

23. Signals generated by various sensors and instruments are transmitted from the sensor to a control panel or computer system, which allows operators to inspect many process variables simultaneously. A Programmable Logic Controller (PLC) is electronic equipment that senses inputs and takes the decision to change outputs according to the set rules stored in the memory. Link systems with PLC are used for transmitting the signal, with which analogue signal is converted to digital signal and transmitted via coaxial cables or optical fibers.

24. The GIS and SCADA will be developed in a compatible environment so that it is aligned to city-wide CMMS. During operation and maintenance, the status of assets, inspection details and inventory etc will be managed through these linkages to CMMS. The GIS system will be providing real time information for CMMS on ever increasing consumer details.

**Figure 6: Typical SCADA Communication Overview<sup>4</sup>**



<sup>4</sup> Source: Chapter 6, Part B Operation and Maintenance, Manual on Sewerage and Sewage Treatment Systems, Central Public Health and Environmental Engineering Organization, Ministry of Urban Development, India

25. The draft resettlement plan is prepared based on the available preliminary design for the project. This document will be updated and reconfirmed for final involuntary resettlement impacts after completion of detailed measurement surveys (DMS) as part of Service Improvement Plan by the construction contractor. The draft and final resettlement plan will be reviewed and upon receipt of approval from ADB, disclosed on implementing agency and ADB websites. Civil work will be taken up only after compensation payment to affected persons, as per approved entitlement matrix. The implementing agency will be responsible for handing over the project land/site to the contractor free of any kind of encumbrance.

26. **Measures to avoid and minimize the Involuntary Resettlement Impacts:** To avoid and minimize the involuntary impacts the UIRUDP proposes to use government lands wherever available and right of way of roads owned by the government agencies for augmentation and development of all the project assets and associated ancillaries as mentioned in the project description. The sewer pipes are proposed to be laid along existing available Right of Way (ROW). Construction contractor will ensure prior consultation with the community residing beside the construction site and shops in the area if the impact on access ramp is unavoidable.<sup>5</sup>

27. Livelihood impacts will be avoided in busy market areas to the permanent shops in the areas like Mall road and near bus stand. Work will be executed in night hours to avoid the impacts, pipes lines in narrow roads and commercial areas mentioned above will be laid in phased manner with the due consultation with the shop owners and nearby residents. Civil works will be executed in small stretches in section-by-section phases. Noise level will be kept under 55 dB (A) as per noise pollution (regulation and control) rules 2000 as per the Environmental Management Plan. All safety norms would strictly be adhered to, taking into consideration the magnitude of work and the sensitivity of the location.

28. The Project Implementation Unit (PIU) will also ensure that all the necessary rules related to safety and security of the public and residents are duly followed by the contractor. The actual dates of construction schedule with respect to rush hour, festival time, and special business days will be discussed with vendors, squatters, market committee members, and residents, and accordingly construction activities will be planned. After laying pipes, the lane/road will be restored to its original condition {including bitumen, cement concrete (CC) and CC interlocking tiles as applicable}.

29. The contractor will ensure maintaining the access to shops and residences or other buildings along pipe alignments, to institutions located close to proposed sites by providing pedestrian access through planks, assistance to mobile hawkers and vendors, and safety through hard barricading of excavated alignments/sites. Avoidance of pipe laying activities, construction work near schools, health centers; *anganwadi* centers (ICDS if any), etc. as much as possible. Any damage to access ramps during construction will be restored by contractor as per contractual provisions {included in contract document and considered as part of bill of quantity (BOQ), in line with the agreed principles of the resettlement plan.

30. Measures to be taken up by the contractor to avoid/mitigate economic impacts will include: (a) announcement of proposed civil works in advance (to enable shop owners to stock up and remain unaffected if goods vehicles are unable to reach them during construction); (b) provision of planks to ensure pedestrian access; (c) careful timing of implementation to avoid peak sale hours/days or school timings; (d) use of trenchless pipe laying technology, major civil

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<sup>5</sup> In the Engineers estimate provision of utility shifting and repair of minor structures has been proposed under provisional sum of DBO contract.

work during night hours, maximum use of precast materials particularly for manhole will be used in commercial areas and narrow roads, where possible; (e) minimizing construction period to the extent possible; (f) assistance to mobile vendors if any present during construction, to shift nearby; (g) signage with project details and contact details for grievance redress; and (h) proper traffic management. These measures will be part of the contract and will be implemented with careful monitoring by the concerned PIU.

### **C. Objectives of the Resettlement Plan**

31. This resettlement plan is prepared for development of sewer work components of the project, Package No. WW-NTL-01, under UIRUDP based on preliminary design. It addresses the potential involuntary resettlement impacts of the proposed project components in accordance with national laws and ADB SPS (2009).

32. This Resettlement Plan is prepared in accordance with ADB SPS 2009 requirements for involuntary resettlement Category B projects and to meet the following objectives:

- (i) To describe the identified scope and extent of land acquisition and involuntary resettlement impacts because of identified project components, and address them through appropriate recommendations and mitigation measures in the Resettlement Plan;
- (ii) To present the socio-economic profile of the population in the project area, identify social impacts, including impacts on the poor and vulnerable, and the needs and priorities of different sections of the population, including women, poor and vulnerable;
- (iii) To describe the likely economic impacts and identified livelihood risks of the proposed project components;
- (iv) To describe the process undertaken during project design to engage stakeholders and the planned information disclosure measures and the process for carrying out consultation with affected people and facilitating their participation during project implementation;
- (v) To establish a framework for grievance redress for affected persons that is appropriate to the local context, in consultation with stakeholders;
- (vi) To describe the applicable national and local legal framework for the project, and define the involuntary resettlement policy principles applicable to the project;
- (vii) To define entitlements of affected persons, and assistance and benefits available under the project;
- (viii) To present a budget for resettlement and define institutional arrangements, implementation responsibilities and implementation schedule for resettlement implementation; and to describe the monitoring mechanism that will be used to monitor resettlement plan implementation.

## **II. SCOPE OF LAND ACQUISITION AND INVOLUNTARY RESETTLEMENT**

### **A. Land Acquisition and Involuntary Resettlement**

33. The scope of land acquisition and involuntary resettlement is identified based on the field visits to each of the project component locations and transect walk along the trunk sewer pipeline alignment and sewer network. There will be no private land acquisition undertaken for the project components; the entire civil works under the project will be done within ROW of

government land. Efforts will be made to minimize impact to the extent possible through provisions of access planks. Where impact is unavoidable, compensation will be paid for the period of disruption/income loss as per the agreed entitlement matrix.

34. **Construction of Sewage Treatment Plant (STP):** Land acquisition is not envisaged for proposed project component. Construction of STP (18 MLD) with SBR technology will be carried out on the available land of old 10 MLD STP (which is in defunct condition); it is under the possession and ownership of Uttarakhand Pey Jal Nigam, Nainital. The available land is about 5.30 acres (21,446 m<sup>2</sup>) out of which 3.79 acres (15,350 m<sup>2</sup>) will be required for the new STP as per the design considerations (Table 2). The STP is located near Russi village. The identified old STP land is under the possession and ownership of Uttarakhand Peyjal Nigam since 1974. Nainital Peyjal Nigam vide letter number 1943/Nainital Sewer/26 dated 5 October 2020 has provided 'no objection' to UUSDA for use of the existing oxidation plant premises in Russi village. Details of STP land and no objection received from Uttarakhand Pey Jal Nigam along with land records is appended in Appendix 1 and 2.

**Table 2: Details of Land Availability for Sewage Treatment Plants**

Sl. No.	Project Component	Location	Ownership	Khasra (Plot) No.	Area (acre)	Status of NOC
1	Sewage Treatment Plant of 18 MLD Capacity	Russi Village	Pey Jal Nigam, Govt. of Uttarakhand	636, Plot no. 580	3.79 acre	NOC obtained

Source: Project Management Unit, UIRUDP and Project Management and Design Supervision Consultants

35. Treated effluent from the STP will be discharged into the nearby rivulet, Bhatti Gadhera, through a pipeline of length 100 m along government owned vacant land, which ultimately meets the Nihal river downstream. The rivulet passes travels around 3 km before it meets the river.

36. **Laying of Trunk Sewer and Sewer Network Pipelines:** The Nainital town is completely covered by sewer system, which is fully functional due to the natural gradient of the area; there is no issue with the sewerage flow in laterals. Under the project, replacement work of trunk sewer pipeline will be laid through trenchless methods. Around 3 km of ductile iron class K7 (DI-K7) pipes of about 800 mm diameter will be laid using trenchless methods. The sewer pipelines will be laid within the ROW of government roads, under the ownership of National Highway Authority of India (NH 109) and Nainital Municipal Corporation; about 3.25 km on NHAI roads and 0.75 kms on Municipal Corporation roads.

37. The trunk sewer alignment is proposed along the Naini Lake, which is busy and main walking area for local residents and tourists, hence, trenchless method is proposed for laying of trunk sewer pipeline as per the detail project report (DPR). The pit width for trenchless pipe laying is proposed as 4 sq. m (2 m x 2 m); the pit locations will be selected by the DBO Contractor before execution. Potential involuntary resettlement impact around the pit locations will be assessed based on detail measurement survey and updated to the resettlement plan. The PMU shall obtain no objection certificate from NHAI and Nainital Municipal Corporation for laying trunk sewer pipes. Photographs of the roads through which the sewer pipelines will be laid are provided in Appendix 3.

**Table 3: Road Width-wise Diameter of Sewer Pipeline to be Laid**

Sl. No.	Name of Major Road	Length (km)	Category Low/Medium/High Density <sup>6</sup>	Width (m)	Dia of Pipe (mm)	Proposed Trench Width (m)
1	NH 109	3.25	High	30	800	2 x 2
2	Mall Road	0.75	High	12-15	800	2 x 2
	<b>Total</b>	<b>4</b>				

Source: Project Management Unit, UIRUDP and Project Management and Design Supervision Consultants

38. Transect walk and 100 percent walk-through surveys along the sewer pipeline alignment were jointly undertaken by PMDSC consultants, staff from the office of urban local body and safeguard staff from PMU followed by visual screening on the proposed alignment. The visual screening conducted confirms that there are no permanent/semi- permanent structures and common property resources on the pipe/drain ROW. Both visual screening and transect walks confirm that the proposed project impacts are temporary in nature. The walk-through survey identified 20 roadside shopkeepers and vendors (106 household members) are anticipated to face temporary income loss due to access disruption during the construction period at Mall Road (from Alka Hotel downwards), and Tallital area (Nainital-Haldwani Road). The majority of affected entities are roadside permanent shops, run by owners themselves or taken on rent. It is proposed that small pits will be excavated at almost every 100 meters for laying of sewer pipes, to minimize traffic disruptions and inconvenience to local people, shopkeepers and tourists. The vendors will be helped by the DBO contractor to shift to a suitable location within 50-60 m from their original place of business, such that they can continue to undertake their livelihood activities. After the construction work is complete, the vendors will be allowed and will be assisted by the contractor to come back to their original place. The pit locations will be identified by the design build and operate Contractor (DBO) on finalization of detail design, following which detail measurement survey (DMS) will be conducted. Involuntary resettlement impact for temporary loss of income due to access disruption will be further assessed during DMS and the resettlement plan will be accordingly updated. The affected shop owners and vendor identified based on preliminary design will be revalidated during DMS, and those found to be impacted will be eligible to receive compensation as per entitlement matrix.

39. There are no structures (either temporary or permanent) or common property resources (CPRs) on the proposed pipe/drain right of way. During preparation of the resettlement plan transect walks conducted along the proposed alignment have confirmed that no commercial establishments, permanent shops along the route will be impacted.

40. Following the transect walks, survey of affected businesses was carried out to determine the impact on shops and businesses. Identification of the affected persons were undertaken by 100 percent walk-through survey of trunk sewer pipeline, and collection of information (anticipated business loss and relevant socio-economic details) from all affected businesses along the entire proposed pipe length. Based on this exercise, a total of 20 roadside shopkeepers, and vendors , with 106 household members are anticipated to face temporary income loss due to access disruption during the construction period.

<sup>6</sup> Category of roads: High Density Roads – National Highways, State Highways and major district roads with commercial structures, marketplaces along the roadside; Medium Density Roads – Public Works Department (PWD) roads, roads under Nagar Nigam (Municipal Corporation) joining to colonies and there are commercial and residential areas along the road; Low Density Roads – These are sub-arterial intra-colony roads, with no commercial zone or activities along the road. (Definition as provided by Design and Supervision Consultants).

**Table 4: Number of Affected Persons Identified Along the Sewer Pipeline through Transect Walk**

Sl. No	Location	Number of affected shops and entities	Affected Population
1	Mall Road Area (from Alka Hotel downwards)	5	19
2	Tallital Are (Nainital-Haldwani Road)	15	87
	<b>Total</b>	<b>20</b>	<b>106</b>

Source: Transect walk, Walk-through survey, PMDSC-UUSDIP, June 2020

41. As the road along the Naini lake is busy and walking area for the locals and tourists, to minimize impacts, sewer pipelines are proposed to be laid through trenchless method. The PUM, UIRUDP will obtain an objection certificate (NOC) from the National Highway Authority of India and Nainital Municipal Corporation for pipeline laying works.

42. **Construction of Manholes:** The project proposes to construct 150 manholes, mostly in-situ along the trunk sewer network within the ROW of government roads. No land acquisition or involuntary resettlement impacts due to construction of manholes are assessed.

43. **House Sewer Connection:** Household sewer connections along the existing trunk sewer are proposed to be linked with the new trunk sewer line. Sewer house service connection up to property chambers are proposed for about 500 houses. House connections will be provided through a chamber constructed inside the property line and another chamber outside the property line. No land acquisition or involuntary resettlement impacts are assessed due to house service connections.

44. **Pre-fabricated Sewage Treatment Plants.** Five pre-fabricated STPs of 20/40 KLD will be installed in government premises with an objective to reuse the treated sewage and reduce the fresh water requirements. Land requirement for the 20 KLD and 40 KLD STPs are 40 m<sup>2</sup> and 80 m<sup>2</sup> respectively. The identified land areas within the premises of government offices are vacant and not in use. The pre-fabricated STPs will be installed at:

- (i) High Court Building Complex
- (ii) PWD guest house
- (iii) Forest Staff quarter
- (iv) Polytechnic college
- (v) Raj Bhawan Complex (Governor's House)

45. UIRUDP has applied for NOC from the respective above-mentioned departments, except for Raj Bhawan Complex. The letters are appended in Appendix 4. On Obtaining the NOCs, the same will be appended to the resettlement plan document.



**Figure 7: Proposed Land for Pre-fabricated STP at PWD Guest House**



Source: Project Management Unit, UIRUDP and Project Management and Design Supervision Consultants

**Figure 8: Proposed Land for Pre-fabricated STP at Forest Staff Quater**



Source: Project Management Unit, UIRUDP and Project Management and Design Supervision Consultants

46. A component-wise summary of involuntary resettlement impacts under the project is consolidated in Table 5.

**Table 5: Component-wise Summary of Involuntary Resettlement Impacts**

Sl. No.	Component	Description	Location	Land Ownership	Involuntary Resettlement Impacts
Sewerage System					

Sl. No.	Component	Description	Location	Land Ownership	Involuntary Resettlement Impacts
1.	Construction of Sewage Treatment Plant (STP)	18 MLD with SBR technology	Russi village	Pey Jal Nigam, Govt. of Uttarakhand	No land acquisition or involuntary resettlement impact is envisaged. The new STP will be constructed on the available land of old 10 MLD STP (which is in defunct condition).
2.	Laying of Trunk Sewer and Sewer Network Pipelines	4 km	Within project area	ROW of NHAI, and Nainital Nagar Nigam	Involuntary resettlement impact assessed. 20 road side temporary shops and vendors will lose temporary access and temporary income loss due to access disruption.
3.	Construction of Manholes	150	Within project area	ROW of Nainital Nagar Nigam roads	No land acquisition or involuntary resettlement impacts are envisaged.
4.	House Sewer Connection	500 house connections	-	-	No land acquisition or involuntary resettlement impacts are envisaged.
5.	Pre-fabricated Sewage Treatment Plants	5 numbers 20/40 KLD	High Court Building Complex, PWD guest house, Forest Staff quarter, Polytechnic college, & Raj Bhawan Complex (Governor's House)	Concerned department of Government of Uttarakhand	No land acquisition or involuntary resettlement impacts are envisaged. No impact on existing structures is envisaged at all the five locations.
<b>Fecal Sludge Septage Management (FSSM)</b>					
5.	Community based septic tanks and soak pits	Proposed for 20/50/100 households	Within project area	-	The exact locations of these components will be identified by the DBO contractor during detailed design. Land acquisition and involuntary
<b>Storm Water Drainage</b>					
6.	Construction of Storm Water Drains	15 km	Secondary municipal roads within project area	ROW of DNN roads	No land acquisition or involuntary resettlement impacts are envisaged.

Sl. No.	Component	Description	Location	Land Ownership	Involuntary Resettlement Impacts
7.	Outfall structures	57 outfalls	Different nalas, and Song River	Department of Irrigation, Government of Uttarakhand and DNN	No land acquisition or involuntary resettlement impacts are envisaged.
<b>Climate Adaptation Measures</b>					
8.	Rainwater harvesting structure nos. and Groundwater recharge pits – 6 nos.	Each structure will require 10 m <sup>2</sup> Each pit will require 5 m <sup>2</sup>	Public parks and Primary/ Upper Primary School within project area	Department of Education, Government of Uttarakhand and DNN	No land acquisition or involuntary resettlement impacts is envisaged.

47. To avoid and mitigate income loss to the roadside shops and vendor at Mall road and Tallital area due to construction of sewer pipelines, it is suggested that the work be carried out at night time (11 PM to 4 AM) and during weekly holidays. For trenchless pipeline laying pit locations should be selected at such locations where impacts are minimal. In case of access disruption to business activities, the contractor will provide assistance to move to nearby places and through provision of planks etc. In case impact avoidance is impossible, the affected persons will be compensated as per entitlement matrix based on the actual duration of construction work and exact nature of impact.

48. The DBO contractor may consider adopting best engineering and construction practices to be implemented, as like construction of the roads side storm water drainage (in the selected roads stretches) along with the sewer line laying works, to minimize the period of disruption to the livelihood of the affected persons and general public. The contract document for the DBO may contain suggestions to consider precast drains also.

49. A final assessment of impacts will be undertaken along each site/road section based on the detailed engineering design, when exact pipe alignments are known. A detailed measurement survey (DMS) will be conducted to update and finalize the resettlement plan accordingly. Rigour in data collection and consultations with local people will be required to ensure that all affected persons eligible for compensation are identified. Summary of Involuntary resettlement impacts is provided in Table 6.

**Table 6: Summary of Involuntary Resettlement Impact Summary of Involuntary Resettlement Impact**

Sl. No.	Details	Number of Affected Persons	Remarks
1.	Permanent land acquisition	None	The STP will be constructed on land parcel under the ownership of Uttarakhand Pey Jal Nigam, Nainital and the PUM has obtained NOC for the same; 3.79 acres of land is required for the STP. No impact due to involuntary acquisition will take place.

Sl. No.	Details	Number of Affected Persons	Remarks
2.	Structure loss	None	Structures have not been identified at the STP location or on the edge of the roads, that may be impacted during laying of sewer pipelines.
3.	Permanent and significant livelihood impact (land owners)	None	Nil
4.	Loss of crops / trees (planted by non-titleholders)	None	Nil
5.	Permanent loss of livelihood	None	Nil
6.	Temporary access disruption	20	Temporary access disruption for maximum of 26 working days for laying of sewer pipelines in each stretch. 20 roadside shopkeepers and vendors, with 106 household members, are anticipated to face temporary access disruption during the construction period at Mall Road and Tallital area.
7.	Potential temporary income loss to employees <sup>6</sup> of affected Businesses	None	Based on the walk-through and socio-economic survey, it is assessed that the affected business entities are managed by the owners themselves. There are no employees engaged with these affected entities.
8.	Temporary impacts (income loss)	20	Temporary income loss for 26 working days anticipated. Impact to the 20 roadside shopkeepers and vendors (106 household members) (same as serial number 6), will occur when sewer pipelines will be laid through Mall Road and Tallital area. Efforts may be made in detailed design stage to avoid the temporary impact on income loss of the shop owners with proper mitigation measures and also to minimize the impact duration. The business owners running their business from temporary bamboo and tarpaulin structures will receive additional assistance for dismantling and re-assembling shops such structures (at original place).
9.	Vulnerability <sup>7</sup>	1	One affected person belonging to scheduled caste (SC) category
10.	Affected Indigenous People	None	No indigenous people, groups or communities are present in project areas.

Source: Transect walk and income loss survey June 2020, Dehradun

<sup>7</sup> The Project UIRUDP considers the following as Vulnerable: households / groups comprise of those living below the poverty line, elderly headed households, women headed households, scheduled castes, scheduled tribes, other backward classes, disabled-headed household, landless and those without legal title to land, and transgender people.

## B. Indigenous People

50. **Indigenous People:** Based on field visits and consultations conducted so far, no impacts to indigenous peoples are anticipated under the project. None of the potentially affected persons (temporary loss of livelihood) identified during the community consultations held at the time of transect walk and socio-economic survey, belong to indigenous people groups. As per ADB SPS, indigenous people safeguards are triggered if a project directly or indirectly affects the dignity, human rights, livelihood systems, or culture of indigenous peoples or affects the territories or natural or cultural resources that indigenous peoples own, use, occupy, or claim as their ancestral domain; no such impacts are anticipated in project area. Nainital has 0.79%<sup>8</sup> tribal population (as per Census 2011) classified as scheduled tribe; however, this population is scattered (does not stay in cohesive tribal communities/tribal groups), is well assimilated in urban society and does not retain the defining characteristics of scheduled tribes including primitive traits, distinctive culture, shyness, geographical isolation and social and economic backwardness. Dehradun does not fall in a scheduled area, and no particularly vulnerable tribal groups are reported in project areas. Hence, in consideration of all of the above, no Indigenous Peoples Plan is required for this project.

## III. SOCIO-ECONOMIC INFORMATION AND PROFILE

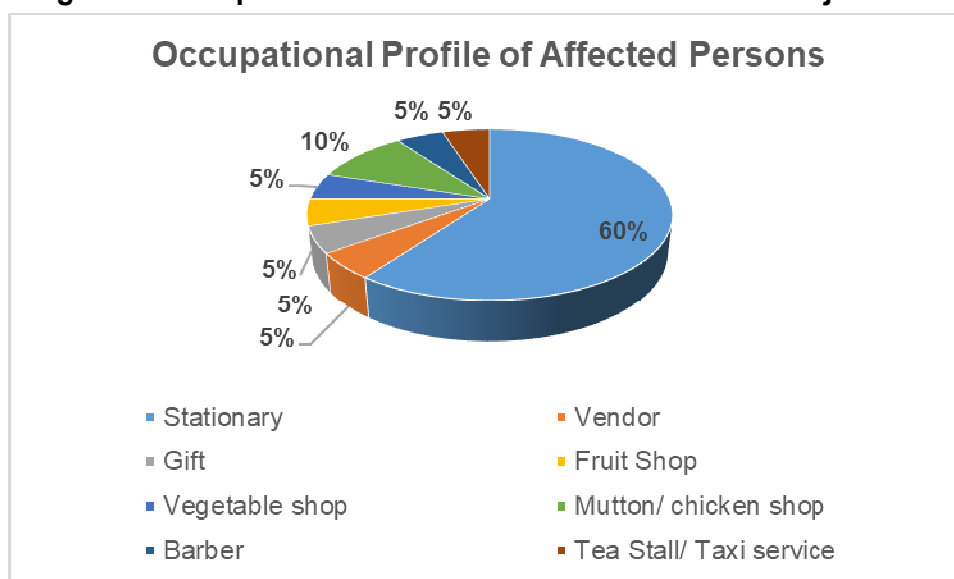
51. The following section presents socio-economic profile of households likely to be affected by the proposed works. Findings presented here are based on information collected from 20 affected persons (temporary income loss), having 106 household members identified during walk-through survey along the sewer pipeline alignment, including one vulnerable affected family. The survey provides information on the socio-economic conditions of affected households based on preliminary design. The roadside shops and a vendor, (20 affected business entities) may be impacted for temporary loss of income due to access disruption during the period of pipeline laying; no structure loss is anticipated. A wide range of data including, social category, type of losses, type of occupation, sources of income, have been collected for social-economic profiling of the affected person. Summary profile of affected persons with photographs are presented in Appendix 5. Location wise number of affected persons are presented in Table 4.

52. **Demographic Details:** Walk-through survey identified 20 roadside business owners having 106 household members / population (female: 54 and male: 52) who will be potentially impacted due to laying of sewer pipelines. Average family size of the affected households is 5.3. The socio-economic survey undertaken has identified one woman affected person<sup>9</sup> running fruit and vegetable shop.

53. **Occupation Profile:** Based on socio-economic information collected during the survey it is assessed 60 percent (12 affected persons) of the affected persons have stationary shops, 10 percent (02 affected persons) of them have mutton and chicken shop, and rest have vegetable shop, fruit shop, tea stall and taxi service, barber shop, gift shop and one vendor selling tea. (Figure 9).

<sup>8</sup> As per Census 2011 reports, total population of urban Nainital is 371,734 out of which 1715 are scheduled tribe population by residence. [https://censusindia.gov.in/2011census/dchb/0511\\_PART\\_A\\_DCHB\\_NAINITAL.pdf](https://censusindia.gov.in/2011census/dchb/0511_PART_A_DCHB_NAINITAL.pdf)

<sup>9</sup> Her son is the head of household, therefore, she is not considered as WHH.

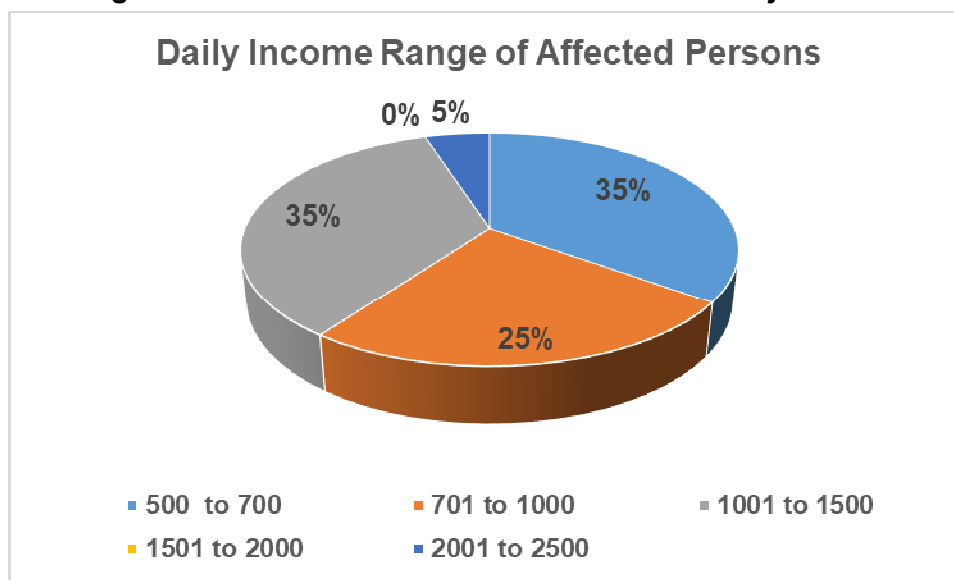
**Figure 9: Occupational Profile of Affected Persons in Project Area**

Source: Income loss survey, June 2020

54. **Income Profile:** About 35 percent of the affected persons have net daily income between ₹500-700 per day, 25 percent have income ranging between ₹701-1000 per day, 35 percent of the households have income of ₹1001- 1500 per day, and 5 percent (one affected person) reportedly have income of ₹2200 per day. The average net daily income is calculated as ₹947.50.<sup>10</sup> Refer Figure 10 for pie-chart representation of income level of affected person in project area. Labor wage rates as per Government of Uttarakhand notification is presented in Appendix 9.

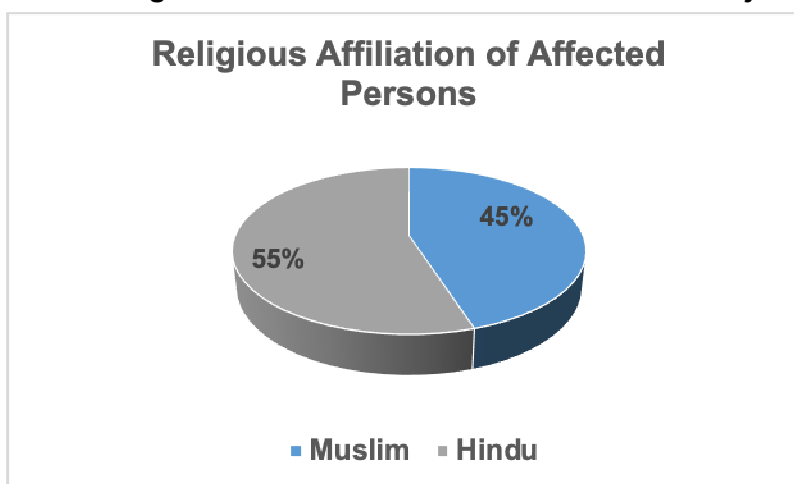
<sup>10</sup> The average net income is calculated based on the daily net income reported by 20 affected persons during income loss survey, presented in Appendix 5.

As per a report published by the Planning Commission, Government of India, the state-specific poverty line for Uttarakhand in 2011-2012 was ₹1082 per capita per month for urban areas (Press Note on Poverty Estimates 2011-12, Government of India, Planning Commission, July 2013). On adjusting for inflation, the poverty line in 2021 is estimated as ₹1828 per capita per month in urban areas.

**Figure 10: Income level of Affected Person in Project Area**

Source: Income loss survey, June 2020

55. **Religious Affiliation and Caste Profile:** Socio-economic survey indicated that 45 percent of the affected persons are Muslims and 55 percent are Hindus. All the affected persons belong to general category, except one Scheduled Caste (SC). Religious profile of affected person in project area is represented in Figure 11.

**Figure 11: Religious Affiliation of Affected Persons in Project Area**

Source: Income loss survey, Raipur Area 2020

**Table 7: Summary Profile of Affected Persons**

Impact	Number of affected persons / Quantity
<b>1. Loss of land</b>	
Permanent land acquisition	All the project components will be constructed within the ROW of government land (STP on Uttarakhand Pey Jal Nigam land) and trunk sewer pipeline through roads under the ownership of National Highway Authority, and Nainital Municipal Corporation; the pre-
Temporary land acquisition	

Impact	Number of affected persons / Quantity
	fabricated STPs on the premises of the respective government offices.
<b>2. Loss of structures/permanent relocation</b>	
Residential	No permanent or temporary, residential or commercial structure loss is envisaged. <sup>11</sup>
Commercial	
<b>3. Loss of livelihood</b>	
Permanent	Nil
<b>4. Temporary Impact</b>	
Total No. of temporarily affected shop and other entities	20 – road-side shopkeepers and vendors, with 106 household members
Employees in the temporarily affected shops/businesses	Nil
Number of women affected persons	1
Average income/day (shops)	₹947.50 per day (Daily net income ranges from ₹ 550- 2200 per day)
<b>5.Vulnerable affected persons (facing temporary impact)</b>	01 (Scheduled Caste)
Scheduled Tribe	Nil

Source: Income loss survey, transect walks, technical documents and analysis, June 2020

Note: SC=Scheduled Caste, BPL= Below Poverty Line, WHH= Women Headed Household, STP = Sewage Treatment Plant

## IV. CONSULTATION, PARTICIPATION AND DISCLOSURE

### A. Public Consultation

56. The draft resettlement plan preparation involved meaningful consultations<sup>12</sup> with stakeholders. The key stakeholders consulted during resettlement plan preparation include (i) affected persons, including vulnerable households; (ii) program beneficiaries; (iii) elected representatives, community leaders, and representatives of community- based organizations; (iv) local NGOs; (v) local government and relevant government agency representatives; and (vi) Program staff, PMU, PIU, and consultants. Project site visit was undertaken when COVID-19 restrictions were relaxed in the state while maintaining COVID-19 safety protocols by the project authorities and the design consultants to the project locations. One-to-one consultations were undertaken with affected persons and stakeholders in addition to small group meetings of 4-5 persons to understand their perception and to disseminate information. Meetings and individual

<sup>11</sup> In the Engineers estimate provision of utility shifting and repair of minor structures has been proposed under provisional sum of DBO contract.

<sup>12</sup> ADB SPS requires meaningful consultation to be a process that (i) begins early in the project preparation stage and is carried out on as an ongoing process throughout the project cycle;(ii)provides timely disclosure of relevant and adequate information that is understandable and readily accessible to affected people;(iii) is undertaken in an atmosphere free of any socio-economic and cultural etc. pressure ; (iv) is gender inclusive and responsive, and is responsive to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of affected people and other stake holders into decision making, such as project design, mitigation measures, the sharing of development benefits and opportunities, and implementation issues.



interviews were held involving stakeholders particularly, potentially temporarily affected persons; and transect walks, survey and interviews were conducted to determine the potential impacts of project. During meetings, stakeholders were briefed about the technical details of project and project implementation cycle; project benefits as well as adverse impacts envisaged during construction; environmental and social safeguards, gender inclusion, community participation aspects built into the project etc. Consultations covered issues such as awareness and scope of the project components, benefits of project, envisaged impacts such as traffic disruptions and temporary loss of income. It was informed to surveyed affected persons that appropriate measures will be undertaken during construction to minimize impacts (including scheduling of activities and reducing construction activities during the rush hour). It was also informed that, if despite mitigation measures, there would be any temporary impacts on livelihood; these would be compensated in accordance with the agreed entitlement matrix. Further consultations including focus group discussions (FGDs) and structured census surveys will also be carried out before project implementation and consultations will continue throughout project implementation. A Survey and Consultation Safety Protocol on COVID-19 has been prepared for the project and is being strictly followed and will continue to be followed during the project implementation period. Details of consultation and photographs are attached in Appendix 6. List of public consultations conducted for preparation of the draft resettlement plan is provided in Table 8. Continuous public consultation will be carried out by the PMU, PIU officials, Consultants and Contractors throughout the project cycle.

**Table 8: List of Public Consultations Held in Project Area**

Sl. No.	Date	Location	Total participants	Female participants
1	6 <sup>th</sup> January, 2020	Nagar Nigam, Haldwani	6	01
2	13 <sup>th</sup> January, 2020	Roadways stand and Upper mall road	9	4
3	03 <sup>rd</sup> January, 2021	Malla krishnapur, Hanuman-Gadhi	13	5
<b>Total</b>			<b>28</b>	<b>10</b>

## **B. Information Disclosure**

57. This draft Resettlement Plan and the final resettlement plan approved by ADB will be duly uploaded in ADB and government of Uttarakhand's websites. Project information will be disclosed to affected persons in a form and language easily understood by them, in accordance with ADB's Access to Information Policy 2018. Prior to implementation of the project, the draft resettlement plan will also be updated. The final resettlement plan will be available in key local/state government offices. During the project implementation, construction schedules will be informed to all residents (including affected persons) prior to the commencement of any construction activities specially laying of sewer pipelines through signboards. The signboards will be placed on the construction site in local language and will include the information like: (i) start and end dates, (ii) section to be affected, (iii) information on traffic diversions, and (iv) contact information for questions / grievances, (v) name of the project and details of the Implementation Agency.

58. During revised resettlement plan preparation, PMU/PIU will ensure to issue public notices. For the purpose of temporary impacts, the final detailed measurement and census survey date will be considered as cut-off date for the project. Cut-off-date for temporary impacts

will be communicated to affected persons by PMU/PIU with support of community awareness and public agency (CAPP), helping to organise awareness campaigns, meetings in the entire affected area at the start of the census survey and also by putting up printed information in project affected area at some common place having possibility of wider advertisement of the information. Similarly, list of affected persons will be put as notice for the general public at common places with relevant information like contact details of PIU and PMU. The list will be displayed, area wise and at the same time for the entire project area. This will help in identification of affected persons specifically those moving into a new area during project planning and implementation phase. Respective town level PIUs will facilitate affected persons to have access to lists in their area and resolve issues around any duplication, missing/absentee person from the list. Information related to project and entitlements, cut-off-date, grievance redress mechanism will be disclosed to community and affected population in local language (Hindi). A sample template for Project Summary Leaflet is provided in Appendix 7.

59. The PMU/ PIU will ensure that meaningful consultation and disclosure process continues during the construction period. The project management and design supervision consultant (PMDSC) will conduct training of contractors (engineers other supervisory as well as safeguards staff). The PMU, and with the support of CAPP, will design and conduct a public awareness campaign during project implementation with the support of ULB. Community Awareness and Public Participation Agency will be deployed for preparation and implementation of community awareness activities. The Community based organisations and other formal-informal Community groups will be consulted and made aware of the scope of work and other project activities, anticipated impacts and mitigation measures, grievance registration, redressal process and contact details of PIU/ PMU personnel prior to construction.

## **V. GRIEVANCE REDRESSAL MECHANISM**

### **A. Grievance Redress Mechanism**

60. A project-specific, grievance redress mechanism (GRM) will be established to receive, evaluate and facilitate resolution of both social and environment related concerns raised by the affected persons, communities and other stakeholders during project implementation. GRM aims to provide a time-bound and transparent mechanism to voice and resolve complaints/grievances of the project stakeholders. Assessment of the GRM designed and implemented for Uttarakhand Urban Sector Development Investment Program (UUSDIP)<sup>13</sup> shows that the system was effective in timely resolution of grievances in a transparent

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<sup>13</sup> The procedures followed for grievance redress during implementation of UUSDIP Loan 1 and 2 included the project level GRM, including providing toll free number for grievance registering, Samadhan ([www.samadhan.uk.gov.in](http://www.samadhan.uk.gov.in)), portal of Government of Uttarakhand and the Chief Minister's helpline. Complaints received through various channels were mostly minor and pertained to damage to existing water supply pipelines and disruption of water supply during construction, delays in road restoration, pending new connections and increase in Noise and dust levels. Complaints related to damage to private property (compound walls/steps, etc.) were less in number. The grievances were resolved in coordination with the contractors. Complaints received were immediately referred by the Consultation and Participation Agency (CAPA)/ design and supervision consultant (DSC) supervision staff to the Implementing Project Implementation Unit (IPIU) Nodal officer (safeguards) and concerned engineer at IPIU, who advised them on further action. Follow up with the contractor on complaint resolution was undertaken by IPIU Nodal officer CAPA; and DSC and final feedback sought from complainant upon resolution. Complaints requiring inter-departmental coordination were referred to the implementing PMU (IPMU) for resolution, and feedback provided to complainant. The IPMU kept regular track of grievances through WhatsApp and email also with respective PIUs, ensuring registration and follow-up till its successful resolution.

manner.<sup>14</sup> The multichannel, project-specific, three-tier GRM is functional at UUSDIP, hence the design of GRM for UUSDIP2 takes into account the proposed institutional structure for UIRUDP<sup>15</sup> and the positive features and learning from the previous GRM.

61. **Common GRM** - A common GRM will be in place for social, environmental, or any other grievances related to the project. Implementation of the resettlement plans/ initial environmental examination (IEEs) will follow the GRM described below. The GRM will provide an accessible and trusted platform for receiving and facilitating resolution of affected persons' grievances related to the project.

62. The grievance redress mechanism will provide an accessible, inclusive, gender-sensitive and culturally appropriate platform for receiving and facilitating resolution of affected persons' grievances related to the project. The construction works under the project will be carried-out along inhabited areas, therefore, it is anticipated that it may lead to some disturbance and inconvenience to local people. In order to provide a direct channel to the affected persons and stakeholders for approaching project authorities and have their grievance registered and redressed in an appropriate time frame, PMU will establish a Grievance Redress Mechanism, which will be functional throughout the project period.

63. A Complaint receiving system will be put in place at each site with the help of Community Awareness and Public Participation Agency (CAPPA). A Complaint Register and Complaint Forms will be made available at the site office of each contractor, with a display board indicating availability of such facility.

64. Public awareness campaigns within entire ULB/Municipal area will ensure that awareness on grievance redress procedures is generated. The nodal officer- social/environment at field level through Community Awareness and Public Participation Agency (CAPPA) will conduct ULB/Municipal area-based awareness campaigns to ensure that poor and vulnerable households are made aware of grievance redress procedures and entitlements. Contractors will provide leaflets to communities prior to start of works and put-up billboards during construction mentioning details of the project work. The pamphlets and billboards will include relevant environmental and social safeguards, GRM information, and contact details of key personnel from PIU and contractors.

65. Affected persons will have the flexibility of conveying grievances/suggestions by dropping grievance redress/suggestion forms in complaint/suggestion boxes that will be installed by project PIUs or by e-mail, by post, or by writing in a complaint register in ULB

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<sup>14</sup> Town-level grievance registration data at PIU level indicates that a large number of grievances were registered, pointing to the effectiveness of the multi-channel GRM. No major grievance was received for both the phases of UUSDIP. The GRM helped smoothen the process of project implementation, hence the proposed architecture for the UUDP GRM remains similar, with some refinement, taking into account the changes in institutional setup proposed for project implementation.

<sup>15</sup> Logistics support at field level will be key to successful management of grievance redress under UUDP. The target date for establishment of the first level (Field/PIU level) and second level (PMU level) of GRM is before loan negotiation. For UUSDIP billboards were used to inform communities about the filing process, and community mobilizers supported creating a continuous consultation process. Pamphlets were distributed, and community consent was obtained before the commencement of work. Stakeholders were able to file their grievances through a toll-free number (which do not exist now); a new toll-free number will be place for UIRUDP. Grievances can also be uploaded in UUSDA website at: <https://www.uusdip.org/grievance.php> (which is still functional). Logistics support at field level will be key to successful management of grievance redress under UUDP. The target date for establishment of the first level (PIU level) and second level (Zonal level) of GRM is before loan negotiation.

offices/complaints register at contractor's work site. Appendix 8 has the sample grievance registration form. Careful documentation of the name of the complainant, date of receipt of the complaint, address/contact details of the person, location of the problem area, and how the problem was resolved will be undertaken and feedback provided to the complainant on action/decision taken. The Social and Environmental Safeguard Nodal Officers of town/city level PIU will have the overall responsibility for timely grievance redressal on environmental and social safeguards issues and for registration of grievances, related disclosure, with the assistance of project consultants. In case of grievances that are immediate and urgent in the perception of the complainant, the contractor, and officials of PIU with assistance from CAPPAs on-site will provide the most easily accessible or first level of contact for quick resolution of grievances. Contact numbers and names of the concerned PIU safeguard and safety officer, EHS Supervisors of contractors, CAPPAs and SDGO/EO will be posted at visible locations.

## **B. Grievance Redress Process**

66. Grievances received during public outreach programs and consultations by CAPPAs will be brought to the notice of concerned PIU and formally registered. Grievances not redressed at field/PIU level and PMU level will be brought to grievance redress committee (GRC). The Town Level Committees (TLC) set up to monitor project implementation in each town will be the members of GRC. The proposed GRC will be gender inclusive and will have civil society representation. The grievance redress committee (GRC) is chaired by the Chairman of TLC (Mayors or Chairpersons). The members of TLC are as follows:

- (i) Mayor or Chairperson as chair;
- (ii) Municipal Commissioner or Executive Officer as member;
- (iii) Concern Line Agency representatives as member;
- (iv) NGO and Civil Society Organization as member; and
- (v) Executive Engineer of Town PIU as member secretary.

67. The GRC, including TLC members will meet every month (if grievances are brought to the Committee), determine the merit of each grievance, and resolve grievances within a month of receiving the complaint. This will accept complaints regarding the social safeguard issues in implementation of the project. The grievances received and actions taken will be included into the environmental and social monitoring reports submitted to ADB. The following 3-stage process will be followed in grievance redress:

68. **First Level Grievance (Field/PIU level):** Complaints received (written or oral communication) will be registered in Complaint Register assigning complaint number with date of receipt, name of complainant, address/contact number of complainants. The PIU/ PMDSC will review the complaint and direct the Contractor for necessary action (will try to resolve the issue within 7 days from the date of receipt of complaint); depending on the type/nature of complaint the Contractor will be given reasonable time for corrective action; the CAPPAs will inform the complainant, within 24 hours, the time frame in which the corrective action will be communicated by e-mail or text message or telephonically; if the grievance referred will not fall under the purview of the project/program, the same will be intimated to the complainant; Contractor will take corrective action or as directed by PMDSC; the CAPPAs in coordination with PMDSC will conduct the site visit to check the action taken and its appropriateness. The action taken will be documented in the Complaint Register, and the complaint will be closed if it is satisfactorily addressed, and the complainant will be informed through website/e-

mail/telephonically. The responsible persons for field/PIU level<sup>16</sup> grievance redress are as follows:

- (i) Social and Gender Officers (SGO) and Assistant Environmental Officers (AEO), PIUs;
- (ii) Social, Gender and Resettlement and Environmental Experts, Engineers (if required), PMDSC;
- (iii) Contractor representative (EHS Supervisor);
- (iv) CAPP;A;
- (v) Municipal Ward Member (if required)

69. **Second Level Grievance (PMU level):** In case of no satisfactory action in 1<sup>st</sup> level, the complainant can approach PMU level grievance redress for necessary action; CAPP;A will assist the complainant in doing so. Grievance redress team at PMU level with the assistance of PMDSC will initiate action and take the corrective measures as required, and CAPP;A will intimate the complainant about the action taken; and upon satisfaction of complainant, the case will be closed and marked as resolved within 15 days of receipt of compliance/grievance. The responsible persons for PMU level grievance redress are as follows:

- (i) Deputy Program Director 1, responsible for project, GESI and safeguard implementation;
- (ii) Social Development and Gender Officer (SDGO);
- (iii) Environmental officer (EO);
- (iv) Information, Education and Communication Officer (IECO);
- (v) Social, Gender and Resettlement Experts (SGREs) and Environmental Experts, Engineers (if required), PMDSC; and
- (vi) CAPP;A.

70. **Third Level Grievance (GRC):** If complainant is not satisfied with the action made or due to noncompliance of grievance at Level 2, the complainant can approach the Grievance Redress Committee (it is expected that the grievance will be redressed within 7 days<sup>17</sup> from date of receipt). The GRC will comprise of the following members:

- (i) Town Level Committee (Dehradun/Nainital), chaired by respective Chairperson/Mayor of the particular town;
- (ii) Program Director, UIRUDP;
- (iii) Additional Program Director (APD) Technical, UIRUDP;
- (iv) DPD 1;
- (v) Social Development and Gender Officer (SDGO);
- (vi) Environmental Officer (EO);
- (vii) PMDSC (Environment and SGRE Experts);
- (viii) Women Members of Civil Society under TLC;
- (ix) Elected Representative (if required); and
- (x) CAPP;A

<sup>16</sup> It is suggested for each PIU to have a dedicated WhatsApp helpline number for registration of grievances and receipt of quick feedback, to be followed by more formal communication. The complainant can interact directly with the PIU office and get one-to-one guidance and help. Project contractors in all project towns will have a toll-free number with specific working hours for registration of grievances related to UIRUDP.

<sup>17</sup> Given the challenging times (due to COVID-19), an additional 7 days time-period would be given to each level to resolve the complaints/grievances.

71. **Grievance Redress Committee.** The grievance redress committee (GRC) will address both social safeguard and environment issues. The Town Level Committee (TLC)<sup>18</sup> would be chaired by Mayor of Dehradun Municipal Corporation or Nainital Municipal Corporation (as the case may require) and will have the member from civil society (preferably a woman representative), local elected representatives, engineers from UJS/UJN/Irrigation Department and any other concerned line department officials (Forrest Department). Grievances related to social and environmental safeguards will be handled by GRC through periodic meetings. The PMU Social Development and Gender Officer (SGDO), Environment Officer, experts from PMDSC and CAPPA will assist the PD, UIRUDP, APD, UIRUDP and other members of GRC, in facilitating smooth functioning of GRM and timely resolving the complaints/grievances.

72. **Court of Law:** Under the project specific GRM, an aggrieved person shall have access to the country's legal system at any stage and accessing the country's legal system can run parallel to accessing the GRM and is not dependent on the negative outcome of the GRM. In case of grievance related to land acquisition, resettlement and rehabilitation, the affected persons will have to approach a legal body/court specially proposed under the RFCTLARRA, 2013.<sup>19</sup> However, as none of the impacts are complex, long-term or significant in nature, it is unlikely that there will be any unresolved issues after the first three stages. The PMU will submit RP/EMP/SEMP implementation report to ADB's review and will ensure that affected persons will receive compensation and other assistances as per EM prior to impact / displacement and before commencement of civil works. The issues relating to environment will be redressed as per the guidance provided in EMP/SEMP.

73. **ADB's Accountability Mechanism.** The People who may /are in future be, adversely affected by the project may submit complaints to ADB's Accountability Mechanism. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-assisted projects can voice, and seek a resolution of their problems, as well as report alleged violations of ADB's operational policies and procedures. Before submitting a complaint to the Accountability Mechanism, affected people should make an effort in good faith to solve their problems by working with the concerned ADB operations department. Only after doing that, and if they are still dissatisfied, should they approach ADB accountability mechanism.<sup>20</sup>

74. **Record-keeping.** The town/city level PIUs will keep records of grievances received, including contact details of complainant, date the complaint was received, nature of grievance, agreed corrective actions and the date these were affected and final outcome in gender segregated manner. The number of grievances recorded and resolved, and the outcomes will be displayed/disclosed in the PMU office, PIU offices, and on the websites, as well as reported in monitoring reports submitted to ADB on a semi-annual basis. The sample Grievance registration format is attached.

75. **Periodic review and documentation of lessons learned.** The PMU safeguard officers (SDGO and EO) will periodically review the GRM functioning at PIU/Construction Contractor

<sup>18</sup> The TLC has been formed at each of the targeted town level for planning and monitoring of work, resolve issues related to departmental coordination etc. It is headed by Commissioner /Executive Officer ULB(Chairman) and Executive Engineer of UJS/UJN, public works department (PWD) and head of PIU acting as Member Secretary.

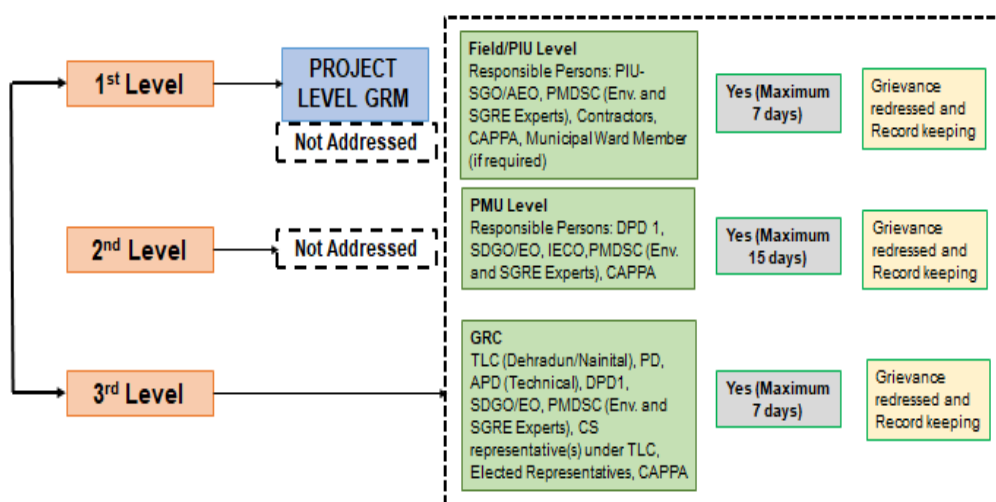
<sup>19</sup> The Authority admits grievances only with reference to the Land Acquisition and R&R issues under the RFCTLARRA, 2013.

<sup>20</sup> Accountability Mechanism. <http://www.adb.org/Accountability-Mechanism/default.asp>.

level and record information on the effectiveness of the mechanism, especially on the project's ability to transparently prevent and address the reported grievances.

76. **Costs.** As part of the EMP cost the Construction Contractors will be allocating budget for pamphlets and billboards and site level grievance registers as per requirement. PIU at town level will bear the costs involved in resolving the complaints (meetings, consultations, communication and reporting/information dissemination) while costs related to further action on intensified grievances will be met by the PMU. GRM structure for UIRUDP is presented in the Figure 12 below.

**Figure 12: Grievance Redress Process for UIRUDP**



AEO = Assistant Environmental Officer; APD = Additional Program Director; CAPPA = Community Awareness and Public Participation Agency; CS = Civil Society DBO = Design Build and Operate Contractor; DPD = Deputy Program Director; EO = Environmental Officer; IECO = Information Education and Communication Officer; PD = Program Director; PIU = Project Implementation Unit; PMDSC = Project Management, Design Supervision Consultant; PMU = Project Management Unit; SDGO = Social Development and Gender Officer, SGO = Social and Gender Officer; SGRE = Social, Gender and Resettlement Expert; TLC = Town Level Committee

## VI. POLICY AND LEGAL FRAMEWORK

77. The policy framework and entitlements for the UIRUDP are based on applicable laws and regulations of the national and state government, the ADB Safeguards Policy Statement (2009). In accordance with:

- (i) The RFCTLARRA 2013,<sup>21</sup> the legal process for the acquisition of the land, if required, shall be initiated by the Executing Agency (EA) through the District Magistrate (DM).
- (ii) ADB's Safeguard Policy Statement (SPS), 2009. The salient features of Government and ADB policies are summarized below. The resettlement principles and procedures to be followed for social safeguards under RSTDSP are detailed out in the resettlement framework document and project implementation shall be carried out in its full compliance.

<sup>21</sup> Ministry of Law and Justice. The Act has received the assent of the President on the 26 September 2013.



**A. Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013**

78. **Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013.** This Act repeals the Land Acquisition Act, 1984 and is applicable to all states in India including Uttarakhand. RFCTLARRA, 2013 is a first national/central law that addresses land acquisition and rehabilitation and resettlement collectively. Establishing of a completely new Act, which was due from a long time, is a pioneering step taken by the Government of India in providing a humane, participative, informed and transparent process for permanent/temporary land acquisition in the public interest. The Act lays down procedures for estimating fair compensation of the affected families (and not just the titleholders) due to land acquisition, rehabilitation and resettlement. The Act prohibits acquisition of multi-cropped irrigated land as a special provision to safeguard food security, unless in exceptional circumstances as a demonstrable last resort. The Governor of the state of Uttarakhand issued a notification (No. 87/XVIII(III)/2016-20(01)/2014, dated February 09, 2016) to confer power on the District Collector to carry out land acquisition as appropriate authority, not exceeding one thousand acres, for public purpose, as per clause (e) of Section 3 of RFCTLARRA, 2013.<sup>22</sup>

**B. The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014**

79. The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014 came into force on 5 March 2014 and seeks to protect the livelihoods of street vendors while regulating street vending. The Act recognizes street vendors of different types including mobile (moving) vendors, stationary (vending from a particular place), natural markets (spaces where buyers and sellers traditionally congregate), vendors with temporary built-up structures, hawkers, peddlers and squatters. It provides for regulation of street vendors, defines the rights and duties of street vendors and requires definition of designated vending zones, issue of certificates of vending and identity cards to street vendors, and proposes vending fees and maintenance charges. Under the Act, each state government is required to define the public purpose for which a street vendor may be evicted and the manner of relocation, manner of giving notice, and provides for a dispute resolution mechanism. As per the Act, planning and regulation of street vending is to be undertaken at town level by the Town Vending Committee. The Act also provides for social audit of the activities of the Town Vending Committee.

**C. The Uttarakhand Street Vendors (Protection of Livelihood and Regulation of Street Vending) Rules, 2016**

80. In exercise of power conferred to state under section 36 of the central act, the state government has framed rules for implementation of the Act in the state. The State rules outlines the following:

- (i) Except in the areas licensed under the rules, no person shall occupy any space in any public place or open land for selling of goods or by parking vehicle and shall not do any vending activity;
- (ii) The Town Vending Committee (TVC) shall identify and demarcate vending zones, places or markets in each Municipality;
- (iii) The TVC may declare areas of importance as 'no vending zone';

<sup>22</sup> Notification issued by the Governor for the state of Uttarakhand on the appropriate authority to carry out land acquisition as per RFCTLARRA, 2013. [https://revenue.uk.gov.in/files/revenue\\_to\\_pdf.PDF](https://revenue.uk.gov.in/files/revenue_to_pdf.PDF)

- (iv) Survey of street vendors every five years;
- (v) TVC will ensure that all enlisted street vendors are accommodated in identified vending zones and are not evicted or relocated till survey specified under section 5 (1) has been completed and a vending licensee is issued;
- (vi) Section 16 (1) of the state rules mentions about prevention of harassment of street vendors who carries the street vending certificate and carries out vending activities as per the terms and conditions specified in the certificate;
- (vii) No street vendor shall be evicted by the local authority from the place specified in the certificate of vending unless he has been given thirty days' notice for the same;
- (viii) The street vendor shall give an undertaking to the TVC, before issuance of certificate, that the person or any member of his/her family shall carry out the vending activity and that the person has no other means of livelihood.

#### **D. ADB Safeguards Policy Statement (2009)**

81. The key involuntary resettlement principles of the ADB Safeguards Policy Statement (2009) are:

- (i) Screening of project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks;
- (ii) Carry out meaningful consultations with affected persons, host communities, and concerned nongovernment organizations. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the affected persons' concerns. Support the social and cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly complex and sensitive, compensation and resettlement decisions should be preceded by a social preparation phase; Improve, or at least restore, the livelihoods of all displaced persons through, (a) land-based resettlement strategies when affected livelihoods are land based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods, (b) prompt replacement of assets with access to assets of equal or higher value, (c) prompt compensation at full replacement cost for assets that cannot be restored, and (d) additional revenues and services through benefit sharing schemes where possible;
- (iii) Provide physically and economically displaced persons with needed assistance, including the following: (a) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities, and extension of project benefits to host communities; (b) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (c) civic infrastructure and community services, as required;

- (iv) Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources, and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing;
- (v) Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status;
- (vi) Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non- land assets;
- (vii) Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule;
- (viii) Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose the final resettlement plan and its updates to affected persons and other stakeholders;
- (ix) Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation;
- (x) Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation; and
- (xi) Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.

## **E. Comparison of National Law and ADB SPS 2009**

82. A detailed policy comparison between ADB's Safeguard Policy Statement, 2009, RFCTLARRA, 2013, the Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014 and the Uttarakhand Street Vendors (Protection of Livelihood and Regulation of Street Vending) Rules, 2016, identified gaps and gap filling measures are given in following Table 9.

**Table 9: Comparison Between LARR Act and ADB SPS and Measures to Bridge the Gaps**

Sl. No.	Involuntary Resettlement Policy Principle	ADB Safeguard Policy Statement	Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013	Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014, and Uttarakhand Street Vendors (Protection of Livelihood and Regulation of Street Vending) Rules, 2016	Measures to Bridge Gaps
1	Screen project	<p>Screen the project to identify past, present and future involuntary resettlement impacts and risks.</p> <p>Conduct survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement</p>	<p>Section 4 (I) it is obligatory for the appropriate Government that intend to acquire land for a public purpose to carry out a social impact assessment (SIA) study in consultation with concerned Panchayat, Municipality or Municipal Corporation, as the case maybe, at village level or ward level in the affected area. The SIA study report shall be made available to the public in the manner prescribed under section 6.</p>	No specific requirement for screening mentioned.	<p>The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act (RFCTLARRA) and ADB Safeguard Policy Statement (SPS) requires to conduct social impact assessment.</p> <p>Gap in screening past, present and future involuntary resettlement impacts and risks. The Project will undertake screening of all projects using the ADB involuntary resettlement checklist, to identify past, present and future involuntary resettlement impacts and risks.</p>
2	Consult stakeholders and establish grievance redress mechanism	<p>Carryout consultations with displaced persons, host communities and concerned Nongovernment organizations (NGOs). Informally displaced persons of their entitlements and resettlement options</p>	<p>Whenever a SIA is required to be prepared under section 4, the appropriate Government shall ensure that a public hearing is held at the affected area, after giving adequate publicity about the date, time and venue for the public hearing, to ascertain the views of the affected families to be recorded and included in the Social Impact Assessment Report.</p> <p>The Land Acquisition Rehabilitation and Resettlement Authority shall be established in each State by the concerned State Government to hear</p>	Section 20 under the central Act 2014, outlines provision of redressal of grievances or resolution of disputes of street vendors.	<p>Gap in establishing a project-level GRM for projects that do not have significant resettlement impacts. The Project will establish project-level GRM.</p>

Sl. No.	Involuntary Resettlement Policy Principle	ADB Safeguard Policy Statement	Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013	Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014, and Uttarakhand Street Vendors (Protection of Livelihood and Regulation of Street Vending) Rules, 2016	Measures to Bridge Gaps
			disputes arising out of projects where land acquisition has been initiated by the State Government or its agencies.		
3	Improve or at least restore, the livelihoods of all displaced, and payment at replacement cost	Improve or restore the livelihoods of all displaced persons through:(i) land-based resettlement strategies; (ii) prompt replacement of assets with access to assets of equal or higher value, (iii) prompt compensation at full replacement cost for assets that cannot be restored, and(iv) additional revenues and services through benefit sharing schemes where possible.	The Deputy Commissioner having determined the market value of the land to be acquired shall calculate the total amount of compensation to be paid to the landowner (whose land has been acquired) by including all assets attached to the land.	No specific requirement related to restoration or improvement of livelihoods mentioned. The Uttarakhand Rules do not allow any person to occupy any space in any public place or open land for selling of goods or by parking vehicle or practicing of any livelihood / vending activity, except in the areas licensed under the rules.	RFCTLARRA does not recognize loss of livelihoods to non-titled users of government land and non-titleholders present on private land for less than three years. This Resettlement Plan and its entitlement matrix ensures compensation against temporary income loss to non-titled business owners on government land. Assets to be compensated at replacement cost without depreciation. The entitlement matrix for this project allows vendors to practice their businesses and return to their original locations to continue their economic activities,
4	Assistance for displaced persons	Provide physically and economically displaced persons with needed assistance	Schedule I, provides market value of the land and value of the assets attached to land. Schedule II provides resettlement and rehabilitation package for landowners and for livelihood losers including landless and special provisions for Scheduled Tribes.	Under Section 18 and Section 20 of the central Act 2014 and the State Rules 2016 respectively mentions that no street vendor shall be evicted by the local authority from the place specified in the certificate of vending unless he has been given thirty days' notice for the same	No gap between ADB SPS and RFCTLARRA. Entitlement Matrix outlines compensation and assistance for affected persons. The Entitlement Matrix includes that the road-side shops and vendors will be provided 30 days advance notice. No eviction is allowed; vendors will be allowed to return to their

Sl. No.	Involuntary Resettlement Policy Principle	ADB Safeguard Policy Statement	Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013	Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014, and Uttarakhand Street Vendors (Protection of Livelihood and Regulation of Street Vending) Rules, 2016	Measures to Bridge Gaps
					original locations to practice their businesses.
5	Improve standard of living of displaced vulnerable groups	Improve the standards of living of the displaced poor and other vulnerable groups, especially those below the poverty line, the landless, the elderly, women, children, indigenous peoples, and those without title to land, to at least national minimum standards	Special provisions are provided for vulnerable groups.	No specific measures for vulnerable groups mentioned.	Entitlement Matrix outlines assistance for vulnerable groups, as defined by ADB policy.
6	Negotiated settlement	Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihoods status	Section 46 of RFCTLARR Act, 2013 permits direct purchase of land and undertaking direct negotiation with the landowner.	Not applicable	To ensure a fair and transparent process, a third-party independent monitor will be hired to certify the process the negotiated purchase was undertaken in a transparent, consistent and equitable manner, without coercion
7	Compensation for nontitle holders	Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets. In the	Schedule II provides benefits to families whose livelihood is primarily dependent on land acquired	No specific provisions.	There is a gap between ADB SPS and RFCTLARRA on compensation and assistance to non-titleholders on government land and those using private land for less than 3 years. Entitlement Matrix outlines compensation and assistance for

Sl. No.	Involuntary Resettlement Policy Principle	ADB Safeguard Policy Statement	Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013	Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014, and Uttarakhand Street Vendors (Protection of Livelihood and Regulation of Street Vending) Rules, 2016	Measures to Bridge Gaps
		rural area, provide them with access to resources. In the urban area, provide them with access to housing.			nontitle holders, including squatters, encroachers, sharecroppers and businesses.
8	Prepare resettlement plan	Prepare are settlement plan/indigenous peoples plan on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.	Preparation of Rehabilitation and Resettlement Scheme including timeline for implementation. Section: 16. (1) and (2). Separate development plans to be prepared. Section 41	No specific rules mentioned.	No gap between ADB SPS and RFCTLARRA. Resettlement plan will be prepared for projects with assessed involuntary resettlement impact.
9	Disclose resettlement plan	Disclose a draft resettlement plan, including documentation of the consultation processing a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to displaced persons and other stakeholders. Disclose the final resettlement plan and its updates to displaced persons and other stakeholders	Under clause 18, the Commissioner shall cause the approved Rehabilitation and Resettlement Scheme to be made available in the local language to the Panchayat, Municipality or Municipal Corporation. As the case maybe, and the offices of the District Commissioner (DC) the Sub- Divisional Magistrate and the Taluka, and shall be published in the affected areas, in such manner as maybe prescribed and uploaded on the website of the appropriate Government.	No specific rules mentioned.	The draft and final resettlement plans will be disclosed to affected persons.
10	Cost of	Include the full costs of	Section 16. (I) Upon the publication of	No specific rules mentioned.	No gap between ADB SPS and



Sl. No.	Involuntary Resettlement Policy Principle	ADB Safeguard Policy Statement	Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013	Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014, and Uttarakhand Street Vendors (Protection of Livelihood and Regulation of Street Vending) Rules, 2016	Measures to Bridge Gaps
	resettlement	measures proposed in the resettlement plan and indigenous peoples plan as part of project's costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation.	the preliminary Notification under sub-section(/) of section II by the Collector, the Administrator for Rehabilitation and Resettlement shall conduct a survey and undertake a census of the affected families, in such manner and within such time as may be Prescribed, which shall include:(a) particulars of lands and immovable properties being acquired of each affected family;(b) livelihoods lost in respect of land losers and landless whose livelihoods are primarily dependent on the lands being acquired;(c) a list of public utilities and Government buildings which are affected or likely to be affected, where resettlement of affected families is involved;(d) details of the amenities and infrastructural facilities which are affected or likely to be affected, where resettlement of affected families is involved; and(e) details of any common property		RFCTLARRA. Cost of resettlement will be covered by the EA.
11	Taking over possession before payment of compensation	Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.	38 (I) The Collector shall take possession of Land after ensuring that full payment of compensation as well as rehabilitation and resettlement entitlements are paid or tendered to the entitled persons within a period of three months for the compensation and a period of six months for the monetary part of rehabilitation and resettlement entitlements listed in the Second Schedule commencing from the	No specific rules mentioned.	No gap between ADB SPS and RFCTLARRA.

Sl. No.	Involuntary Resettlement Policy Principle	ADB Safeguard Policy Statement	Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013	Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014, and Uttarakhand Street Vendors (Protection of Livelihood and Regulation of Street Vending) Rules, 2016	Measures to Bridge Gaps
			date of the award made under section 30.		
12	Monitoring	Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.	48 (I)The Central Government may, whenever necessary for national or inter-State projects, constitute a National Monitoring Committee for reviewing and monitoring the implementation of rehabilitation and resettlement schemes or plans under this Act.	No specific rules mentioned.	RFCTLARRA does not specify the frequency of monitoring. The Project will prepare monitoring reports semi-annually as per ADB SPS.

## VII. ENTITLEMENTS, ASSISTANCE AND BENEFITS

### A. Types of Losses and Affected Person Category

83. The anticipated losses due to the proposed project components under UIRUDP comprise potential temporary income loss to road-side shops and vendor, along the trunk sewer pipeline alignment. The income loss to affected persons will be temporary in nature (loss of daily income for the period of disruption) and is assessed as 26 working days of each affected person. The construction work for laying of pipeline at each pit location on the road, back filling of the excavated earth, is assessed to take minimum 26 working days.

84. As per the ADB SPS 2009, regarding involuntary resettlement in the context of economic impacts, affected persons are those who are economically displaced (loss of productive land, structures, assets, access to assets, income sources, or means of livelihood). Absence of formal and legal title to the land does not bar the affected person from receipt of compensation and resettlement assistance from the project. Vulnerable affected persons are eligible for additional compensation and assistance and are to be accorded priority in employment in project related construction activities.

85. Detailed measurement surveys (DMS) will be conducted for project sites along trunk sewer pipeline, sewer network alignments and stormwater drainage, once the detailed design is finalized. These surveys remain to be conducted before implementation at each stretch of pipeline.

### B. Entitlements

86. All the affected persons will be eligible against compensation for temporary income loss as specified in the entitlement matrix.<sup>23</sup> The affected persons will be entitled to receive compensation for income loss for the period of disruption. For construction activities involving disruption for a period of more than a month, provision of alternative sites for road-side shop owners and vendors for continued economic activities may be provided. In a situation if alternate site to undertaking business activities cannot be provided, transitional allowance based on the net income of the affected business or minimum wage rate for the affected households up to 3 months or the actual period of disruption whichever is more should be provided.

87. For this project, the estimated period of disruption during sewer pipe laying is assessed to be 26 working days (considering the pipeline laying, back filling of earth, road restoration work).<sup>24</sup> In case the period of disruption is more than one month (30 days), the affected persons will be compensated based on the actual number of days of disruption. All affected persons will also be compensated for the time lag (taking into account annual inflation rate) between the time of payment of compensation and the time of survey. 'Shifting assistance' (lump sum ₹ 9000) will be paid to the affected road-side shops and vendors (rest all are permanent shops). All affected persons who are identified as vulnerable will be eligible for special assistance

<sup>23</sup> Temporary income loss to employees of shop owners/vendors, as a loss category was not identified at this stage. However, this cannot be ruled out and will be ascertained during census survey.

<sup>24</sup> The shop owners run their business for 26 days in a month; the shops remain close for one day every week. Therefore, an income loss for 26 is considered for the project. If the disruption period is more than 30 days, then the APs will be compensated based on the actual number of days of disruption.

amounting to ₹30,000 as one-time assistances under temporary impacts for livelihood restoration.

88. **Cut-off-Date.** The title holders are eligible for compensation under RFCTALRRA and the preliminary notification by the competent authority would be the cut-off date as per the law. The final detailed measurement and census survey date will be considered as cut-off date for the project. Any person who purchases or occupies land in the demarcated project area after the cut-off date is not eligible for compensation or resettlement assistance or both. Similarly, fixed assets (such as, built structures, crops, fruit trees, and woodlots) established after this date or an alternative mutually agreed on date, will not be compensated.

89. UIRUDP will document and disseminate the cut-off date information throughout the project area. The survey presented in this draft Resettlement Plan will be revised based on detailed design, and the need for additional surveys has already been identified.

90. Affected persons will be intimated in advance before 30 days to ensure no or minimal disruption in livelihood. If required, if requested/required they will also be assisted to temporarily shift for continued economic activity. For example, they will be assisted to shift to the other side of the road where there is no construction work, shifting to new location will be facilitated by PIU. It should be ensured by the contractor that access will be provided during subproject construction.

91. When the work will be undertaken on one side of the road and temporarily affected persons will be facilitated to move to the other side of the road, where there is no construction activity. The returning to their original place of business after construction is completed will be facilitated and assisted by the construction contractor. In case moving is not required, access will be ensured by the contractor through measures suggested in bidding documents / environmental management plan (EMP). An alternate place in the vicinity will also be identified where a cluster of affected persons is available at one place such as fruit and vegetable vendors so that they continue the livelihood conveniently. Entitlement matrix is provided in Table 10.

Table 10: Entitlement Matrix

Sl. No.	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsible Agency
1	Temporary disruption of livelihood	Temporary impacts	Legal title holders, non-titled affected persons	<p>30 days' advance notice regarding construction activities, including duration and type of disruption.</p> <p>Cash assistance based on the net income from the affected business or minimum wage rate as per government notifications for the loss of income/livelihood for the period of disruption - whichever is more.</p> <p>Shifting allowance to affected business owners to temporarily shift for continued economic activity (₹ 9,000 as one-time assistance).<sup>25</sup></p> <p>For construction activities involving disruption for a period of more than a month, provision of alternative sites for hawkers and vendors for continued economic activities. If not possible, allowance based on the net income of the affected business or minimum wage rate for the affected households up to 3 months or the actual period of disruption whichever is more.</p>	<p>PIU will do the Identification of alternative temporary sites to continue economic activity.</p> <p>Contractor's actions to ensure there is no income/access loss consistent with the initial environmental examination. This includes: leaving spaces for access between mounds of soil, providing walkways and metal sheets to maintain access across trenches for people and vehicles where required, increased workforces to finish work in areas with impacts on access, timing of works to reduce disruption during business hours, phased construction schedule and working one segment at a time and one side of the road at a time.</p> <p>Business owners whose bamboo and tarpaulin structures need to be temporarily shifted during construction will be assisted by the contractors in the</p>	<p>i- PIU led Valuation Committee will determine income lost.</p> <p>ii- Contractors will perform actions to minimize income/access loss.</p> <p>iii- For temporary impacts during construction activities, Safeguard Support Staff (PMDSC) with the help of PIU will assess/verify impacts through.</p> <p>Structured surveys. Payment will be made by PIU through direct transfer to the account of the Affected person.</p> <p>CAPPA will help to organise meetings with affected persons for awareness on entitlements.</p>

<sup>25</sup> The shifting allowance covers shifting from and back to the location.

Sl. No.	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsible Agency
					process, including re-assembling of the structure at the previous location upon completion of civil works.	
2	Impacts on vulnerable affected persons <sup>26</sup>	Temporary impacts	Vulnerable affected persons	<p>Vulnerable households will be given priority in project construction employment and provided with income restoration support.</p> <p>Vulnerable persons/businesses will receive ₹30,000 as one-time assistance under temporary impacts.</p>	Vulnerable households will be identified during the census.	<p>PMDSC will verify the extent of impacts through 100% surveys of affected households and determine assistance, verify and identify vulnerable households.</p> <p>PIU and PMDSC will monitor and ensure this entitlement.</p>
3	Any other loss not identified	-	-	Unanticipated involuntary impacts will be documented and mitigated based on ADB's Safeguard Policy Statement (SPS), 2009.	-	PIU/PMDSC will ascertain the nature and extent of such loss. PMU will finalize the entitlements in line with ADB's SPS, 2009.

<sup>26</sup> Vulnerable households / groups comprise of those living below the poverty line, elderly headed households, women headed households, destitute children (orphans, child workers), scheduled castes, scheduled tribes, disabled-headed household, and transgender people, landless persons and those without legal title.

92. The vulnerable affected persons or any member of the vulnerable affected family, will be selected on priority basis for works /jobs in the project construction employment and provided with additional special assistance for income restoration support.

93. Compensation Mechanism. Assistance for temporary loss of income and livelihood will be paid to the displaced persons as per the Entitlement Matrix. The computation of the loss will be based on the monthly income of the affected shop owners as stated by them during the consultation and social impact assessment conducted. Compensation may be provided for the period of disruption.

94. The payment of compensation and assistance amount to affected persons should be transferred in their bank account before the possession of land/ assets/ ROW of roads and prior to the award of civil works contracts.

95. Identity cards will be prepared and distributed after completion of DMS.

## VIII. RESETTLEMENT BUDGET AND FINANCING PLAN

96. The resettlement budget for “Development and Improvement of Sewerage System with 5 years O&M of Nainital” as outlined in the entitlement matrix and contingency provision amounting of about 20% of the total cost.<sup>27</sup> The details are provided in Table 11. PMDSC team<sup>28</sup> will be involved in facilitating meetings/camps for disbursement process and will facilitate by making aware about the process of opening of bank accounts for the affected persons who do not have bank accounts. The costs are conservative estimates and will be confirmed during detailed project preparation and planning. The total resettlement cost for the project is **₹ 14,08,800.00 (Rupees Fourteen lakhs eight thousand and eight hundred only)**.<sup>29</sup> PIU will issue order for release of payment to affected persons, which shall be released through electronic clearance service/National Electronic Fund Transfer (ECS/NEFT) transaction from bank, through concerned treasury of the state/district administration. The resettlement plan budget is outlined in Table 11.

97. Details of resettlement plan budget estimation are as follows:

- (i) Total number of affected persons - approximately 20 persons are estimated to be project affected as per transect walk and preliminary estimates during transect walk and income loss survey. Temporary livelihood losses are estimated to be for 26 days (considering laying of sewer pipelines, back filling of excavated earth and restoration work of the roads) for the resettlement budget for each affected person under this project. Should actual days of disruption be higher, compensation will be as per the agreed entitlement matrix. The affected shop owners and vendor identified based on preliminary design will be revalidated during DMS, and those found to be impacted will be eligible to receive compensation as per entitlement matrix.

<sup>27</sup> The estimated costs are conservative and will be confirmed during detailed project preparation at the time of updating the resettlement plan.

<sup>28</sup> The cost of NGO/agency (CAPPA) for public consultation and awareness campaigns will be considered under Project cost for UIRUDP.

<sup>29</sup> The resettlement plan budget for Nainital project will be borne by the Executing Agency. Department of Urban Development (UDD), Government of Uttarakhand is the Executing Agency.



- (ii) One vulnerable affected person belonging to Scheduled Caste (SC) has been identified based on initial assessment done at design and planning stage. Vulnerability assistance for UIRUDP has been budgeted as ₹30,000, per person, in accordance with the entitlement matrix.
- (iii) The average daily net income of the affected business owners is calculated as ₹ 947.50; therefore, the compensation for income loss is rounded-off to ₹ 950 per day for the proposed resettlement plan budget.
- (iv) Shifting assistance has been considered for the affected road-side shopkeepers and vendors; based on the nature of affected businesses, shifting assistance of ₹ 9,000.00 is proposed for all the affected persons.

**Table 11: Budgetary provision for Implementation of Resettlement Plan**

Item Description	Unit	Rate (₹)	Total Amount (₹)
Compensation for income loss for 20 affected persons for 26 working days @ ₹ 950 per day*	Day	950.00	4,94,000.00
Shifting allowance (one-time) for 2 affected persons**	Number	9,000.00	18, 000.00
One-time Vulnerability assistance (01 affected person)	Number	30,000.00	30,000.00
DMS Survey for Resettlement Plan updating, ID preparation, Documentation	LS		3,00,000.00
Consultation, Grievance Redress	LS		2,00,000.00
Awareness Generation and Capacity Building	LS		1,50,000.00
<b>Sub-total</b>			<b>11,74,000.00</b>
Contingency @ 20%			2,34,800.00
<b>Grand total</b>			<b>14,08,800.00</b>

LS= lumpsum

Note:

\* Compensation for income loss will be based on the actual period of disruption; the number of days of disruption can be less or more than 26 days as assumed in the resettlement plan budget. The affected persons will receive compensation for the actual number of days of disruption.

\*\* Shifting allowance includes the cost of shifting from and back to the original location.

\*\*\* Damage to minor structures such as ramps or steps during construction will be covered under provisional sum of DBO contract.

## **IX. INSTITUTIONAL ARRANGEMENTS AND CAPACITY DEVELOPMENT**

### **A. Institutional Arrangements**

98. The Department of Urban Development (UDD), Government of Uttarakhand is the Executing Agency and Uttarakhand Urban Sector Development Agency (UUSDA) is the Implementing Agency for the Uttarakhand Inclusive and Resilient Urban Development Project (UIRUDP). UUSDA under UDD is responsible for management, coordination and execution of

all activities funded under this project. A Project Management Unit (PMU), established within the UUSDA, will implement the project.

99. **Project Management Unit (PMU).** The PMU will be headed by a Program Director (PD), a senior IAS Officer, of Additional Secretary rank; the Program Director will be supported by Additional Program Director (APD), Technical (an officer of Chief Engineer rank), Additional Program Director (APD), Administration (a State Cadre level Administrative Officer or a junior IAS Officer) and a Finance Controller (a State Cadre level Officer from finance discipline). APD Technical will be supported by Deputy Program Directors of Superintendent Engineer rank; DPD 1 will be responsible for Project Implementation and DPD 2 responsible for Procurement Planning and Contracts. DPD 1 is the focal person for coordinating with the PIUs, and for safeguards and GESI implementation. The Deputy Program Directors will be assisted by Project Managers of Executive Engineer rank and Deputy Project Managers (DPMs) of Assistant Engineer rank. PMU will have a position of Social Development and Gender Officer (SDGO) and Environmental Officer (EO) responsible for safeguards implementation to assist the PMU, DPD 1. The Environmental Officer will assist DPD 1 of PMU for implementation of environmental management plan (EMP) provisions and other environmental issues as per IEE/EMP in compliance with ADB's SPS 2009 and GOI rules. The PMU will also have an Information, Education and Communication (IEC) Officer. The PMU will support two PIUs, one at Dehradun and the other at Nainital; the PIUs will be responsible for planning, implementation, monitoring and supervision, and coordination of all activities under the UIRUDP. Each PIU will be headed by a Project Manager of Executive Engineer (EE) rank, reporting to DPD 1.

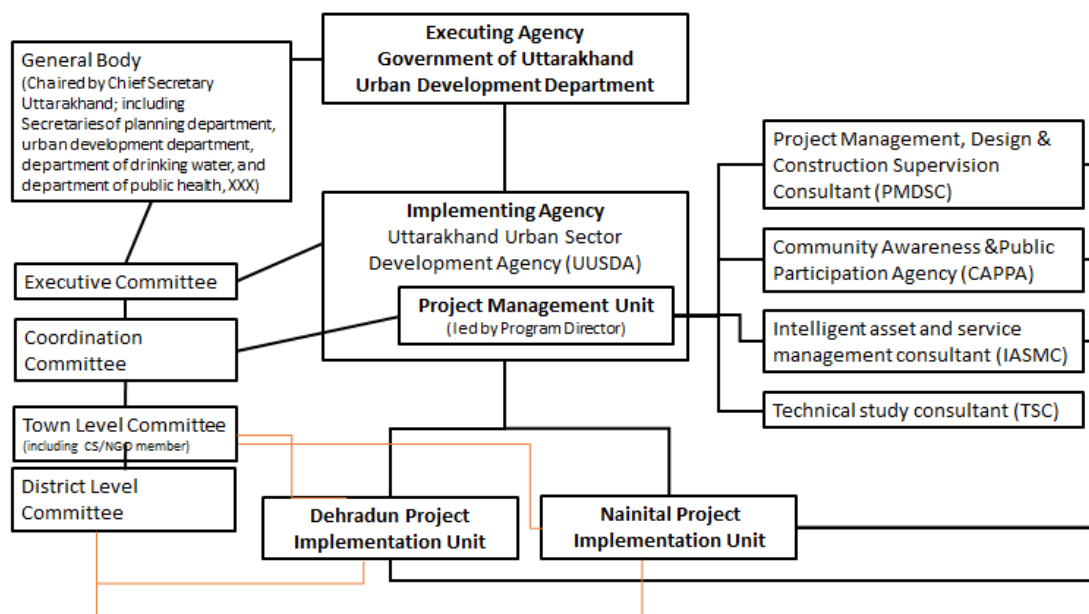
100. **Project Implementation Units (Town/City Level).** Each PIU (one each in Dehradun and Nainital) will be headed by a Project Manager of Executive Engineer rank. The Project Manager of the PIU will be supported by three Deputy Project Managers of Assistant Engineer (Civil) and Assistant Engineer (electrical and mechanical) rank. Further, Junior Engineers will assist the Deputy Project Managers in project implementation. One of the Junior Engineers will be designated as social focal point (Social and Gender Officer) and the other as environmental focal point (Assistant Environmental Officer).

101. **Project Management and Design Supervision Consultant.** PMU will be supported by a Project Management and Design Supervision Consultant (PMDSC) to supervise, monitor and oversee project implementation, support on policy reform related issues and compliance of all the reporting requirements of GOU, other statutory regulatory bodies and Asian Development Bank in line with SPS 2009. PIU will be supported by the PMDSC on supervision monitoring and to oversee the implementation of projects, including compliance of ADB's SPS 2009 and other environmental and social State and GOI rules. There will be two Environmental Experts (EE) and two Social, Gender and Resettlement Experts (SGRE) at the PMDSC

102. **Safeguards Compliance Responsibilities.** DPD 1 will be the focal point for both social and environmental safeguard implementation and compliance. The Environmental and Social Development Officers will have the overall responsibility of ensuring compliance with ADB SPS 2009 and will support DPD 1. The Environmental Officer and Social Development Officer will report to the Project Managers at PMU. The PMU will have overall responsibility for implementation of the resettlement plans and appropriate monitoring and reporting responsibilities. The Social Development and Gender Officer (SDGO) will facilitate implementation, monitoring and reporting of resettlement plans and other related compliances, while IECO will oversee the community awareness, public outreach, training, capacity building, preparation of IEC materials, and enhance information, education and communication among the local public, regarding gender, social, environmental related issues of UIRUDP. Community Action and Public Participation Agency, (CAPPA) will assist the PMU and PIUs in carrying out

meaningful consultations during project implementation. CAPPA will have two units: (i) Core Unit based at central office in Dehradun and (ii) City Level Units based in 2 major project towns - Dehradun and Nainital. Contractor will appoint an Environment, Health and Safety (EHS) supervisor to implement EMP; the EHS Supervisor will have responsibilities related to environmental and social safeguards compliance and grievance redress and management at field level.

**Figure 13: Institutional Arrangement for UIRUDP**



**103. Tasks of Social Development and Gender Officer at PMU Level.** Key social safeguard tasks and responsibilities at the PMU level are as follows:

- (i) ensure projects conform to the agreed project selection criteria for the project;
- (ii) review and finalize project involuntary resettlement and indigenous people category;
- (iii) oversee preparation of resettlement plans/Due Diligence Report (DDRs); confirm existing resettlement plans/DDRs/IPPs are updated based on detailed designs, and that new project resettlement plans/DDRs are prepared in compliance with ADB SPS 2009 and policies, regulations of GOI for the project;
- (iv) responsible for issuing the public notice to acquire a particular land/property (if required) for the project along with project information/details as well as the project cut-off-date;
- (v) ensure that resettlement plans/DDRs are included in bidding documents and civil works contracts;
- (vi) undertake updating of resettlement plans, as required and submit to ADB for review and clearance prior construction;
- (vii) ensure that water supply safety plan recommended by the World Health Organization (WHO) are included in bidding documents and civil works contracts;
- (viii) provide oversight on social safeguard management aspects of projects and ensure resettlement plans and impact avoidance measures outlined in the resettlement

- plan/environmental management plan/DDR are implemented by PIU and contractors;
- (ix) ensure and monitor the provision in the contract to include the vulnerable persons to be the beneficiaries of the facilities constructed under the Project;
  - (x) facilitate and ensure compliance with all government rules and regulations regarding project implementation. No Objection Certificates, land ownership and transfer details etc. for each site, as relevant and include the same in the respective social safeguard documents for the package;
  - (xi) supervise and guide the PIUs to properly carry out the social safeguard and gender monitoring (resettlement plan/GESI Action Plan);
  - (xii) review, monitor, and evaluate the effectiveness with which the resettlement plans/provisions of DDRs are implemented, and recommend corrective actions to be taken as necessary;
  - (xiii) consolidate monthly social safeguard and gender monitoring reports from PIUs/ PMDSCs and submit semi-annual social safeguard monitoring reports (SSMR) to ADB;
  - (xiv) ensure timely disclosure of final resettlement plans/DDR in locations and form accessible to the public and affected persons;
  - (xv) address any grievances brought about through the grievance redress mechanism in a timely manner;
  - (xvi) oversee training needs assessment of affected persons and vulnerable persons by PIUs and PMDSC; coordinate training activities and convergence with livelihood programs of the government; in case any permanent and significant impacts to livelihood of affected persons or impacts to vulnerable are identified;
  - (xvii) identify training needs and coordinate training activities for the PIUs/ contractors/Project NGOs/project consultants for capacity building to implement the Resettlement Plans/DDR, and GRM;
  - (xviii) coordinate database management for social safeguards implementation and monitoring; and
  - (xix) coordinate public awareness campaigns by the PIUs including resettlement provisions with the help of print and electronic media

**104. Project Implementation Unit (Town/City Level).** Two PIUs, one at Dehradun and the other at Nainital will be responsible for planning, implementation, monitoring and supervision, and coordination of all activities under the UIRUDP. The PIU will be headed by a Project Manager of Executive Engineer rank. Project Manager will be supported by Deputy Project Managers of Assistant Engineer (Civil) and Assistant Engineer (electrical and mechanical) rank. Junior Engineers will assist the Deputy Project Managers in project implementation. One of the Junior Engineers will be designated as Social and Gender Officer (SGO), social focal point and the other as Assistant Environmental officer (AEO), environmental focal point. The social focal point (Junior Engineer) will oversee the safeguards implementation at PIU level, coordinate public consultations, information disclosure, regulatory clearances and approvals, resettlement plan implementation and grievance redressal. The PIU will work in close coordination with Project Management and Design Supervision Consultants (PMDSC).

**105. Social Safeguards Tasks at PIU Level.** The key social safeguard role and tasks of town/city level PIU will be:

- (i) Provide field data to fill up IR/IP impact checklist and classify the project;
- (ii) Conduct census and socio-economic surveys, detailed measurement surveys, and verification surveys of affected persons along with PMDSC and DBO

- contractor before start of construction work, conduct consultations with affected persons, prepare list of affected persons, provide all data required to prepare/update resettlement plans / DDRs with the assistance of Social, Gender, Resettlement Expert of PMDSC and field support from community mobilizers of CAPPA, ensure updated information is submitted to PIU for preparation/updating of documents with PMDSC with DBO contractor's support;
- (iii) Inform affected persons about tentative schedule of land acquisition/occupation, entitlement matrix and compensation packages against different categories of loss, and cut-off date;
  - (iv) Coordinate valuation of assets, such as land, trees of various species, etc. based on proper due diligence and assessment, prepare compensation packages;
  - (v) Coordinate, supervise and monitor disbursement of compensation;
  - (vi) Obtain no objection certificates (NOCs), land documents, third party certifications as required for the project;
  - (vii) Support to PMU in preparing/updating RPs/DDR's;
  - (viii) Oversee day-to-day implementation of impact avoidance and mitigation measures in resettlement plans /DDR's and EMP by contractors, including compliance with all government rules and regulations particularly health and safety, take necessary action for obtaining ROW;
  - (ix) Oversee maintenance of data for monitoring, by consultants and contractors;
  - (x) Implement corrective actions when necessary to ensure no adverse social impacts;
  - (xi) Submit monthly social monitoring reports to PIU;
  - (xii) Conduct continuous public consultation and awareness;
  - (xiii) Set up GRM at field/site/PIU level and ensure it is fully functional. Address any grievances brought about through the grievance redress mechanism in a timely manner;
  - (xiv) Ensure that induction course for the training of contractors is conducted regularly. Prepare contractors (with consultants' support) on resettlement plans/ DDR/ GESI implementation, social safeguard and gender monitoring requirements related to mitigation measures, health and safety and on taking immediate action to remedy unexpected adverse impacts or ineffective mitigation measures found during the course of implementation;
  - (xv) Liaise with the District Administration and line departments for dovetailing Government's schemes for income generation and development programs for affected persons, as and when required;
  - (xvi) Supervise the work of all consultants at town level (PMDSC, CAPPA).
  - (xvii) Undertake day-to-day implementation of final resettlement plans and GESI action plan;
  - (xviii) Provide field level information required to prepare periodic safeguard monitoring reports in a format acceptable to ADB and quarterly GESI action plan updates in the format provided in PAM;
  - (xix) Ensure relevant data on implementation of GESI action plan is collected and a gender-sensitive communication strategy and information, education and communication (IEC) materials are designed, illustrating key social and behavioural messages related to hygiene, sanitation, and health jointly with the communication specialist and in accordance with the GESI action plan; and
  - (xx) Extend support in carrying out awareness campaigns in project towns.

**106. Project Management and Design Supervision Consultants (PMDSC).** The PMU and the PIUs will be supported by a Project Management and Design Supervision Consultant

(PMDSC) to supervise, monitor and oversee project implementation, support on policy reform related issues and compliance of all the reporting requirements of GOU, other statutory regulatory bodies and ADB in line with SPS, 2009. Social, Gender and Resettlement Experts of PMDSC (two experts) will assist PIUs in implementation of resettlement plans and GESI related tasks; the Experts will be responsible for updating of resettlement plan/due diligence report, public consultation and disclosure, assessment of entitlement and computation of compensation etc.

107. Tasks of Social, Gender and Resettlement Experts (SGRE), PMDSC (2 positions)

- (i) Screen and categorize project components;
- (ii) Carry out baseline surveys;
- (iii) Ensure the contractors comply with the agreed social safeguards policies, resettlement plans, and due diligence reports on social safeguards for the project;
- (iv) Prepare any additional draft resettlement plans, update the existing resettlement plan (based on revalidation and DMS, before start of construction work), due diligence reports and prepare any new safeguard documents as and when required;
- (v) Assist the PIUs in the implementation of final resettlement plans and GESI action plan;
- (vi) Prepare periodic safeguard monitoring reports as per the format acceptable to ADB and quarterly GESI action plan updates in format provided in PAM;
- (vii) Collect relevant data on implementation of GESI action plan and design gender-sensitive communication strategy and IEC materials illustrating key social and behavioural messages related to hygiene, sanitation and health jointly with the communication specialist and in accordance with the GESI action plan;
- (viii) Extend assistance to PMU/PIUs in coordinating activities of the CAPPA and implementation of GESI action plan.

108. **Design, Build and Operate contractor.** The resettlement plans will be included in bidding and contract documents and verified by the PIUs and PMU. The implementation of resettlement plan will be made binding i.e. mandatory on contractor as part of the employer's requirement in the bid and contract documents. All contractors will be required to designate an Environment, Health and Safety (EHS) supervisor to ensure implementation of resettlement plan social safeguard provisions/EMP as per the agreed resettlement framework for the Project during civil works and O&M, who will also have the responsibility for communication with the public under the guidance of PMU/PIUs and grievance registration. Contractors are to carry out all mitigation and monitoring measures outlined in their contract.

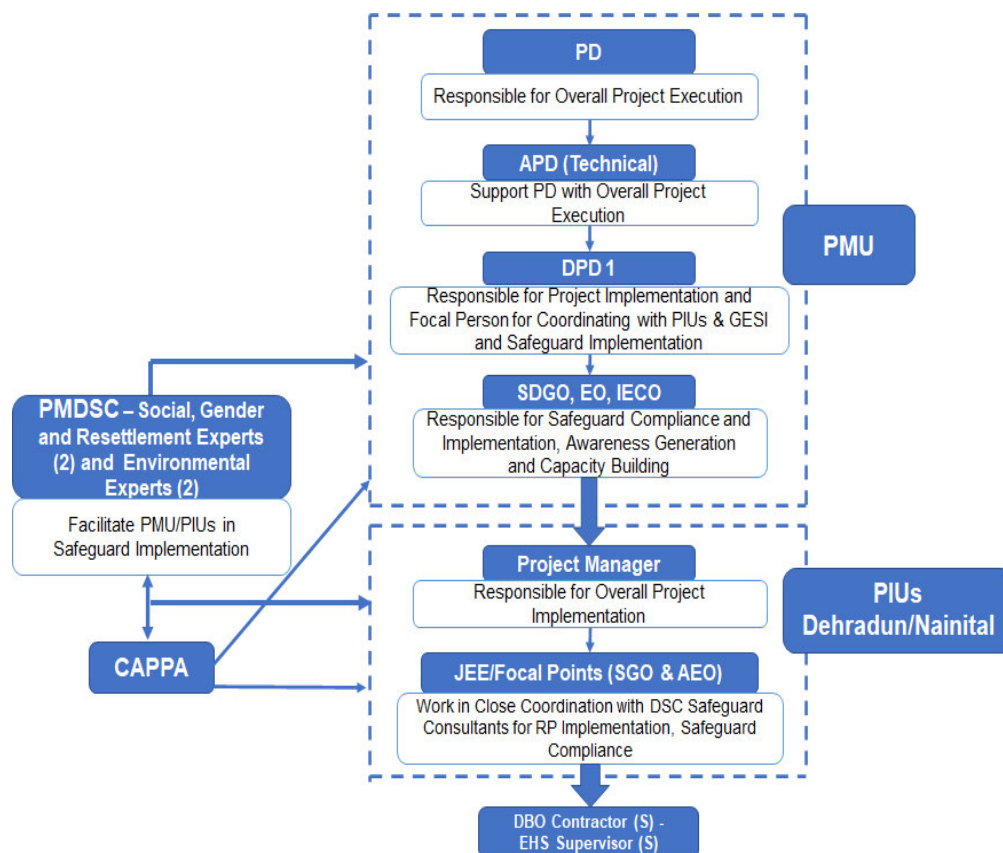
109. The DBO Contractor shall comply with: (i) all applicable labour laws and core labour standards on (a) prohibition of child labour as defined in national legislation for construction and maintenance activities; (b) equal pay for equal work of equal value regardless of gender, ethnicity, or caste; and (c) elimination of forced labour; and with (ii) the requirement to disseminate information on COVID-19 safety protocols, sexually transmitted diseases, including HIV/AIDS, to employees and local communities surrounding the project sites. The key responsibilities of EHS Supervisor on social compliance are as follows:

- (i) Compliance with all government rules and regulations particularly health and safety, take necessary action for obtaining ROW;
- (ii) Implement corrective actions wherever necessary, to ensure no adverse social

- impacts are caused due to project implementation;
- (iii) Submit monthly progress reports to PIU;
- (iv) Conduct meaningful public consultation and awareness;
- (v) Support PIU in setting up GRM at field/site (PIU level) and ensure it is fully functional. Address any grievances brought about through the grievance redress mechanism in a timely manner;
- (vi) Make sure that induction course for the training of contractors is conducted regularly. Prepare contractors (with consultants' support) on resettlement plans/DDR/GESI implementation, social safeguard and gender monitoring requirements related to mitigation measures, health and safety and on taking immediate action to remedy unexpected adverse impacts or ineffective mitigation measures found during the course of implementation;
- (vii) Establish working rapport and liaison with the District Administration and line departments for dovetailing Government's schemes for income generation and development programs for affected persons, as and when required;
- (viii) Work at field level to undertake day-to-day implementation of final resettlement plans and GESI action plan;
- (ix) Assist in collection of field level information required to prepare periodic safeguard monitoring reports in a format acceptable to ADB and quarterly GESI action plan updates in the format provided in PAM;
- (x) Make sure that relevant data on implementation of GESI action plan (activities assigned to contractor if any) is collected and coordination is established with CAPPa to implement behaviour change communication activities in accordance with the GESI action plan; and,
- (xi) Provide support in carrying out awareness campaigns in project towns/city level; and,
- (xii) Ensure COVID-19 safety protocols are regularly monitored and followed at each of the construction site.

110. **Community Awareness and Public Participation Agency:** PMU will hire and appoint a Community Awareness and Public Participation Agency (CAPPa). CAPPa will assist PMU and PIUs with disclosure meetings with affected persons on entitlement matrix, awareness campaigns on grievance redress mechanism. Grievances received during public outreach programs and consultations by CAPPa will be brought to the notice of concerned PIU and formally registered. The tasks and responsibilities of CAPPa are outlined in the Project Administration Manual for UIRUDP.



**Figure 14: Institutional Arrangement for Safeguard Implementation, UIRUDP**

APD = Additional Program Director; CAPPA = Community Action and Public Participation Agency; DBO = Design Build and Operate Contractor; DPD = Deputy Program Director; PMDSC = Project Management and Design Supervision Consultants; EO = Environmental Officer; IECO = Information Education and Communication Officer; PD = Program Director; PIU = Project Implementation Unit; PMU = Project Management Unit; SDGO = Social Development, Gender Officer

## **B. Capacity Development**

111. Uttarakhand Urban Sector Development Agency (UUSDA) has some of the experienced project staff having some basic knowledge of social safeguards, with knowledge and experience of ADB social safeguard policies and their implementation. However, due to being repatriated to their original department of some staff during project implementation, the new candidates/recruits as safeguards officers will require training in project preparation and implementation of this Project. The PMDSC-Social, Gender and Resettlement Expert will be responsible for training the PMU's safeguards officers (environmental and social), and PIUs' engineers and other staff. This RP includes indicative training modules on safeguards. The PMDSC will coordinate with PMU and PIUs on specific capacity development program which may include but is not limited to:

- (i) Sensitization on ADB's Policies and guidelines on social and indigenous people safeguards (ADB's Safeguard Requirement<sup>2</sup> and 3: Involuntary Resettlement and Indigenous Peoples) including meaningful consultation, GRM and

- accountability mechanism;
- (ii) Introduction to the assessment of involuntary resettlement and mitigation measures, including best practices, in the design, construction, operation and maintenance of water supply, sewerage, and drainage projects;
- (iii) Preparation and review of RPs/DDR's based on preliminary design, and updating of the documents based on the final design;
- (iv) Effective Communication with stakeholders including elected representatives, Media and general masses;
- (v) Improved coordination within nodal departments;
- (vi) Disbursement of compensation, consultation; and
- (vii) Monitoring and reporting requirements.

112. PMU IEC, safeguards and gender officer and PIUs' designated safeguards focal persons will be trained by PMDSC's Social, Gender and Resettlement Expert on safeguards issues of the projects and the project GRM. The targeted participants of the briefings would be PMU and PIUs' staff, design engineers, and contractors. Typical modules would be as follows: (i) introduction and sensitization to ADB SPS on involuntary resettlement and indigenous people policies and requirements resettlement framework (ii) review, updating and preparation of the resettlement plans upon the completion of project detailed design; (iii) improved coordination within nodal departments; (iv) monitoring and reporting system; and (v) project GRM. Briefings on safeguards principles and GRM will also be conducted to the contractors upon their mobilization by PIU safeguards focal persons supported by Social, Gender and Resettlement Expert of PMDSC.

113. Other capacity Building for skill gaps bridging. Based upon training needs assessment, the cost of trainings will be borne under the Project's capacity building program by PMU. The detailed cost and specific modules will be customized for the available skill set after assessing the capabilities of the target participants and the requirements of the project by the Social, Gender and Resettlement Expert of PMDSC. Indicative details of training needs placed in Table 12.

**Table 12: Indicative Training Needs assessed**

Description	Target Participants and Venue	Source of Funds
1. Introduction and Sensitization to Social/ Resettlement Issues (1 day) <ul style="list-style-type: none"> <li>- ADB Safeguards Policy statement</li> <li>- Government of India and Uttarakhand applicable social safeguards acts</li> <li>- Incorporation of social/resettlement components under EMP into the project design and contracts</li> <li>- Monitoring, reporting and corrective action planning</li> </ul>	All staff and consultants involved in the project  At PMU, Dehradun	PMU cost
2. Resettlement plan implementation (2 days; 2 times during implementation with interval of one year in-between) <ul style="list-style-type: none"> <li>- Roles and responsibilities</li> <li>- Resettlement plan components and stages in implementation</li> <li>- Construction schedules and timelines</li> </ul>	All staff and consultants involved in the project  All contractors prior to award of contract	PMU cost

<ul style="list-style-type: none"> <li>- Public relations</li> <li>- Consultations</li> <li>- Grievance redress</li> <li>- Monitoring and corrective action planning</li> <li>- Reporting and disclosure</li> <li>- Timely documentation</li> </ul>	At each PIU	
3. Experiences and best practices sharing (1 day) <ul style="list-style-type: none"> <li>- Experiences on resettlement plan implementation</li> <li>- Issues and challenges</li> <li>- Best practices followed</li> </ul>	All staff and consultants involved in the project All contractors  At PMU Dehradun	PMU Cost

ADB = Asian Development Bank, EM = Entitlement matrix, PIU = Project implementation unit, PMU = project management unit.

### C. Implementation Schedule

114. The project will be implemented over a period of 5 years. The resettlement plan implementation schedule will be as per the project implementation schedule, though the preparatory works will be carried out well in advance. In general, the project implementation will consist of the three major phases, namely project preparation, land acquisition (if required), and rehabilitation of affected persons. In line with the principles laid down in this resettlement framework, the executing agency and implementing agency will ensure<sup>30</sup> that project activities are synchronized between the resettlement plan implementation activities and the project implementation. The executing agency and implementing agency will ensure that no physical or economic displacement of affected households will occur until: (i) compensation at full replacement cost has been paid to each displaced person for project components or sections that are ready to be constructed; (ii) other entitlements listed in the resettlement plan are provided to the displaced persons; and (iii) a comprehensive income and livelihood rehabilitation program, supported by adequate budget, is in place to help displaced persons improve, or at least restore, their incomes and livelihoods. All land acquisition, resettlement, and compensation for a project will be completed before award of civil works contracts. All land required will be provided free of encumbrances to the contractor prior to handing over of project sites and the start of civil works. The implementation of the resettlement plan will include: (i) identification of cut-off date and notification; (ii) verification of losses and extent of impacts; (iii) finalization of entitlements and distribution of identity cards; (iv) consultations with affected persons on regular basis. Implementation schedule placed as Table 13.

<sup>30</sup>The start date of census survey will be the cut-off date for non-titled affected persons. For titled affected persons, the cut-off is the date of declaration.

Table 13: Implementation Schedule

Activities	2021 (Qtr)			2022 (Qtr)				2023 (Qtr)				2024 (Qtr)				2025 (Qtr)				2026 (Qtr)				2027 (Qtr)				2028 (Qtr)	
	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2
Safeguard Implementation																													
Setting up of project level GRM																													
Awareness campaign among affected persons on entitlements, impact avoidance and mitigation measures to be implemented by the contractor																													
Conduct DMS, census surveys and issuance of ID cards in sections ready for construction																													
Identification of vulnerable affected persons, (if any)																													
Update draft resettlement plan to reflect surveys, consultations, design changes, and due diligence results																													
Consultations and disclosure																													
Review and approval of updated resettlement plan (ADB)																													
Training/capacity building of PMU and PIU safeguards officers, engineers, and other staff, PMDSC supervision staff and contractor's staff																													
Payment of compensation																													
Handover of sites and alignments to contractors																													
Start of civil works																													
Internal monitoring, including surveys of affected persons on entitlements, satisfaction surveys																													
Repair/reconstruction of affected facilities, structures, utilities, if any				Immediately, in consultation with other departments, as required																									

ADB = Asian Development Bank, GRM = grievance redress management, CAPP= Community awareness and public participation agency, PMDSC= Project Management and Design supervision consultant, PIU = project implementation unit, PMU = project management unit, SDGO = social development and gender officer , ID=Identity card

Notes: (i) The start date of census will be the cut-off date for non-titled affected persons. For titled affected persons, the cut-off date is the date of declaration of notice under RFCTLARRA, 2013. (ii) The resettlement plan will be updated based on final detailed design and affected person census and surveys, (iii) Endorsement and disclosure of finalized resettlement plans consistent with the resettlement framework to be undertaken.

## X. MONITORING AND REPORTING

115. Resettlement plan implementation monitoring responsibility, particularly the aspects pertaining to temporary livelihood impacts will be done by PMU/PIU effectively for ascertaining the progress of resettlement plan implementation and anticipating the potential difficulties and problems in course of implementation. PIU will be instrumental in internal day-to-day monitoring through the assistance of its safeguard officer and with the support from the PMU's project officer. Monthly progress reports on resettlement plan implementation will be prepared and compiled at PIU level and submitted to the PMU. PMU will consolidate the same and will submit semi-annual monitoring reports to the ADB for approval. Refer Sample Monitoring Template in Appendix 11. The outline of the semi-annual social monitoring report and the social safeguards quarterly progress report checklists are in the Project Administration Manual for UIRUDP.

## XI. FOLLOW-UP ACTION FOR RESETTLEMENT PLAN UPDATING AND IMPLEMENTATION


116. The major tasks associated with the resettlement plan updating and implementation is given in the Table 14 placed below.

**Table 14: Follow-up Action for Resettlement Plan Updating and Implementation**

S. No.	Major Follow-up Tasks
1.	The draft resettlement plan will be updated with road wise detailed measurement and census surveys where sewer pipelines will be laid during detailed design and before start of civil works.
2.	Pre-fabricated STPs will be installed under this project. UUSDA has written to Honourable High Court Building, PWD, Nainital, Department of Forest, and Department of Technical Education. UUSDA shall write to Raj Bhawan authorities (Governor's House) seeking 'no objection' for the installation. The NOCs obtained from all the concerned departments shall be appended to the resettlement plan.
3.	Google Earth Images of pre-fabricated STP locations at High Court, Raj Bhawan and Polytechnic College to be appended to the updated resettlement plan.
4.	The updated/revised resettlement plan will be submitted to ADB for approval. A 100 percent census and socio-economic survey will be undertaken to register and document the status of affected people within project areas. Detailed measurement survey will be jointly conducted by SGRE of PMDSC, contractors along with PIU, prior to start of civil construction work at each site/stretch of alignment.
5.	PMU, UIRUDP will obtain 'No Objection Certificate' from National Highway Authority of India (NHAI), and Nainital Municipal Corporation for laying of trunk sewer pipelines and append these to the updated resettlement plan.
6.	Treated effluent from the STP will be discharged into the nearby rivulet, Bhatti Gadhera, which connects with Nihal river downstream. UIRUDP will obtain approval or NOC from the concern department. The NOC will be included in the SSMR.
7.	ADB's approval of the updated resettlement plan based on the final assessment at detailed measurement survey stage needs to be obtained by the PMU, before start of civil works by DBO Contractor.
8.	Disclosure of cut-off-date for affected persons following DMS and same to be updated in resettlement plan.
9.	The missing photographs of the affected persons in Appendix 5 to be added to the updated resettlement plan.

S. No.	Major Follow-up Tasks
10.	Public consultations and engagement will be carried out through the entire project planning and implementation phase. Project disclosure meeting with affected persons and preparation of project information leaflet in local language to be shared with stakeholders and affected persons.

**Appendix 1: Details of Land Availability, Ownership and Status of NOC of the STP site**

Project Component	Location	Ownership	Area of government land available at the location	Area required (m <sup>2</sup> )	Khasra No.	Land-use Classification	Remarks/ NOC Status	Photo of Land
Sewage Treatment Plant	Russi village	Pey Jal Nigam Nainital	5.30 acres (2.145 hectare)	3.79 acre (1.535 hectare)	580, 636	<i>Banjar</i> <sup>31</sup> (as per land records)	No Objection has been provided by Pey Jal Nigam, Nainital. The new STP will be constructed on the land of old defunct STP	

Source: Transect walks and the documents provided by PMU/UUSDA

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<sup>31</sup> Barren land



## Appendix 2: No Objection Certificate and Land Records as Provided by Uttarakhand Pey Jal Nigam, Nainital to UUSDA

Executive Engineer, Uttarakhand Peyjal Nigam vide it's letter 1943/Nainital Sewer/26 dated 05.10.2020 and in response to the letter issued by UUSDA letter number 178/Naveen loan/ 37 December dated 03.10.2020 for NOC, issued the following 'No objection' letter for use of land at existing oxidation plant premises stating that the said land in Russi village site is under the possession of the department and UJN has no objection in transferring the land to UUSDA for the construction of STP under ADB's new loan.



कार्यालय अधिशासी अभियन्ता,  
उत्तराखण्ड जल संस्थान, शाखा नैनीताल

दूरभाष नं० (का०) 05942-235428  
फैक्स नं० (फैक्स) 05942-231082  
ई-मेल आईडी-eeujnsnl@gmail.com

पत्रांक

1943 / 26 (सीवर) / 26

दिनांक : 05/10/2020

सेवा में,

परियोजना प्रबन्धक,  
यू०यू०एस०डी०आई०पी०,  
नैनीताल।

**विषय:—नैनीताल नगर में सीवर शोधन संयंत्र के निर्माण के सम्बन्ध में।**

महोदय,

उपरोक्त विषयक आपके कार्यालय पत्रांक 178/नवीन ऋण/37 दिनांक 03.10.2020 के कम में अवगत करना है कि प्रस्तावित नवीन ऋण के अन्तर्गत सीवर शोधन संयंत्र निर्मित किये जाने हेतु निम्नानुसार 02 स्थान उपलब्ध है।

1. प्रथम स्थान हनुमानगढ़ी के निकट स्थित 2.50 एम०एल०डी० क्षमता के सीवर शोधन ट्रिकलिंग कम ऐयरेशन प्लान्ट के स्थान पर।
2. द्वितीय स्थान ग्राम रूसी में नैनीताल बायपास मार्ग के नीचे स्थित 5.00 एम०एल०डी० आक्सीडेशन संयंत्र परिसर में उपलब्ध भूमि पर।

उक्त के कम में अवगत करना है कि पूर्व में आयुक्त महोदय, कुमायूँ मण्डल एवं जिलाधिकारी महोदय द्वारा उक्त प्रस्ताव के सम्बन्ध में समीक्षा बैठक की गयी थी। जिसमें यह तथ्य प्रमुखता से सामने आया था कि नया प्रस्तावित सीवर शोधन संयंत्र इस प्रकार से निर्मित किया जाय, जिससे कि शोधन संयंत्र से निकलने वाले शोधित अन्तिम उत्प्रावह का उपयोग कृषि कार्यों हेतु किया जा सके। इस कम में अवगत करना है कि वर्तमान में उपरोक्तानुसार प्रथम प्रस्तावित स्थल से सीधे रूसी गांव के उपरी भाग पर स्थित आक्सीडेशन पॉण्ड से रूसी गांव के समस्त कृषि भूमि में सिंचाई कर बृहद पैमाने पर सब्जियों का व्यवसायिक उत्पादन किया जाता है। अतः प्रस्तावित शोधन संयंत्र इस प्रकार से निर्मित किया जाय कि संयंत्र से निकलने वाले अन्तिम उत्प्रावह का उक्तानुसार व्यवसायिक उपयोग किया जा सके।

उक्तानुसार प्रस्तावित दोनों स्थल विभागीय नियन्त्रण में हैं। उक्त दोनों ही स्थलों में से किसी भी एक स्थल पर प्रस्तावित सीवर शोधन संयंत्र स्थापित किये जाने हेतु एतद्वारा विभागीय अनापत्ति प्रदान की जाती है।

भवदीय

(सन्तोष कुमार उपाध्याय)  
अधिशासी अभियन्ता

पू० पत्र संख्या एवं दिनांक यथोपरोक्त :-

प्रतिलिपि:— निम्नलिखित को सादर सूचनार्थ प्रेषित।

1. अपर कार्यक्रम निदेशक (तकनीकी, आई०पी०एम०यू०, यू०यू०एस०डी०ए०, देहरादून।
2. महाप्रबन्धक, उत्तराखण्ड जल संस्थान, नैनीताल।
3. अधीक्षण अभियन्ता, उत्तराखण्ड जल संस्थान, वृत्त हल्द्वानी।

अधिशासी अभियन्ता

Based on the joint inspection done by the Inspector, Ban Panchayat, Revenue Inspector, Revenue Department, Junior Engineer-Uttarakhand Peyjal Nigam and Assistant Engineer Uttarakhand Peyjal Nigam, Nainital for proposed transfer of barren land under the khasra number 636, 580, 733 (total khasra area 2.145 Hectare) is transferred to Uttarakhand Peyjal Nigam for construction of one unit of Sewerage treatment plant.

### संयुक्त निरीक्षण का प्रमाण पत्र-

झील संवर्धन एवं प्र० पी० के सीवरेज डीमेन्ट प्लान हेतु कमिश्नर कुमायूँ के निर्देशानुसार आज दि० 4-09-04 को निम्न अधिकारियों/जनप्रतिनिधियों द्वारा ग्राम रुसी (खेजुवरबान) की वन पंचायत भूमि का संयुक्त निरीक्षण किया गया। जिस हेतु उक्त वन पंचायत की 2.145 है० भूमि उत्तरांचल पेयजल निगम को लीज पर दिया जाना प्रस्तावित है। जिस हेतु कं० न० 1 में 0.135 है०, एवं कं० न० 2 में (खेत नं० 636 अर्थात् 60 नाली - 1.206 है०, खेत नं० 580 अर्थात् 20 नाली - 0.204 है० एवं खेत नं० 733 अर्थात् 20 नाली - 0.204 है०) 2.01 है० कुल 2.145 है० भूमि का ध्यान कर प्रस्तावित किया गया। निरीक्षण के समय पाया गया कि उपरोक्त डीमेन्ट योजना हेतु प्रस्तावित वन पंचायत की भूमि के अतिरिक्त अन्य कोई भूमि उपलब्ध नहीं है।

अतः निश्चित किया जाता है कि योजना के निर्माण के लिये प्रस्तावित वन पंचायत की वन भूमि को उत्तरांचल पेयजल निगम को लीज पर दिया जाना है।

निरीक्षक  
वन पंचायत  
रुसी

पटवारी/लेखपाल  
राजस्व विभाग

जूनियर इंजीनियर  
पेयजल निगम नैनीताल



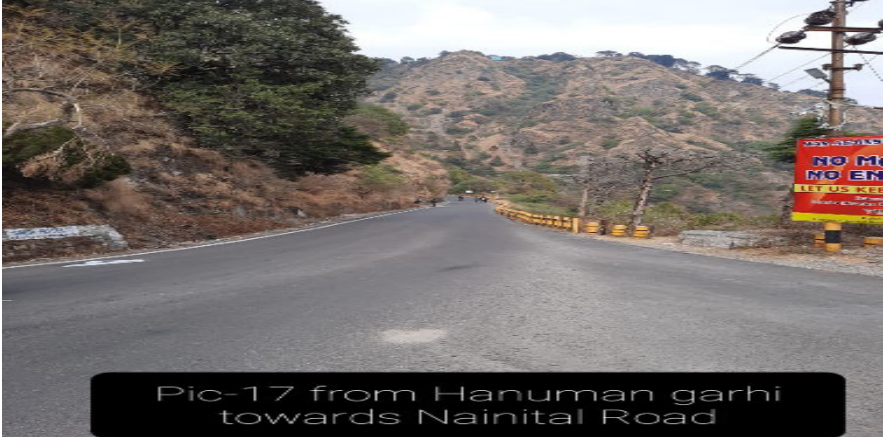
सह० आभारता  
पेयजल निगम  
नैनीताल







### Appendix 3: Photographs of Roads through which Sewer Pipelines will be Laid

 <p>pic -3 from tallital rickshaw stand to bus stand</p> <p>Nainital Nagar Palika Road, Upper Mall Road, High Density</p>	 <p>Pic-11 from hotel shashi to tallital dharmashala</p> <p>Nainital Nagar Palika Road, upper Mall Road, High Density</p>
 <p>Pic-1 at Mall road near zoo road bend towards tallital rickshaw stand</p> <p>Nainital Nagar Palika Road, upper Mall Road, High Density</p>	 <p>pic-13 from tallital dharmashala towards distric jail tallital</p> <p>NH High Density area</p>
 <p>Pic-14 at tallital distric jail</p> <p>NH High Density area</p>	

 <p>Pic-9 tallital at National Hotel</p>	 <p>Pic-8 tallital towards National hotel</p>
NH High Density area	NH High Density area
 <p>Pic-17 from Hanuman garhi towards Nainital Road</p>	
NH High Density area	

# Appendix 4: Letter for Seeking No Objection Certificate from Respective Departments for Installation of Pre-fabricated STPs

**कार्यालय कार्यक्रम निदेशक**  
**उत्तराखण्ड शहरी क्षेत्र विकास एजेंसी (UUSDA)**  
 शहरी विकास विभाग, उत्तराखण्ड सरकार  
 सांख्यिक टावर, द्वितीय तल, राजेन्द्र नगर, कौलागढ़ रोड, देहरादून, उत्तराखण्ड.  
 दूरभाष-91-135-2753894, फैक्स-91-135-2754895 Email: uusdip@gmail.com

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Letter No.- A-350 / 710 (2) Date- ...23../12/2019

**e-mail / Speed Post**

**-Priority-**

To,

The Registrar  
Honourable High Court  
State of Uttarakhand  
Nainital, Uttarakhand

**Subject: Regarding issue of the NoC for construction of Packaged Sewerage plant of 20KLD capacity in High Court, Nainital premises for a land area of 80 Sqm.**

Dear Sir,


Urban Development Department, Govt. of Uttarakhand intends to receive financing from Asian Development Bank (ADB) towards the cost of development of Urban Sector Infrastructure in 06 towns (Nainital, Haldwani and Ramnagar in Kumaon division and in Dehradun, Kotdwar and Roorkee in Garhwal division) of the state. The Project involves development of urban infrastructure for achieving Drinking Water Supply, Waste Water Management, Solid Waste Management, Urban Drainage, Roads & Transport, Landscaping and Reforms Sectors in the proposed Project towns.

In continuation to its assistance, Uttarakhand Urban Sector Development Agency (UUSDA) is in process of loan negotiation for the Uttarakhand Urban Sector Development Investment Program (UUSDIP-II). Under this as per the ADBs standard procedures, preparation of the detailed project reports and safeguards documents preparation is underway.

For Nainital town under proposed construction Package entitled, "Design and Construction of Sewage Treatment Plants Including new trunk sewer and allied works for municipal area of Nainital Town", one unit of Packaged Sewerage Treatment Plant of 20 KLD capacity has been proposed in the High Court premises, to overcome the problem of management of increasing sewerage management requirement of Nainital Town and providing recycled water for the cleaning, aesthetic management and other allied purposes to High Court premises.

You are kindly requested to provide No Objection Certificate (NOC) for an area of 80 sqm. Officials from Project Implementation Unit, Nainital town will coordinate with yourself to identify the technically feasible land in the honourable Court premises.


With Warm Regards

  
 Deputy Program Director  
 UUSDA, Dehradun  
 Uttarakhand



C:C:

1. District Magistrate, Nainital District.
2. Secretary, Urban Development Department, Govt. of Uttarakhand.
3. Secretary, Department of Land & Estate, Govt. of Uttarakhand.
4. Program Director, Uttarakhand Urban Sector Development Agency (UUSDA).
5. Senior Project Manager, Project Implementation Unit, Nainital.



Deputy Program Director  
UUSDA, Dehradun  
Uttarakhand

(37)



## कार्यालय कार्यक्रम निदेशक उत्तराखण्ड शहरी क्षेत्र विकास एजेंसी (UUSDA)

शहरी विकास विभाग, उत्तराखण्ड सरकार  
सांख्यिक टावर, द्वितीय तल, राजेन्द्र नगर, कौलागड़ रोड, देहरादून, उत्तराखण्ड,  
दूरभाष-91-135-2753894, फैक्स-91-135-2754895 Email: uusdip@gmail.com



उत्तराखण्ड सरकार

Letter No.- A-350 / 710

Date- ...2.2.12/2019

e-mail / Speed Post

-Priority-

To,

Executive Engineer  
Public Works Department  
Nainital Town, Uttarakhand

**Subject:** Regarding issue of the NoC for construction of Packaged Sewerage plant of 20KLD capacity in PWD guest house in Nainital Town premises for a land area of 80 Sqm.

Dear Sir,

Urban Development Department, Govt. of Uttarakhand intends to receive financing from Asian Development Bank (ADB) towards the cost of development of Urban Sector Infrastructure in 06 towns (Nainital, Haldwani and Ramnagar in Kumaon division and in Dehradun, Kotdwar and Roorkee in Garhwal division) of the state. The Project involves development of urban infrastructure for achieving Drinking Water Supply, Waste Water Management, Solid Waste Management, Urban Drainage, Roads & Transport, Landscaping and Reforms Sectors in the proposed Project towns.

In continuation to its assistance, Uttarakhand Urban Sector Development Agency (UUSDA) is in process of loan negotiation for the Uttarakhand Urban Sector Development Investment Program (UUSDIP-II). Under this as per the ADBs standard procedures, preparation of the detailed project reports and safeguards documents preparation is underway.

For Nainital town under proposed construction Package entitled, "Design and Construction of Sewage Treatment Plants Including new trunk sewer and allied works for municipal area of Nainital Town", one unit of Packaged Sewerage Treatment Plant of 20 KLD capacity has been proposed in the PWD guest house Nainital Town premises, to overcome the problem of management of increasing sewerage management requirement of Nainital Town and providing recycled water for the cleaning, aesthetic management and other allied purposes to Guest Houses premises.

You are kindly requested to provide No Objection Certificate (NOC) for an area of 80 sqm. Officials from Project Implementation Unit, Nainital town will coordinate with your good self to identify the technically feasible land in the PWD guest house in Nainital Town premises.


With Warm Regards

Deputy Program Director  
UUSDA, Dehradun  
Uttarakhand



C:C:

1. District Magistrate, Nainital District.
2. Secretary, Urban Development Department, Govt. of Uttarakhand.
3. Secretary, Department of Land & Estate, Govt. of Uttarakhand.
4. Program Director, Uttarakhand Urban Sector Development Agency (UUSDA).
5. Senior Project Manager, Project Implementation Unit, Nainital.



Deputy Program Director,  
UUSDA, Dehradun  
Uttarakhand



**कार्यालय कार्यक्रम निदेशक**  
**उत्तराखण्ड शहरी क्षेत्र विकास एजेंसी (UUSDA)**



शहरी विकास विभाग, उत्तराखण्ड सरकार  
 सांख्यिक टावर, द्वितीय तल, राजेन्द्र नगर, कौलागढ़ रोड, देहरादून, उत्तराखण्ड,  
 दूरभाष-91-135-2753894, फैक्स-91-135-2754895 Email: uUSDip@gmail.com

Letter No.- A-350 /709

Date- ...22/12/2019

e-mail / Speed Post

-Priority-

To,  
 Divisional Forest Officer,  
 Department of Forest,  
 Govt. of Uttarakhand  
 Nainital, Uttarakhand

**Subject: Regarding issue of the NoC for construction of Packaged Sewerage plant of 20KLD capacity in Forest Guest House in Nainital Town premises for a land area of 80 Sqm.**

Dear Sir,

Urban Development Department, Govt. of Uttarakhand intends to receive financing from Asian Development Bank (ADB) towards the cost of development of Urban Sector Infrastructure in 06 towns (Nainital, Haldwani and Ramnagar in Kumaon division and in Dehradun, Kotdwar and Roorkee in Garhwal division) of the state. The Project involves development of urban infrastructure for achieving Drinking Water Supply, Waste Water Management, Solid Waste Management, Urban Drainage, Roads & Transport, Landscaping and Reforms Sectors in the proposed Project towns.

In continuation to its assistance, Uttarakhand Urban Sector Development Agency (UUSDA) is in process of loan negotiation for the Uttarakhand Urban Sector Development Investment Program (UUSDIP-II). Under this as per the ADBs standard procedures, preparation of the detailed project reports and safeguards documents preparation is underway.

For Nainital town under proposed construction Package entitled, "Design and Construction of Sewage Treatment Plants Including new trunk sewer and allied works for municipal area of Nainital Town", one unit of Packaged Sewerage Treatment Plant of 20 KLD capacity has been proposed in the Forest Guest House in Nainital Town premises, to overcome the problem of management of increasing sewerage management requirement of Nainital Town and providing recycled water for the cleaning, aesthetic management and other allied purposes to college premises.


You are kindly requested to provide No Objection Certificate (NOC) for an area of 80 sqm. Officials from Project Implementation Unit, Nainital town will coordinate with yourself to identify the technically feasible land in the Forest Guest House in Nainital Town premises.

With Warm Regards

  
 Deputy Program Director  
 UUSDA, Dehradun  
 Uttarakhand

C:C:

1. District Magistrate, Nainital District.
2. Secretary, Urban Development Department, Govt. of Uttarakhand.
3. Secretary, Department of Land & Estate, Govt. of Uttarakhand.
4. Program Director, Uttarakhand Urban Sector Development Agency (UUSDA).
5. Senior Project Manager, Project Implementation Unit, Nainital.



Deputy Program Director  
UUSDA, Dehradun  
Uttarakhand



**कार्यालय कार्यक्रम निदेशक**  
**उत्तराखण्ड शहरी क्षेत्र विकास एजेंसी (UUSDA)**

शहरी विकास विभाग, उत्तराखण्ड सरकार  
 सांख्यिक टावर, द्वितीय तल, राजेन्द्र नगर, कौलागढ़ रोड, देहरादून, उत्तराखण्ड,  
 दूरभाष-91-135-2753894, फ़ैक्स-91-135-2754895 Email: uUSDip@gmail.com



Letter No.- A-350 / 708

Date- 23/12/2019

e-mail / Speed Post

-Priority-

To,

Director  
 Department of Technical Education,  
 State of Uttarakhand  
 Srinagar, Garhwal, Uttarakhand

Subject: Regarding issue of the NoC for construction of Packaged Sewerage plant of 20KLD capacity in Government Polytechnique, Nainital premises for a land area of 80 Sqm.

Dear Sir,


Urban Development Department, Govt. of Uttarakhand intends to receive financing from Asian Development Bank (ADB) towards the cost of development of Urban Sector Infrastructure in 06 towns (Nainital, Haldwani and Ramnagar in Kumaon division and in Dehradun, Kotdwar and Roorkee in Garhwal division) of the state. The Project involves development of urban infrastructure for achieving Drinking Water Supply, Waste Water Management, Solid Waste Management, Urban Drainage, Roads & Transport, Landscaping and Reforms Sectors in the proposed Project towns.

In continuation to its assistance, Uttarakhand Urban Sector Development Agency (UUSDA) is in process of loan negotiation for the Uttarakhand Urban Sector Development Investment Program (UUSDIP-II). Under this as per the ADBs standard procedures, preparation of the detailed project reports and safeguards documents preparation is underway.

For Nainital town under proposed construction Package entitled, "Design and Construction of Sewage Treatment Plants Including new trunk sewer and allied works for municipal area of Nainital Town", one unit of Packaged Sewerage Treatment Plant of 20 KLD capacity has been proposed in the Government Polytechnique, Nainital premises, to overcome the problem of management of increasing sewerage management requirement of Nainital Town and providing recycled water for the cleaning, aesthetic management and other allied purposes to college premises.

You are kindly requested to provide No Objection Certificate (NOC) for an area of 80 sqm. Officials from Project Implementation Unit, Nainital town will coordinate with your goodself to identify the technically feasible land in the polytechnique premises.

With Warm Regards





  
 Deputy Program Director  
 UUSDA, Dehradun  
 Uttarakhand

C:C:





1. District Magistrate, Nainital District.
2. Secretary, Urban Development Department, Govt. of Uttarakhand.
3. Secretary, Department of Land and Estate, Govt. of Uttarakhand.
4. Program Director, Uttarakhand Urban Sector Development Agency (UUSDA).
5. Principal, Govt. Polytechnique, Nainital.
6. Senior Project Manager, Project Implementation Unit, Nainital.




  
Deputy Program Director  
UUSDA, Dehradun  
Uttarakhand

## Appendix 5: Socio-economic Profile of Affected Persons






S. No.	Name of respondent/ AP and Contact Phone Number	Father's/ mother's/ Husband Name	Age	Sex (M/ F)	Caste	Religion	Educational profile	Business owner /employee	Structure owner/ Tenant	Type of business (road side shop/ mobile vendor)	Type of impact (display of wares on ROW affected, temporary income loss/ any other loss)	If business owner, no. of employees	No. of family members (M= F= M=)	Type of vulnerability (BPL/woman / WHH/child worker/orphan - child//SC disabled / elderly/ landless/ non-titleholder- indicate multiple vulnerabilities if applicable)	Daily income from affected business (₹)	Daily Profit (₹)	Photo of AP and shop/ business
1	Md. Naem	Md.Nazim	43	M	General	Muslim	literate	Owner	Rent	Stationary	Temporary income loss	None	F=2 M=1 T=3	None	1500	950	
2	Jai	Ram Singh	27	M	General	Hindu	literate	Owner	Rent	Stationary	Temporary income loss	None	M=2 F=2 T=4	None	2000	1250	
3	Amit Gifts	Samit	38	M	General	Hindu	literate	Owner	Rent	Gift	Temporary income loss	None	M=2 F=2 T=4	None	1250	950	
4	Harikant	Umaprasad	42	M	General	Hindu	literate	Owner	Owner	Stationary	Temporary income loss	None	M=2 F=2 T=4	None	1500	1050	




S. No.	Name of respondent/ AP and Contact Phone Number	Father's/ mother's/ Husband Name	Age	Sex (M/ F)	Caste	Religion	Educational profile	Business owner/ employee	Structure owner/ Tenant	Type of business (road side shop/ mobile vendor)	Type of impact (display of wares on ROW affected, temporary income loss/ any other loss)	If business owner, no. of employees	No. of family members (M= F= M=)	Type of vulnerability (BPL/woman / WHH/child worker/ orphan - child//SC disabled / elderly/ landless/ non-titleholder- indicate multiple vulnerabilities if applicable)	Daily income from affected business (₹)	Daily Profit (₹)	Photo of AP and shop/ business
5	Harish Chandra Kandpal	Parmanand Kandpal	48	M	General	Hindu	literate	Owner	Owner	Vendor	Temporary shifting of vendor & income loss	None	M=2 F=2 T=4	None	1000	600	
6	Brahma Chand	Chetu Ram	62	M	SC	Hindu	literate	Owner		Fruit shop	Temporary shifting of vendor & income loss	none	M=1 F=2 T=3	SC	1750	1200	
7	Faisal Qureshi	Maqbol Qureshi	37	M	General	Muslim	literate	Owner	Owner	Mutton/ chicken shop	Temporary income loss	None	M=4 F=3 T=7	None	1500	1100	
8	Sonu	Naem	34	M	General	Hindu	literate	Owner	Owner	Stationary	Temporary income loss	None	M=2 F=4 T=6	None	1200	850	


S. No.	Name of respondent/ AP and Contact Phone Number	Father's/ mother's/ Husband Name	Age	Sex (M/ F)	Caste	Religion	Educational profile	Business owner/ employee	Structure owner/ Tenant	Type of business (road side shop/ mobile vendor)	Type of impact (display of wares on ROW affected, temporary income loss/ any other loss)	If business owner, no. of employees	No. of family members (M= F= M=)	Type of vulnerability (BPL/woman / WHH/child worker/ orphan - child//SC disabled / elderly/ landless/ non-titleholder- indicate multiple vulnerabilities if applicable)	Daily income from affected business (₹)	Daily Profit (₹)	Photo of AP and shop/ business
9	Md Akram	Nanhe Mia	35	M	General	Muslim	literate	Owner	Owner	Barber shop	Temporary income loss	None	M=4 F=3 T=7	None	800	550	
10	Rajendra Singh	Munshi Raj	37	M	General	Hindu	literate	Owner	Owner	Chicken shop	Temporary income loss	None	M=2 F=2 T=4	None	1900	1200	
11	Taiyab	Abdul	43	M	General	Muslim	literate	Owner	Owner	Stationary	Temporary income loss	None	M=4 F=4 T=8	None	1800	1200	
12	Md Fukraan		36	M	General	Muslim	literate	Owner	Owner	Stationary	Temporary income loss	None	M=3 F=2 T=5	None	3000	2200	




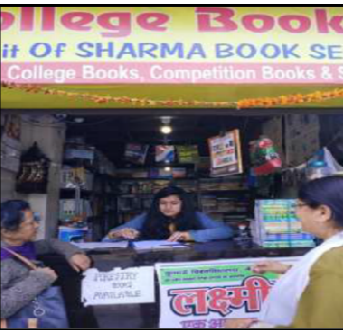
S. No.	Name of respondent/ AP and Contact Phone Number	Father's/ mother's/ Husband Name	Age	Sex (M/ F)	Caste	Religion	Educational profile	Business owner/ employee	Structure owner/ Tenant	Type of business (road side shop/ mobile vendor)	Type of impact (display of wares on ROW affected, temporary income loss/ any other loss)	If business owner, no. of employees	No. of family members (M= F= M=)	Type of vulnerability (BPL/woman / WHH/child worker/ orphan - child//SC disabled / elderly/ landless/ non-titleholder- indicate multiple vulnerabilities if applicable)	Daily income from affected business (₹)	Daily Profit (₹)	Photo of AP and shop/ business
13	Md Shami	Md Rafi	45	M	General	Muslim	literate	Owner	Owner	Stationary	Temporary income loss	None	M=5 F=3 T=8	None	1300	900	
14	Jabeer	Sabeer Hussain	37	M	General	Muslim	literate	Owner	Owner	Stationary	Temporary income loss	None	M=3 F=5 T=8	None	1000	750	
15	Sanib	Ansar Ahmed	2	M	General	Muslim	literate	Owner	Owner	Vegetable shop	Temporary income loss	None	M=4 F=3 T=7	None	700	550	
16	Javed	Zakir	41	M	General	Muslim	literate	Owner	Owner	Stationary	Temporary income loss	None	M=2 F=5 T=7	None	1100	650	
17	Girish Chandra Joshi	Nathuram Joshi	46	M	General	Hindu	literate	Owner	Rent	Stationary	Temporary income loss	None	M=2 F=2 T=4	None	1200	700	


S. No.	Name of respondent/ AP and Contact Phone Number	Father's/ mother's/ Husband Name	Age	Sex (M/ F)	Caste	Religion	Educational profile	Business owner/ employee	Structure owner/ Tenant	Type of business (road side shop/ mobile vendor)	Type of impact (display of wares on ROW affected, temporary income loss/ any other loss)	If business owner, no. of employees	No. of family members (M= F= M=)	Type of vulnerability (BPL/woman / WHH/child worker/ orphan - child//SC disabled / elderly/ landless/ non-titleholder- indicate multiple vulnerabilities if applicable)	Daily income from affected business (₹)	Daily Profit (₹)	Photo of AP and shop/ business
18	Ramesh Joshi	Laxmi Dutt Joshi	42	M	General	Hindu	literate	Owner	Rent	Tea Stall/ Taxi service	Temporary income loss	None	M=2 F=2 T=4	None	1850	1100	
19	Laxmi Devi	Chandra Singh	72	F	General	Hindu	literate	Owner	Rent	Stationary	Temporary income loss	None	F=3 M=2 T=5	None	800	550	
20	Mahendra Singh Negi	Bisan Singh Negi	53	M	General	Hindu	literate	Owner	Rent	Stationary	Temporary income loss	None	M=3 F=1 T=4	None	1000	650	

### Appendix 6: Summary of Public Consultations

Sl. No.	Date of Consultation	Name of Persons	Location	Topic Discussed	Issues Addressed	Photographs
1	06.01.2020	Santoshi Dimri Suresh Adhikari , Rajesh Baguna Executive engineer, UJN, Suresh Chandra Khanduri	Nagar Nigam officials	<ol style="list-style-type: none"> <li>1) About Water Supplied in area.</li> <li>2) Wastewater facility scenario in the area,</li> <li>3) Work Proposed by UUDP-projectproject package</li> <li>4) Opinion of residents and other stakeholders on willingness to pay for improved services</li> <li>5) Resettlement related provisions for the vulnerable Affected Families,</li> <li>6) House service connection for all including poor and vulnerable families.</li> </ol>	<ol style="list-style-type: none"> <li>1) The Nagar Nigam Officials have shown their willingness to participate in project. And increased awareness about the direct benefits along with latent benefits of the project were discussed.</li> <li>2) Nagar nigam Officials emphasized that prior approval before start of any construction work is very essential, Nainital being a prime tourist destination and especially the Mall road along the Naini Lake.</li> <li>3) Nagar Nigam expressed concern related to the time schedule of the construction work; it was assured that efforts will be made by the project authority to try and complete the work in time to reduce inconvenience.</li> <li>4) Shared the provision of prior intimation about the construction schedule and site level grievance system, also discussed safety provisions under the project &amp; R&amp;R provisions as per entitlement</li> </ol>	

Sl. No.	Date of Consultation	Name of Persons	Location	Topic Discussed	Issues Addressed	Photographs
					<p>matrix</p> <p>5) It was informed that some roadside shops may face livelihood impact during the construction work and will be eligible for compensation, including the poor and vulnerable groups additional assistance will be provided by the project.</p> <p>6) Clarified that the residents will be eligible for Service connections including those who are not previously covered.</p>	

Sl. No.	Date of Consultation	Name of Persons	Location	Topic Discussed	Issues Addressed	Photographs
2	13.01.2020	Santoshi, Pushpa, Arti Rawat, Manish, R Joshi, Kamlesh, Ramesh Kumar, Ravi Kumar, Sona Devi, Suresh Chandra	Roadways stand and Upper mall road	<p>1) Disclosed the details of proposed Scope of Work of the project and area to be covered under the project,</p> <p>2) Explained the tentative project implementation period and possible inconveniences,</p> <p>3) Discussed current level of service of Water supply and condition of Sewerage and storm water drainage in the town/ Present drinking water problem-quantity and quality</p>	<p>1) Only few People were aware of the proposed project,</p> <p>2) Residents are concerned about the poor sewerage conditions.</p> <p>3) The residents and shop owners expressed that prior intimation about the construction schedule such that their businesses are not disrupted.</p> <p>4) For any complaint how and to whom they can lodge with. Also discussed safety provisions under the project.</p> <p>5) With the proper implementation of the Safeguard Policy, the sufferings of local people will be reduced to a large extent during project implementation phase.</p> <p>6) Project authorities informed that any grievances related to project work will be addressed through Common GRM system of the project. Any person, irrespective of class, creed or occupation will have the access to the said GRM to lodge complaint.</p>	 

3	03.01.2021	Rama, Khasti Bisht, Khila Suyal, Ramlal, Shashi Kumar, Jagdamba, Naresh, Bharatlal, Ambush Singh, Jivanlal, Shyamlal, Bhagwati Devi, Santoshi Dimri	Malla krisnapur, Hanuman Gadhi	<p>1) Shared the details of project benefits proposed under the project,</p> <p>2) Willingness of residents to pay for improved services of Sewerage,</p> <p>3) Benefits of storm water drainage.</p>	<p>1) Participants have shown their willingness to engage with the project and explore job opportunities. Mostly people are willing to take the house service connections (water supply and sewer) and enjoy benefits of the project.</p> <p>2) With the proper implementation of the Environmental Management Plan &amp; Safeguard Policy, the sufferings of local people will be reduced to a large extent during project implementation phase.</p> <p>3) Discussed about the provisions of prior intimation about the construction schedule and site level grievance system, also discussed safety provisions under the project. Clarified that the Nagar Palika will be the nodal agency to deal with the town level matters.</p>	
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**Appendix 7: Outline of Project Information Disclosure Leaflet**

Project Information	Description
1) Name of the project, project, EA/IA and city	
2) Proposed project technical details and project benefits	
3) Summary of project impacts	
4) Compensation and entitlements	
5) Resettlement Plan (RP) budget	
6) RP implementation schedule	
7) Consultation and disclosure requirements	
8) Implementation structure and GRM Information	
9) Contact numbers of CAPP, PIU, PMU	

Attach list of affected persons and Entitlement Matrix to this leaflet. This leaflet will be disseminated both in local language (Hindi) and English

### Appendix 8: Grievance Registration Format (to be made available in Hindi language)

The \_\_\_\_\_ Project welcomes complaints, suggestions, queries and comments regarding project implementation.

Aggrieved persons may provide grievance with their name and contact information to enable us to get in touch for clarification and feedback.

In case, someone chooses not to include personal details and wants that the information provided to remain confidential, please indicate by writing/typing **\*(CONFIDENTIAL)\*** above Grievance Format.

Thank you.

<b>1. Date</b>		<b>2. Place of registration</b>	
<b>3. Contact Information/Personal Details</b>			
<b>4. Name</b>		<b>5. Gender</b> * Male *Female	<b>6. Age</b>
<b>7. Home Address</b>			
<b>8. Place</b>			
<b>9. Phone no.</b>			
<b>10. E-mail</b>			
<b>11. Complaint/Suggestion/Comment/Question</b> Please provide the details (who, what, where and how) of your grievance below: If included as attachment/note/letter, please tick here:			
<b>12. How do you want us to reach you for feedback or update on your comment/grievance?</b>			

#### FOR OFFICIAL USE ONLY

<b>1. Registered by:</b> (Name of Official registering grievance)	
<b>2. Mode of communication:</b> Note/Letter /E-mail Verbal/Telephonic	
<b>3. Reviewed by:</b> (Names/Positions of Official(s) reviewing grievance)	
<b>4. Action Taken:</b>	
<b>5. Whether Action Taken Disclosed:</b>	Yes/ No
<b>6. Means of Disclosure:</b>	



### Appendix 9: Labor Wage Rates as Per Notification Dated March, 2019 of Labour Department, Government of Uttarakhand

उत्तराखण्ड शासन

श्रम अनुभाग

संख्या:- 312/VIII/19-228(श्रम)/2001-पार्ट-II

देहरादून, दिनांक: 08 मार्च, 2019

#### अधिसूचना

राज्यपाल, न्यूनतम मजदूरी अधिनियम, 1948 (इंफेन्सिवम संख्या 11 सन् 1948) की धारा 4 की उपधारा(1) का खण्ड (1) के उपधारा (1) के खण्ड (ख) और उपधारा (2) एवं उपधारा (3) के अन्तर्गत प्रदत्त इच्छाओं का प्रयोग करके और इस संबंध में जारी पूर्व अधिसूचना संख्या 348/VIII/13-228(श्रम)/2001, दिनांक 08 मार्च, 2013 को अधिभूत करने हुए एवं उत्तराखण्ड न्यूनतम मजदूरी सलाहकार बोर्ड से परामर्श करने के पश्चात् सम्पूर्ण विद्यमान दिनांक 01 अप्रैल, 2019 से परिशिष्ट में उल्लिखित अनुसूचित निवर्तमान में विद्यमान कर्मचारियों के लिये मजदूरी की न्यूनतम दरों का पुनरीक्षित कर निम्नवत् निर्धारित करने की सहज स्वीकृति प्रदान करते हैं:-

क्र. सं.	कर्मचारियों की श्रेणी	देय मूल मजदूरी की न्यूनतम मासिक दर (प्रतिमाह रूप में)
(1)	(2)	(3)
1	अकृषक	8300
2	अर्द्ध कृषक	8646
3	कृषक	8992
4	अति कृषक	9574
5	लिपिक वर्गीय कर्मचारी	9574
	(क) श्रेणी एक	
	(ख) श्रेणी दो	9141

टिप्पणी- कर्मचारियों का श्रेणीवार वर्गीकरण परिशिष्ट-2 में दिया गया है।

1- विभिन्न वर्ग के श्रम के लिए नियोजित व्यक्त कर्मचारियों को देय मूल मजदूरी की न्यूनतम दरें अखिल भारतीय उपभोक्ता मूल्य सूचकांक आधार (2001=100) के अंक पर होंगी।

2- परिवर्तनीय महंगाई भत्ता- अखिल भारतीय उपभोक्ता मूल्य सूचकांक (2001=100) के अंक 301 के ऊपर उपभोक्ता मूल्य सूचकांक में वृद्धि होने पर महंगाई भत्ते को 20 प्रतिशत की दर से शान्तिपूर्ण किताब जायेगा और समायोजन क्रमशः प्रत्येक वर्ष अप्रैल और अक्टूबर में पूर्ववर्ती वर्ष के जुलाई से दिसम्बर तक और घाटू नष्ट के जनवरी से जून माह तक के उपभोक्ता मूल्य सूचकांक के औसत पर करते हुए परिवर्तनीय महंगाई भत्ते का भुगतान किया जायेगा।

3- मजदूरी की दैनिक दर, उपरोक्त मासिक न्यूनतम मूल मजदूरी दर और परिवर्तनीय महंगाई भत्ते के 1/26 से कम न होगी।

4- घंटेवार दर, दैनिक दर के 1/6 से कम न होगी।

5- ऐसे कर्मचारियों को जिनके कार्य के घंटे (विशेष अन्तर्गत को शामिल करने हुए) एक दिन में 6 घंटे या एक सप्ताह में 36 घंटे से कम हैं तो उन्हें अंशकालिक कर्मचारी माना जायेगा और उनकी घंटेवार मजदूरी की दर तदनुसार दैनिक दर के छठे भाग से कम न होगी।

6- मजदूरी की उपर्युक्त दर किसी भी प्रकार से किसी कर्मचारी के हितों के प्रतिकूल प्रवर्तित नहीं होगी। यदि इन दरों के प्रयुक्त होने के पूर्व विद्यमान मजदूरी की दरें उपर्युक्त दरों के अनुसार देय मजदूरी

न्यूनतम वेतन अधिनियम, 1948 के अन्तर्गत आवर्त अनुसूचित नियोजनों में देय परिवर्तनीय मंहगाई भत्ता

निम्नलिखित तालिका में उल्लिखित अनुसूचित नियोजनों में नियोजित कर्मचारियों को स्तम्भ-3 में सन्दर्भित शासनादेशानुसार अखिल भारतीय उपभोक्ता मूल्य सूचकांक 2001=100 के अंक 301 के ऊपर वृद्धि होने पर मंहगाई भत्ते को ₹ 20 प्रति अंक की दर से समायोजित किये जाने का प्राविधान है। तदनुसार जुलाई, 2020 से दिसम्बर 2020 के औसत सूचकांक 324 पर दिनांक : 01-04-2020 से 30-09-2020 तक की अवधि के लिए परिवर्तनीय मंहगाई भत्ता निम्नवत होगा :-

$$(324-301) \times 20 = 460.00$$

अनुसूचित नियोजनों की तालिका

क्र० सं०	अनुसूचित नियोजन का नाम	अधिसूचना संख्या एवं दिनांक	अधिसूचना में उल्लिखित सभी श्रेणी के कर्मचारियों को देय परिवर्तनीय मंहगाई भत्ता ₹
(1)	(2)	(3)	(4)
1	वाणिज्य अधिष्ठानों और उत्तराखण्ड में दुकानों के नियोजन	309/VIII/19-228 (श्रम)/2001 -पार्ट-II, दिनांक : 08 मार्च, 2019	460.00
2	सड़कों के निर्माण या उन्हें बनाये रखने या निर्माण संक्रियाओं में नियोजन	310/VIII/19-228 (श्रम)/2001 -पार्ट-II, दिनांक : 08 मार्च, 2019	460.00
3	पत्थर तोड़ने या पत्थर फूटने में नियोजन।	311/VIII/19-228 (श्रम)/2001 -पार्ट-II, दिनांक : 08 मार्च, 2019	460.00
4	चिकन के कार्य में नियोजन।	तदैव	460.00
5	दियासलाई उद्योग में नियोजन।	तदैव	460.00
6	आइसक्रीम/आइसक्रीम विनिर्माणशालाओं में नियोजन	तदैव	460.00
7	ब्रेकरी और बिस्कुट विनिर्माणशालाओं में नियोजन	तदैव	460.00
8	बर्फ विनिर्माणशालाओं में नियोजन	तदैव	460.00
9	एस्सेस्ट्स सीमेंट कारखानों और अन्य सीमेंट उत्पाद विनिर्माणशालाओं में नियोजन	तदैव	460.00
10	लाकड़ी या धुलाई अधिष्ठानों में नियोजन	तदैव	460.00
11	जिल्दसाजी में नियोजन।	तदैव	460.00
12	कोल्ड स्टोरेज में नियोजन।	तदैव	460.00
13	पाटरी सिरेमिक्स या सिरेमिकीज में नियोजन	तदैव	460.00

--2--

**TRANSCRIPT:** As per Department of labor government of Uttarakhand, G.O. number 312/VIII/19-222-(Labor) /2001 part II, dehradun dated 8<sup>th</sup> March 2019 and 990/IV-01-13 dated 12 -3-2020 the labor rates are palced below.

S.No	Category of Employee	Monthly Labor rates (INR) including DA @ + 200/-	Daily rate (INR)
1	Unskilled	8500	326.92
2	Semiskilled	8846	340.23
3	Skilled	9192	353.54
4	Highly skiled	9774	375.92
5	Category -1	9774	375.23
	Category -1	9341	359.58

Note: the Daily rate should not be less than 1/26 than the monthly rate.

### Appendix 10: Safety Measures for Sewer Line Laying

Type of Roads	Average Width of Road (M)	Pipe dia Max. (mm)	Maximum Width of Actual Excavation (mm)	Method of trench Excavation of laying of pipes	Available width from one edge (m)	Length of Single working stretch (m)	Method of traffic Management	Remarks
Bituminous /Concrete	3.5	600	1000	Mechanical Means	700	200	Flagman on both sides in addition to no parking signage on either end	May opt for night time work at few sections having heavy traffic during day time.
Interlocking tiles /Earthen	2.0	250	650	Mechanical Means	600	200	As above	

#### Notes:

1. There is CC, bituminous top and interlocking tiles type of roads.
2. All the service providers like electricity, telecom, Cable TV, water supply lines shall be notified and consulted well in advance through outreach team of contractor and CAPPa team to identify the possible bottlenecks and to suggest the possible solutions and reinstating the services in case of any breakage of the same.
3. For the busy junctions having higher traffic load the provision of laying of pipes through trenchless has been provided.
4. Reinstatement will be carried out in two phases; temporary and permanent.
5. The socio-religious functions of the community (weekly bazar, festivals etc.;;) will be strictly followed and works causing community inconveniences will be strictly avoided on these dates/days.
6. No drainage channels will be disturbed any such disturbance /damage shall be set right as a priority work to avoid the impounding of the water in any area.
7. Pedestrian area will always be kept free from debris/trip hazard.
8. Environmental management plan will be strictly followed for all works.
9. Any form of land contamination, if encountered, shall be immediately brought to the notice of PIU/ PMU safeguard officer and remedial measures including plan for safe disposal of contaminated earth shall be suggested as immediate priority action.
10. Night work, of any, shall be carried out after due authorization with adequate authorities with adequate safety and security measures, due provisions like use of acoustic hood shall be used to reduce the noise pollution.

### Appendix 11: Sample Monitoring Template

A semi-annual monitoring report shall be prepared on Resettlement Plan implementation and submitted to ADB by the PMU. It will include: (1) **the list of affected persons**, with compensation, if any due to each and details of compensation paid with signed receipts annexed to the report, socio-economic status and satisfaction levels of affected persons with the Resettlement Plan implementation process, compensation and mitigation measures; (2) **the list of vulnerable affected persons** and additional compensation / special protection measures planned/implemented for them (e.g. assistance to obtain project construction related jobs); socio-economic status and satisfaction levels of affected persons with the Resettlement Plan implementation process, compensation and mitigation measures; (3) **list of roads for closure** and actions planned / taken to minimize disturbance; (4) **details of consultations held with affected persons** (with number of participants by gender, issues raised, conclusion / agreement reached, actions required/taken; (5) **details of grievances** registered, redressed, outstanding complaints, minutes of GRM meetings held; (6) **details of information disclosure** and awareness generation activities, levels of awareness among target population and behavior change, if any; and (7) **any other relevant information** showing Resettlement Plan implementation progress. The following checklist may be used for overall monitoring of Resettlement Plan implementation.

S. N.	Resettlement Plan Activities	Completed Y/N	Remarks
<b>A. Pre-Construction Activities and Resettlement Plan Activities</b>			
1	Approval of final Resettlement Plan by ADB prior to contract award		
2	Disclosure of final Resettlement Plan on ADB and EA websites		
3	Circulation of summary Resettlement Plan in local languages to all stakeholders		
<b>A. Resettlement Plan Implementation</b>			
1	Grievance Redress Mechanism established at different levels		
2	Entitlements and grievance redress procedure disclosed		
3	Finalization of list of affected persons, vulnerable affected persons and compensation due		
4	Finalization of list of roads for full or partial closure; mitigation measures proposed and implemented (with photographic documentation)		
5	Affected persons received entitlements as per EM in resettlement plan		
6	Payment of compensation, allowances and assistance (No. of affected persons)		
7	Additional assistance (project-related construction jobs, if willing and able) for vulnerable households given (No. of vulnerable affected persons assisted)		

<b>S. N.</b>	<b>Resettlement Plan Activities</b>	<b>Completed Y/N</b>	<b>Remarks</b>
8	Grievances No. of grievances registered No. of grievances redressed Outstanding complaints Disclosure of grievance redress statistics		
9	Consultation, participation and disclosure as per Plan		
<b>C. Monitoring</b>			
10	Survey on satisfaction levels of affected persons with Resettlement Plan implementation completed		
<b>D.</b>	<b>Labor</b>		
11	Implementation of all statutory provisions on labor like health, safety, welfare, sanitation, and working conditions by Contractors. Ensuring no child labour used		
12	Equal pay for equal work for men and women		

NOTE: Where applicable, the information provided in the table should be supported by detailed explanatory report, receipts and other details.

**Appendix 12: Survey Safety Protocol on Covid-19**  
**Uttarakhand Integrated and Resilient Urban Development Project**  
**Socio-Economic Surveys**

**SURVEY SAFETY PROTOCOL ON COVID-19**

**A. Introductions**

1. The Government of Uttarakhand has requested support from Asian Development Bank for the Uttarakhand Integrated and Resilient Urban Development Project to improve universal and equitable access to safe and affordable drinking water, and access to adequate and equitable sanitation and hygiene for all ending open defecation. The outcome of the project is reliability and efficiency of water supply and sanitation services in Dehradun and Nainital enhanced. As a part of the social safeguard documents (resettlement plans), and detail measurement surveys, socio-economic survey will require to be conducted for the project locations. As the COVID-19 situation is prevailing, safety protocol for survey work has been developed addressing COVID-19.

**B. About the Corona Virus Disease**

2. Coronavirus disease (COVID-19) is an infectious disease caused by a newly discovered coronavirus. Most people infected with the COVID-19 virus will experience mild to moderate respiratory illness and recover without requiring special treatment. Older people and those with underlying medical problems like cardiovascular disease, diabetes, chronic respiratory disease, and cancer are more likely to develop serious illness. The COVID-19 virus spreads primarily through droplets of saliva or discharge from the nose when an infected person coughs or sneezes. At this time, there are no specific vaccines or treatments for COVID-19.<sup>32</sup> However, precautions can be implemented to prevent and slow down the transmission of the virus.

**C. Common Symptoms of Corona Virus Disease<sup>33</sup>**

3. COVID-19 affects different people in different ways. Most infected people will develop mild to moderate illness and recover without hospitalization.

Most common symptoms:

- fever;
- dry cough;
- tiredness.

Less common symptoms:

- aches and pains;
- sore throat;
- diarrhea;
- conjunctivitis;
- headache;
- loss of taste or smell;

<sup>32</sup> World Health Organization. [https://www.who.int/health-topics/coronavirus#tab=tab\\_1](https://www.who.int/health-topics/coronavirus#tab=tab_1)

<sup>33</sup> World Health Organization. [https://www.who.int/health-topics/coronavirus#tab=tab\\_1](https://www.who.int/health-topics/coronavirus#tab=tab_1)

- a rash on the skin, or fingers or toes become pale.

Serious symptoms:

- difficulty breathing or shortness of breath;
- chest pain or pressure;
- loss of speech or movement.

#### **D. Personal Protective Equipment that should be worn by survey team of UIRUDP**

4. While in the field, all the members of the survey team shall use or wear proper personal protective equipment (PPE) at all times. These PPEs may be removed on certain circumstances only, such as, but not limited to, eating, drinking, and any other task or activity that the PPE may inhibit the action. However, during these times, strict observance of social distancing is required.

5. The most common type of PPEs that should be worn by the field surveyors and enumerators are the following:

- Reusable mask or surgical mask. Reusable masks should be maintained clean per the manufacturer's instruction. Surgical masks should not be reused.
- Face shield. This PPE is especially useful for the field workers especially when talking to various people in a relatively confined space or indoors.
- Gloves. This is especially useful in situations in the field where items are being passed around from one hand to another, and no available hand sanitizers, or water and soap for handwashing after the activity.

#### **E. Safety Protocol for Survey Work**

##### **1. The survey team of UIRUDP should ensure the following;**

- Before undertaking the survey, ensure that the respective urban local body (ULB) has been informed by UIRUDP about the survey.
- Never carry out survey activities in containment zone, if any, and undertake surveys in such areas after restrictions are lifted and necessary approvals are obtained for survey work.
- Maintain adequate stock of masks and sanitiser for survey team; and single-use surgical mask for respondents.
- The team should have handheld contactless temperature scanner and pulse oximeter (minimum 3-sets).
  - a) To test all members of the survey team every morning before starting of survey to ensure no persons are having a fever (above 100 F or 38 C) and oxygen saturation level (should be above 95).
  - b) Once in the field, the head of the team should test the temperature of every respondent before assigning a team member to a particular respondent.
    - The temperature of the respondent should be below above 100 F or 38 C.
    - If the temperature is high, then advise such respondents to take a rest and consult a doctor.

6. FGDs should be held only if allowed by District administration and situation permits. Otherwise, avoid FGDs.



- a) If FGDs are conducted, ensure it is held in the open, ensuring that participants are seated at least 1-meter apart.
  - b) Ensure there is no handshaking or any physical contact between participants and provide surgical mask to all participants.
  - c) Participants with fever, if any, should be asked to stay at home and not join the FGD.
7. Check daily the latest information on areas where COVID-19 is spreading and ensure no survey work is undertaken in any area declared as a containment zone.
8. Ensure no member of the survey team is in the high-risk category, those with medical conditions such as diabetes, heart, lung disease, etc. If any, counsel them and exclude them from the survey activity.
9. Ensure that no respondent with fever, cough, and cold is included in the enumeration, and collect information from some other member of the family who is in good health. If all members of the family are unwell, skip enumerating such families.
10. Mobile phones of the survey team, laptop, etc. need to be wiped with disinfectant daily on return from the field.
11. The safety protocol will be implied for the entire survey team of UIRUDP.

**2. Every enumerator/Interviewer of the survey team should strictly adhere to the following safety measures**

12. UIRUDP will provide an adequate number of branded N95 masks (single use only). At the end of each day, upon reaching home/place of stay, cut the mask into 2-pieces (to prevent recycling) and safely dispose of it in a separate wrapper as per Municipal Corporation guidelines.
13. The enumerator/ interviewer should have a shoulder bag for carrying the hand sanitiser, single-use surgical masks, hand towel, survey tablet, identity card, water bottle, etc.
14. He should use N95 mask before setting out of his place to survey location and should use it throughout the day, till he completes the day's survey work and returns to his place.
- a) Before putting on the mask, clean hands with alcohol-based hand sanitise or soap and water.
  - b) Cover mouth and nose with mask and make sure there are no gaps between the face and the mask.
  - c) Avoid touching the mask while using it; if it is touched, clean hands with alcohol-based hand sanitise immediately after touching the mask.
  - d) To remove the mask: remove it from behind (do not touch the front of the mask); clean hands with alcohol-based hand rub or soap and water; and wash the mask with washing soap and dry it in sunlight.
15. Before and after every household survey, clean hands thoroughly with an alcohol-based hand sanitiser, which will be provided by UIRUDP.

- a) Avoid touching eyes, mouth, and nose immediately after using the hand sanitiser, as it can cause irritation.
  - b) Under no circumstance, drink or let children at home or survey-place, swallow the hand sanitizer. It can be poisonous.
  - c) Hand sanitizers recommended to protect against COVID-19 are alcohol-based and therefore can be flammable, be careful.
16. Wash hands with soap and water or using alcohol-based hand sanitiser before having tea and lunch.
17. Carry a freshly washed hand towel every day to dry your hands after washing.
18. Maintain at least 2 metre (6 feet) distance between yourself and the respondent and others during the enumeration.
  - a) Since the place of the respondent to be surveyed, may be congested and it may be difficult to maintain the minimum 6-feet distance, ensure that the respondent wears a mask throughout the enumeration.
  - b) Collect and keep some single-use surgical masks from your supervisor for giving to respondents.
  - c) Request respondents to avoid crowding of other family members when the enumeration is in progress.
19. After collecting and handing over the identity cards for taking photographs, ensure that hands are cleaned using alcohol-based hand sanitiser.
20. Avoid going to crowded places during and after enumeration.
21. Avoid touching eyes, nose, and mouth until reaching home and have taken a bath.
  - a) Use shampoo and wash hair thoroughly.
  - b) Wash clothes and dry them in sunlight.
  - c) All gadgets and materials used during survey should be disinfected, put in one bag and keep away from any family member, to ensure no virus is brought into the households of enumerators/surveyors.
  - d) Dispose off used face masks properly as described above. Face shields should be properly washed or disinfected as well.
22. Consume only cooked hot food and avoid consuming any packaged food.
  - a) Carry drinking water and keep the body hydrated.
  - b) Drink hot water, wherever possible
23. Avoid public transport for local travel and use vehicle/motorcycle of UIRUDP (if possible) to reach survey places (settlements).
  - a) If auto-rickshaw is used ensure only 2-persons travel and in taxi, 3-persons. As much as possible, avoid auto and taxi, and use motorcycle or cycle instead.
24. If someone has any minor symptoms such as cough, headache, mild fever, inform UIRUDP, and stay at home. Do not come for the survey work.
  - a) At home, be isolated from others.

- b) call the nearest government COVID-19 health care contact person and give details of your symptoms and places that is visited for survey work.

**F. Important**

25. UIRUDP will facilitate testing of the members for COVID-19, once they reach the destination town and the supervisors should be in self-quarantine till results come. Only after the result is known and is Negative, the survey activities should commence. If anyone tests Positive, then such a person should immediately contact the hospital and take treatment as recommended.