

# Draft Resettlement Plan

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July 2011

## IND: Uttarakhand Urban Sector Development Investment Program Tranche 2—Nainital Water Supply Distribution System Subproject

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

## **CURRENCY EQUIVALENTS**

(as of 28 June 2011)

Currency Unit	=	Indian rupee/s (Re/Rs)
Rs1.00	=	\$0.0222
\$1.00	=	Rs44.9500

## **ABBREVIATIONS**

ADB	:	Asian Development Bank
BPL	:	below poverty line
CAPP	:	Community awareness and participation program
CWR	:	clear water reservoirs
ESMC	:	Environmental and Social Management Cell
FGD	:	Focus group discussions
GLSR	:	ground level service reservoir
GOU	:	Government of Uttarakhand
IPIU	:	investment program implementation unit
IPMU	:	investment program management unit
NGO	:	nongovernmental organization
OHSR	:	overhead service reservoir
OHT	:	overhead tanks
PWD	:	Public Works Department
ROW	:	right-of-way
SPS	:	ADB's Safeguards Policy Statement, 2009
UJS	:	Uttarakhand Jal Sansthan
ULB	:	urban local body
UPJN	:	Uttarakhand Peya Jal Nigam
WTP	:	Water treatment plant

## **NOTE**

In this report, "\$" refers to US dollars.

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## EXECUTIVE SUMMARY

- 1. Subproject Scope.** This resettlement plan has been prepared for the water supply optimization subproject in Nainital proposed under the investment program's Tranche 2. The subcomponents are: laying of transmission and distribution mains (73.3 kilometers) with provision of distribution boxes, house service connections and water meters in 24 water supply zones.
- 2. Key Survey Findings.** Pipelines will be laid on the edge of the road within the existing right-of-way (ROW). Forest department clearance has been obtained for alignments where transmission lines passes from forest lands. Impacts are confined to temporary impacts due to pipelaying. To calculate the temporary impacts of pipelaying, census surveys were conducted along the proposed alignment in May 2011. Based on the census survey and confirmation of detailed designs, there are no expected impacts on permanent structures. Impacts are confined to squatters on ROWs and roadside shops in busy market area or in residential areas. The main livelihood is mostly small-scale selling operations; and the income source is selling general/grocery items, tea stalls/eatables, and assorted items. A total of 25 shops, vendors, squatters, and encroachers will be temporarily affected during construction.
- 3.** The census survey also obtained information on incomes and vulnerabilities. A total of nine households indicated that they are from a scheduled tribe while additional three households were from a Schedule Caste. Only one affected household was female-headed. None of the affected peoples were from other vulnerable categories like below poverty line (BPL) income or physically handicapped households.
- 4. Recommended Actions.** Further consultations and disclosure is required, method for addressing grievances, and implementation structures are identified in the resettlement plan. The only impact of the subproject is temporary livelihood disruption. All affected households will be provided compensation for lost income on the basis of income reported during the census survey, or a transitional allowance for the period of disruption whichever is greater. This compensation will be provided prior to award of civil works contracts. Affected vulnerable households identified during the census survey will be given priority in project construction employment and provided with additional special assistance for income restoration support.



## I. SUBPROJECT DESCRIPTION

1. The investment program will support the Government of India and the Government of Uttarakhand (GOU) in their policy of balanced regional socio-economic development and poverty reduction through improvements in urban governance, management, and infrastructure and service provision in 31 towns in Uttarakhand.<sup>1</sup> The investment program will support: (i) water supply; (ii) sewerage and sewage treatment; (iii) municipal solid waste management; (iv) urban roads and traffic management; (v) slum upgrading and poverty reduction; and (vi) planning and design, institutional and policy development, capacity building, and awareness raising.

2. This resettlement plan has been prepared for the water supply optimization subproject in Nainital proposed under the investment program's Tranche 2. The subcomponents are: (i) laying of transmission mains; and (ii) laying of distribution mains with provision of distribution boxes, house service connections and water meters in 24 water supply zones.<sup>2</sup>

3. Consistent with the subproject selection criteria for the investment program, rehabilitation is prioritized over new construction to avoid/minimize involuntary resettlement impacts. Transmission and distribution lines will be laid within road rights-of-way (ROW), and will not require land acquisition or cause permanent displacement, but will cause temporary access disruptions and possible temporary losses in income during construction. At places, transmission lines will pass through forest lands. These lines will be laid above ground and permission has been obtained from the forest department for pipelaying.

4. To further minimize construction impacts due to pipelaying, work will be executed during the early hours of the day in order to avoid inconveniences to the public as well as traders and vendors. All safety norms would strictly be adhered to depending on the magnitude of work and the sensitivity of the location. Appendix 1 provides impact minimization measures to be followed for pipelaying. The program implementation unit (IPIU) will also ensure that all the necessary rules related to safety and security of the public and residents are followed by the contractor. The actual dates of construction schedule with respect to rush hour and festival time business have been discussed with vendors, squatters, market committee members, and residents, and accordingly construction activities have been planned. After laying pipes the lane/road will be restored to its original condition (including bitumen, concrete cement and interlocking tiles as applicable).

### A. Scope of Land Acquisition and Resettlement

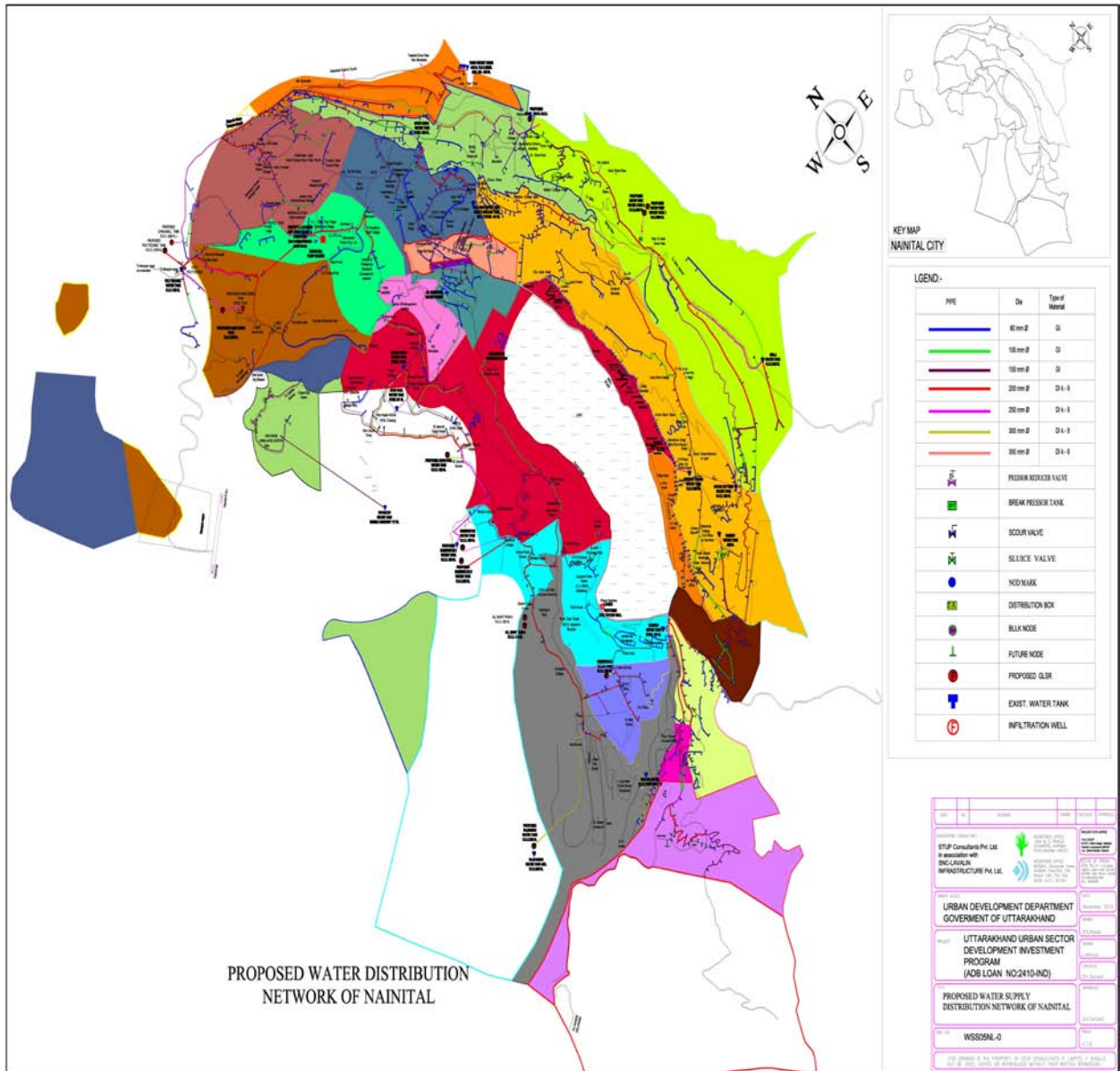
5. **Figure 1** shows the proposed water supply transmission/distribution network under Tranche-2. Table 1 shows all subproject components and anticipated involuntary resettlement impacts. Appendix 2 provides layouts of all sub-component locations and attaches ownership documents and no objection from government agencies.

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<sup>1</sup> These towns are: Almora, Bageshwar, Bajpur, Barkot, Champawat, Dehradun, Gangotri, Gopeshwar, Haldwani, Haridwar, Jaspur, Joshimath, Kashipur, Kichcha, Kotdwar, Manglore, Mussoorie, Nainital, New Tehri, Pauri, Pithoragarh, Ramnagar, Roorkee, Rudraprayag, Rudrapur, Srinagar, Kedarnath, Badrinath, Sitarganj, Uttarkashi, and Yamunotri.

<sup>2</sup> Municipal area of Nainital is divided into 25 water supply zones. One zone has been considered under fast track package of Tranche-1 and distribution system of balance 24 zones is been considered in Tranche-2.

Figure 1: Proposed Water Supply Distribution Network in Nainital under Tranche-2





6. To calculate the temporary impacts of pipelaying, census surveys were conducted along the proposed alignment in May 2011.<sup>3</sup> Based on the census survey and confirmation of detailed designs, there are no expected impacts on permanent structures. Impacts are confined to roadside shops and squatters on ROWs in busy market area or in residential areas. The main livelihood is mostly small-scale selling operations; and the income source is selling general or grocery items and tea stalls/small eateries.

7. Impacts are summarized in Table 2. A total of 25 shops, vendors, squatters, and encroachers will be temporarily affected during construction.

**Table 1: Summary of Components and Resettlement Impacts from the Subproject**

Details of Subproject Component	Land Acquisition and Resettlement Impact		Remarks
	<i>Perman ent</i>	<i>Tempor ary</i>	
Laying of 73.3 km of transmission and distribution mains consisting of 80 mm-350 mm, GI & DI Pipes; and provision of distribution boxes, house service connection and water meters.	None	25	Distribution lines will be buried 1 m. below in a trench on the edge of the road within the existing ROW. However, will have temporary impacts on roadside businesses.  Transmission lines will be laid above ground where it passes from forest lands and permission has been obtained from the forest department.

DI = ductile iron, GI = galvanized iron, km = kilometer, m = meter, ROW = right-of-way.

Source: Census Survey May 2011

<sup>3</sup> The potential temporary impacts on shops/kiosks/squatters/vendors with an estimated 25 affected households is counted on the basis of a census survey. All existing structures, facilities, and land use beside the road and fronting the existing road shoulders or ROW of the pipeline alignments are noted. The survey team (Comprises supervisor, surveyors, the design engineer and resettlement consultant [Design and Supervision Consultants-II] and Social and Community Development. Officer [IPMU] documented the following: current uses of the ROW or road shoulders (whether for residential, commercial; the type and dimension of structures that are most likely to be affected and its uses (whether residential, commercial or other purposes such as religious, cultural, etc.); the category of affected households (titled, having rights, or non-titled) who are affected; and whether such temporary impact will adversely affect their livelihood activities and how much is the average daily income generated from affected livelihood activities. A structured questionnaire was used to collect the information from the affected household along with consultations.

**Table 2: Summary of Resettlement Impacts**

Impact	Quantity
Permanent Land Acquisition (hectares)	-
Temporary Land Acquisition (hectares)	-
Titled affected peoples (Temporarily Affected)	-
Non-titled affected peoples (Temporarily Affected Vendors)	25
Vulnerable affected peoples	13
• Female Headed	1
• Scheduled Caste	3
• Scheduled Tribes	9
• Below Poverty Line	0
• Physically handicapped	0
Affected Trees/crops	-
Average Family Size	5.40
Average household income (per year)	Rs66,720

**Source:** Census Survey May 2011

## B. Socio-economic Information and Profile

8. A census survey was undertaken in May 2011. Households affected are those whose businesses will be temporarily disrupted because of pipelaying. The census survey identified 25 affected small business owner/operators mostly running small shops or kiosks. Project engineers confirmed that pipes can be laid without impacts on permanent structures. Summaries of data obtained from the census survey are in Appendix 3.

9. The census survey also obtained information on incomes and vulnerabilities. The resettlement framework identifies schedules castes/scheduled tribes, female-headed, below poverty line (BPL), physically handicapped as vulnerable households.

10. The survey indicated that nine affected households are from a Scheduled Tribe<sup>4</sup> while additional three are from Scheduled Caste. One affected household was female-headed. No below poverty line (BPL) or physically handicapped households will be affected by the subproject activities. Aside from the census survey, potential impacts on women were analyzed through focus group discussions (FGDs), during the course of social assessments. The women who participated in the FGDs recognized that women will benefit through better water supply and improvement of health and hygiene.

## II. INFORMATION DISCLOSURE, CONSULTATION, AND PARTICIPATION

11. During Program preparation, the following were identified as relevant stakeholders who should be included in consultations: all affected households/persons, including vulnerable households; program beneficiaries; host populations in resettlement sites (if any); elected representatives, community leaders, and representatives of community-based organizations; local nongovernmental organizations (NGOs); local government and relevant government agency representatives; and, investment program management unit (IPMU) and investment

<sup>4</sup> The census survey confirmed that while there are nine affected household who identify themselves as scheuled tribe, they does not have attachment to distinct habitats or territories in the subproject area or its natural resources with the subproject area being a built-up urban area; their cultural, economic, social, and political institutions are not different from those of the subproject's areas residents; and their language are the same of other subproject area residents. The livelihood system to be affected is vending (cobber, tea vendor, general items shop etc.) which is not indigenous.

program implementation unit (IPIU) staff, and consultants. Consultations undertaken during subproject preparation are in Appendix 4.

12. Public consultation and information disclosure with the identified stakeholders has been carried out as an integral part of the investment program. This included briefing on safeguard issues and requirements. Informal consultations at the subproject sites, involving the community and NGOs, were conducted during April-May 2011, to understand needs and preferences for basic infrastructure facilities, and discuss social and environmental issues in order to reflect these in program design and to avoid/minimize land acquisition and resettlement. The consultation mechanism included FGDs and structured questionnaires used during the census survey.

13. The resettlement framework summary has been disclosed in local language. The executive summary of this resettlement plan has been translated in local language and distributed to affected households. The resettlement plan will be disclosed on ADB and Government websites. Subproject area residents will be informed of construction schedules prior to commencement of pipelaying through signboards. The signboards will be in local language and will include at minimum: (i) section to be affected, (ii) start and end dates, (iii) information on traffic rerouting if any, and (iv) contact information for questions/grievances.

14. The main issues raised during consultations were loss of access to shops/houses as residential roads at many places are very narrow, traffic disruptions and impacts on livelihood. Consultations with affected households therefore centered on informing them of impacts during construction and obtaining opinion and agreement on measures to be taken during construction including scheduling of activities during the early morning and reducing construction activities during the rush hour. It was also discussed that if despite mitigation measures, there would be temporary impacts on livelihood, these would be compensated in accordance with the resettlement plan's entitlement matrix.

15. The resettlement plan for the Water Supply Distribution System, Nainital will be made available in relevant local government agencies in Nainital, and in IPIU and IPMU offices. This resettlement plan will be made available in local language (Hindi) and will also be disclosed on investment program and ADB's website for information dissemination. The consultation will continue throughout investment program implementation period.

### III. GRIEVANCE REDRESS MECHANISMS

16. The resettlement plan will follow the grievance redress mechanism in the resettlement framework. Grievances will first be brought to the attention of the implementing NGO or the Environment and Social Management Cell' (ESMC). Grievances not redressed by the NGO will be brought to the Town Level Committees (TLC) set up to monitor project implementation in each town. The TLC will be act as grievance redress committee (GRC) will be chaired by the Mayors or Chairpersons with representatives of ward members, the District Magistrate, Commissioner, Special Area Development Authority, Uttarakhand Peya Jal Nigam (UPJN), Uttarakhand Jal Sansthan (UJS), Public Works Department (PWD), business, and civil society. As a GRC, the TLC 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 by the General Body. The General Body consists of the Chief Secretary as its chairman and the secretaries of the relevant GOU departments and representatives of ULBs and NGOs as its member. If grievance will not be addressed further grievances will be referred by affected persons to the appropriate courts of law. Records will be kept of all grievances

received including: contract details of complainant, date of the complaint received, nature of grievance, agreed corrective actions and the date of these were effected, and final outcome.

## A. Legal Framework

17. The policy framework and entitlements for the Program are based on national laws: *The Land Acquisition Act, 1894* (LAA, amended in 1984) and *The National Rehabilitation and Resettlement Policy, 2007* (NRRP); ADB's *Safeguards Policy Statement (SPS) 2009*; and the Resettlement Framework prepared for this subproject. The salient features of government and ADB polices, a comparison, and gap filling measures are described in the resettlement framework. The government will ensure compliance with government laws and policies, and ADB policies for all types of affected persons following the principles for the Program as identified in the resettlement framework.

18. The impact only impact of subproject is temporary livelihood disruption. All affected households will be provided compensation for lost income on the basis of income reported during the census survey, or a transitional allowance for the period of disruption whichever is greater. This compensation will be provided prior to award of civil works contracts. Affected vulnerable households identified during the census survey will be given priority in project construction employment and provided with additional special assistance for income restoration support.

## B. Entitlements, Assistance, and Benefits

19. Eligible persons, compensation and assistance, and entitlements of vulnerable groups are discussed in the resettlement framework. These are summarized in the entitlement matrix in Table 3. Affected households who are residents of the subproject area will benefit from improved water supply and public health as a result of subproject implementation.

**Table 3: Entitlement Matrix**

	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsible Agency
1	Temporary disruption of livelihood	Vendors affected on Road Right of Way	Titled and non-titled affected persons Aps	30 days advance notice regarding construction activities, including duration and type of disruption. Contractor's actions to ensure there is no income/access loss consistent with the initial environmental examination. <sup>5</sup> Assistance to vendors/hawkers to temporarily shift for continued economic activity. <sup>6</sup>	Identification of alternative temporary sites to continue economic activity.	Non-government organization (NGO) will determine income lost.  Contractors will perform actions to minimize income/access loss.

<sup>5</sup> 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.

<sup>6</sup> For example assistance to shift to the other side of the road where there is no construction.

	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsible Agency
				For construction activities involving unavoidable livelihood disruption, compensation for lost income or a transitional allowance for the period of disruption whichever is greater.		
2	Impacts on vulnerable affected peoples	All impacts	Vulnerable affected peoples	Livelihood of Vulnerable households will be given priority in project construction employment and provided with additional special assistance for income restoration support.	Vulnerable households will be identified during the census survey.	NGO will verify the extent of impacts.
3	Any other loss not identified	-	-	Unanticipated involuntary impacts will be documented and mitigated based on the principles of ADB's SPS.	-	NGO will ascertain the nature and extent of such loss. The investment program management unit will finalize the entitlements in line with The National Rehabilitation and Resettlement Policy, 2007 (NRRP); ADB's SPS.

### C. Income Restoration and Rehabilitation

20. Livelihood risks are low as most households that may be affected engage in livelihood using movable stalls that can be shifted to other locations if properly informed. Affected peoples will be provided 30 days advance notice to ensure no or minimal disruption in livelihood. If 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. Ensuring there is no income or access loss during subproject construction is the responsibility of contractors.

21. The census survey identified these affected households to be general/grocery shops (60%), tea stall and small eatery operators, (16%), cloth vendors (8%), cosmetic vendors (8%), cobblers (shoe repair) (4%), and others (4%). If there is livelihood disruption, it will be temporary for the duration of the construction of pipeline section. This is estimated to be one week loss of income. If construction activities results unavoidable livelihood disruption, compensation for lost income or a transitional allowance for the period of disruption whichever is greater will be provided. There are 13 identified vulnerable affected households. Vulnerable affected peoples will be given priority in project construction employment and provided with additional special assistance for income restoration support. Compensation and assistance to affected peoples must be made prior to possession of land/assets and prior to the award of civil works contracts. Since most affected households have moveable stalls, ID cards should be distributed 30 days before compensation.

#### D. Resettlement Budget and Financing Plan

22. The resettlement budget is provided in Table 4. All resettlement costs are financed by the government. The budget for resettlement is provided by the government through the state's share of the investment program.

**Table 4: Resettlement Costs**

Sl. No	Item	Unit	Quantity	Unit Cost (Rs.)	Total Cost (Rs.)
<b>A</b>	<b>Compensation and Assistance</b>				
1	Temporary loss of income/livelihood on movable/permanent roadside vendors (for 7 Days)	Person	50	144.04	25,207
2	Additional assistance to vulnerable affected peoples	lump sum	13	2,000	26,000
3	Support Cost for resettlement plan Implementation <sup>7</sup>	lump sum	-	-	40,000
4	Cost for external monitoring consultant	lump sum	-	-	50,000
	<b>Total R&amp;R Cost</b>				<b>141,207</b>
	Contingency	10%			14,121
	<b>Grand Total</b>				<b>155,328</b>

The summary of cost is based on the information collected from the Directorate of Labour Commission, Government of Uttarakhand to hire a labor from the market which is Rs. 144.04/labor/day. This was also verified through consultation with affected peoples. The restoration support to vulnerable households is calculated on lump-sum basis.

#### IV. INSTITUTIONAL ARRANGEMENTS AND IMPLEMENTATION SCHEDULE

23. The Urban Development Department (UDD) is the executing agency of the investment program. The executing agency has already set up a state-level investment program management unit (IPMU). The implementing agencies has also set up a state-level investment program implementation units known as IPIU Central IPIU(C), and district or town wise sub IPIU to manage implementation of subprojects in their districts/towns.<sup>8</sup> The IPMU is being assisted by investment program management consultants (IPMC) who in providing program management support, assuring the technical quality of design and construction, and providing advice on policy reforms. IPIUs is being assisted by design and supervision consultants (DSC), who are designing the infrastructure, managing tendering of Contractors and supervising the construction process. Construction contractors has been appointed to build elements of the infrastructure. The construction contractors are being managed by the IPIUs, and being supervised by the DSC.

24. An ESMC has been set up within the IPMU to address environmental and social issues of the investment program staffed by an Environmental Specialist and an SDS. The ESMC is assisted by the IPMC (staffed with a Resettlement Specialist) to provide guidance to the ESMC

<sup>7</sup> Note: Administrative Budget/ Costs are not included: Input of various Experts for complete Program Duration: (i) IPMU Social Development Specialist in the Environmental and Social Cell (96 person months); (ii) IPMC Resettlement Specialist-National Consultant (10 person months); and (iii) DSC Resettlement Specialist-National Consultant (6 person months).

<sup>8</sup> The implementing agency for the investment program are the Uttarakhand Peya Jal Nigam (UPJN) for water supply and sewerage subprojects, and the Public Works Department (PWD) for roads and traffic management subprojects. A special cell within the IPMU, with assistance from Urban Local Bodies (ULBs), will be the implementing agency for solid waste management and slum improvement subprojects.

ensuring timely and effective implementation of resettlement plans and to provide monitoring. The DSC has resettlement specialists who will work closely with the ESMC and will be responsible for updating existing resettlement plans, preparing new resettlement plans for future subprojects, and support monitoring and grievance redress. The executing agency and IPMU are implementing resettlement plans through NGO. The responsible agencies and implementation schedule are provided in Tables 5 and 6.

**Table 5: Institutional Roles and Responsibilities**

<b>Activity</b>	<b>Responsible Agency</b>
<b><i>Subproject Initiation Stage</i></b>	
Finalization of sites for subprojects	IPMU
Disclosure of proposed land acquisition and subproject details by issuing Public Notice	IPMU
Meetings at community/ household level with affected peoples	IPIU/ CAPP NGO
Formation of Valuation Committees	IPMU/ IPIU
<b><i>Resettlement Plan Preparation and Updating Stage</i></b>	
Conducting Census of all affected peoples	NGO/ DSC Resettlement Specialist
Conducting FGDs/ meetings/ workshops	NGO/ DSC Resettlement Specialist
Computation of replacement values of land/ properties proposed for acquisition and for associated assets	Valuation Committee/ ESMC/ CAPP NGO/ DSC Resettlement Specialist
Categorization of affected peoples for finalizing entitlements	ESMC/ DSC Resettlement Specialist
Formulating compensation and rehabilitation measures	ESMC/ DSC Resettlement Specialist
Conducting discussions/ meetings/ workshops with affected peoples and other stakeholders	ESMC/ CAPP NGO/ DSC Resettlement Specialist
Fixing compensation for land/ property with titleholders	Valuation Committee / IPMU
Finalizing entitlements and rehabilitation packages	ESMC/ DSC Resettlement Specialist
Disclosure of final entitlements and rehabilitation packages	IPMU/ CAPP NGO
Approval of resettlement plan	Executing Agency/ ADB
Sale deed execution and payment	Executing Agency / IPMU
Taking possession of land	Executing Agency / IPMU
<b><i>Resettlement Plan Implementation Stage</i></b>	
Implementation of proposed rehabilitation measures	IPIU/ CAPP NGO
Consultations with affected peoples during rehabilitation activities	IPIU/CAPP NGO
Grievances redressal	CAPP NGO/ ESMC/ GRC
Internal monitoring	ESMC/ IPIU
External monitoring	External Agency

ADB = Asian Development Bank, DSC = design and supervision consultant, ESMC = Environment and Social Management Cell, FGD = Focus Group Discussion, IPIU = investment program implementation unit, IPMU = investment program management unit, NGO = nongovernmental organization.

**Table 6: Implementation Schedule**

Activity	Completed Tasks	May 2011	Jun 2011	Jul 2011	Aug 2011	Sept 2011	Oct 2011	Nov 2011
Approval of the SRP from ADB		♦						
Appointment of resettlement plan Implementing/CAPP NGO	♦							
Briefing of the TLC on GRC functions	♦							
Verification of census survey			♦					
Updation of SRP (if required)			♦					
Approval of the updated SRP from IPMU/ADB			♦					
Issuance of identification cards				♦				
Consultation and Disclosure			♦	♦	♦	♦		
Notice to the affected peoples for shifting				♦				
Payment of compensation					♦	♦		
Shifting/relocation (as required)					♦	♦		
Taking possession of acquired RoW						♦		
Internal Monitoring			♦	♦	♦	♦	♦	
External Monitoring						♦		
Hand over lands/ROW to contractors							♦	
Start of civil works								♦

### A. Monitoring and Reporting

25. Monitoring will be the responsibility of the ESMC and the implementing NGO. Monitoring will include: (i) administrative monitoring: daily planning, implementation, feedback and trouble shooting, individual affected people file maintenance, and progress reports; (ii) socio-economic monitoring: baseline information for comparing affected people's socio-economic conditions, relocation, salvaging materials, community relationships, dates for consultations, and number of grievances placed; and (iii) impact evaluation monitoring: income restored, and socioeconomic conditions of affected persons. Monitoring and evaluation reports documenting progress on resettlement implementation and resettlement plan completion reports will be provided by the implementing NGO to the IPIU and after reviewing the report IPIU will submit the report to IPMU on monthly basis. The monitoring report will be submitted semi-annually to the Asian Development Bank (ADB) by the IPMU. Monitoring will also ensure recording of affected people views on resettlement issues; affected people understanding of entitlement policies, options, and alternatives; site conditions; compensation valuation and disbursement; grievance redress procedures; and staff competencies.

26. The implementing NGO will report its activity to IPIU on a monthly basis and the IPIU will send it to IPMC for review and then IPMC will forward to IPMU. IPMU will send it to ADB on a semi-annual basis. To review the field report of NGO, DSCs should help to IPIU. The semi-annual progress report to ADB from IPMU will be supported and revised by IPMC.

27. The executing agency may engage a consultant with prior experience in resettlement implementation monitoring and evaluation. The consultant will verify resettlement plan implementation to determine whether resettlement goals have been achieved, livelihood and living standards have been restored, and provide recommendations for improvement. The consultant will undertake monthly monitoring and impact evaluation on a sample basis during mid-term and project completion. Monitoring will also ensure recording affected people views on resettlement issues; affected people understanding of entitlement policies, options, and alternatives; site conditions; compensation valuation and disbursement; grievance redress



procedures; and staff competencies. The consultant agency will report its findings simultaneously to the executing agency and to ADB.

**APPENDIX 1: SAFETY MEASURES FOR PIPELAYING**  
**Safety Measures for Pipelaying**

Type of road	Average width (m)	Max. Pipe dia (mm)	Max. width of actual excavation (mm)	Method of excavation	Working width (m) from one edge	Length of single working stretch (m)	Method of traffic management	Remarks
Bituminous	5	300	700	Mechanical (mini digger)	2	200	Flagmen at both end plus no parking sign for 100 m on either end	Night time working may be opted at busy sections with prior permission, stake holder consultation and noise control measures.
	6	-do-	-do-	-do-	-do-	-do-	-do-	-do-
	7.5	-do-	-do-	-do-	-do-	-do-	-do-	-do-
Concrete	2	100	250	Manual	0.5	50	Flagmen at both end. Only pedestrian traffic will be allowed.	-do-
	3	100	250	Manual	1	50	-do-	-do-
	4	150	350	Manual	1	100	Flagmen at both end. Pedestrian traffic can be allowed during works. Vehicles will be allowed after day's work by covering the trench with steel plates.	-do-
	5	150	350	Mechanical	2	200	Flagmen at both end plus no parking sign for 100m on either end	-do-
	6	200	500	Mechanical	2	200	-do_	
Tiles	2	50	150	Manual	0.5	50	Flagmen at both end. Only pedestrian traffic will be allowed.	-do-
	3	100	250	Manual	0.5	50	-do-	-do-
Earthen road	1	50	150	Manual	0.5	50	Controlled by general operative. Only pedestrian traffic will be allowed.	
	2	50	150	Manual	0.5	50	-do-	

**Notes:**

1. Works will be carried out with due intimation to Nagar Palika / PWD and after stake holder consultation
2. All service providers (electricity, telecom, OFC, cable TV, gas etc.) shall be notified and consulted well in advance to identify bottlenecks and possible solutions.

3. Reinstatement will be carried out in two phase – temporary and final.
4. No works will be carried out near the Mall road and other busy tourist spots during 15 Dec – 15 Jan, 15 April – 30 June.
5. No drainage channel shall be disturbed/stopped during construction works. Any drain affected by construction works shall be set right as early as possible and definitely before onset of monsoon.
6. The pedestrian/trafficked area shall be always free from debris / trip hazard
7. It is understood that there is no Asbestos cement pipe present with the town. However in case any AC pipe is found, work shall be immediately stopped and the Environmental Expert shall be intimated. Work can be resumed only after remedial works / permission by the Client.
8. Land contamination, if encountered, shall be immediately brought to the notice of the Environmental Expert and remedial measures shall be taken as advised. Disposal of contaminated earth shall be as advised by the expert.
9. Night time work, if any, shall be carried out after due authorization with adequate safety and security measures. Acoustic hood shall be used on equipment to reduce noise pollution.

**APPENDIX 2: LAYOUT OF SUBPROJECT COMPONENTS, LAND RECORDS AND NO OBJECTION CERTIFICATES**

**1. No Objection Certificates**

कार्यालय अधिशासी अभियंता निर्माण शाखा उत्तराखण्ड पेयजल निगम भीताल, नैनीताल

प.त्रांक / २० / ए०डी०बी० / १६ दिनांक - २१ / ०१ / २०११

सेवा में,  
प्रभागीय वनाधिकारी  
नैनीताल वन प्रभाग  
भवाली (नैनीताल)

विषय - ए०डी०बी० द्वारा वित्त पोषित नैनीताल शहर की पेय जल योजना के सम्बन्ध में ।  
महोदय,

अनुरोध है कि ए०डी०बी० द्वारा वित्त पोषित नैनीताल शहर की पेयजल योजना में पुरानी लाइनों को उखाड़कर नयी लाईन बिछाने एवं संयोजनो की मरम्मत का कार्य प्रस्तावित है । इस हेतु सूखताल से पॉलिटेक्निक एवं सूखताल से हॉडी मॉडी हेतु राईजिंग मेन को रिप्लेस किया जा रहा है । इस लाइन को रिप्लेस करने में वन सम्पदा को किसी भी किस्म की क्षति नहीं होगी । अतः सेवा में सादर सूचनार्थ प्रेषित ।

dw  
(ए० के० सक्सेना)  
अधिशासी अभियंता

5881  
13-2-1  
7-2-2011

पृष्ठ संख्या एवं दिनोंक उपरोक्तानुसार ।

प्रतिलिपि  
1 - जिलाधिकारी महोदय नैनीताल को सादर सूचनार्थ ।  
2 - टीमलीडर डी०एस०सी० २ को सूचनार्थ प्रेषित ।

अधिशासी अभियंता

R- पत्रांक 5881 13-2-1 दि० 7-2-2011

पत्रांक 5881 13-2-1 दि० 7-2-2011

कार्यालय वनशाखा अधिशासी अभियंता को प्रस्तावित एवं इस संबंध में कि उक्त पेयजल योजना में पुरानी लाइनों की मरम्मत / पुनर्स्थापना कार्य में कोई बाधा नहीं है किंतु कोई भी निर्माण कार्य करने पर जोर से वनसंपदा को क्षति हो सकती है । इस सम्बन्ध में क्षेत्र प्रशासक को सूचित करवाया जाय ।

प्रभागीय वनाधिकारी  
नैनीताल वन प्रभाग  
भवाली

## 2. Site Photographs



City roads



Pipeline through forest



Residential roads



Roadside affected shops

## APPENDIX 3: SOCIO-ECONOMIC INFORMATION OF AFFECTED PEOPLE

### Socio-economic Information of Affected People

**Table A3.1: Social Status of Affected Peoples**

Sl. No.	Annual Income (in Rs)	No. of Affected Peoples	Percentage
1.	Scheduled Castes	3	12%
2.	Scheduled Tribes	9	36%
3.	OBCs	1	4%
4.	General	12	48%
	<b>Total</b>	<b>25</b>	<b>100%</b>

Source: Census Survey, May 2011.

**Table A3.2: Income Level of the of Affected Peoples**

Sl. No.	Annual Income (in Rs)	No. of Affected Peoples	Percentage
1.	Less than Rs. 35,663 (below poverty line)	-	-
2.	Rs. 35,663-40,000	2	8%
3.	Rs. 40,000-50,000	1	4%
4.	More than Rs. 50,000	22	88%
	<b>Total</b>	<b>50</b>	<b>100%</b>

Source: Census Survey, May 2011.

**Table A3.3: Occupation of the Affected Peoples**

Sl. No.	Occupation Category	No. of Affected Peoples	Percentage
1.	Balloon shooting game	1	4%
2.	Cloth vendor	2	8%
3.	Cobbler	1	4%
4.	Cosmetic vendor	2	8%
5.	Eatable vendor	1	4%
6.	General items/Grocery shops	15	60%
7.	Tea vendor	3	12%
	<b>Total</b>	<b>25</b>	<b>100%</b>

Source: Census Survey, May 2011.

**Table A3.4: Years since Affected Peoples are doing Business at Surveyed Place**

Sl. No.	Annual Income (in Rs.)	No. of Affected Peoples	Percentage
1.	Less than 5 years	-	-
2.	5-10 years	5	20%
3.	10-20 years	19	76%
4.	More than 20 years	1	4%
	<b>Total</b>	<b>25</b>	<b>100%</b>

Source: Census Survey, May 2011.

**Table A3.5: Details of Affected Peoples**

Sl. No	Name of Affected People	Fathers Name	Street/ Muhalla	Ward	Type of Impact	Use of Structure	Vulnerable Households				
							SC	scheuled tribe	BPL	Physically Handicapped	Female Headed
1	Chandan Joshi	Durga Dutt Joshi	Maldhan cottage	Stap House	Temporary	Shop					
2	Girish Chandra Pandey	Bhawani Dutt	Maldhan cottage	Stap House	Temporary	Shop					
3	C.P. Dhusiya	Mahaveer	Hanuman Mandir	Stap House	Temporary	Shop	Yes				
4	Pratap Rana	Kunwar Ram	Hanuman Mandir	Stap House	Temporary	Shop					
5	Hari Ram	Bachchi Ram	Hanuman Mandir	Stap House	Temporary	Shop	Yes				
6	Sanju	Bahadur Ram	Field Malli tal	Naina Devi	Temporary	Cloth vendor					
7	Mahendra Lal	Umedi Ram	Field Malli tal	Naina Devi	Temporary	Cloth vendor	Yes				
8	Deepak Lal Sah	Laxmi Lal Sah	Rickshaw Stand Malli tal	Naina Devi	Temporary	Shop		Yes			
9	Ajay Gabbar	Ashok Kumar	Field Malli tal	Naina Devi	Temporary	Eatable vendor		Yes			
10	Khadak Singh	Prem Singh	Field Malli tal	Naina Devi	Temporary	Tea vendor		Yes			
11	Kamal Paliwal	Durga Dutt Paliwall	Field Malli tal	Naina Devi	Temporary	Cosmetic vendor		Yes			
12	Ram Dulare	Shyam Lal	Rickshaw Stand Malli tal	Naina Devi	Temporary	Cobbler		Yes			
13	Dheeru	Goverdhan	Field Malli tal	Naina Devi	Temporary	Tea vendor		Yes			
14	Om Prakash	Bahadur Ram	Field Malli tal	Naina Devi	Temporary	Balloon game		Yes			
15	Deepak Bisht	Bahadue Bisht	Field Malli tal	Naina Devi	Temporary	Tea vendor		Yes			
16	Prem Ram	Channi Ram	Field Malli tal	Naina Devi	Temporary	Cosmetic vendor		Yes			
17	Hemu	Ghanshyam	Zila Parishad Road	Upper Mall Raod	Temporary	Shop					
18	Dinesh Maisi	Ramesh Maisi	Zila Parishad Road	Upper Mall Raod	Temporary	Shop					
19	Arti Sah	Mitr Chandra Chaudhari	Zila Parishad Road	Upper Mall Raod	Temporary	Shop					Yes
20	Jahur Husain	Mahmood	Bada Bazar	Bada Bazar	Temporary	Shop					
21	Rajendra Bhatt	Parmanand Bhatt	Bada Bazar	Bada Bazar	Temporary	Shop					
22	Mohan Lal Sah	Basant Lal Sah	Bada Bazar	Bada Bazar	Temporary	Shop					
23	Kuber Singh	Deewan Singh	Bada Bazar	Bada Bazar	Temporary	Shop					
24	Pradeep Sah	Kishori Lal	Bada Bazar	Bada Bazar	Temporary	Shop					
25	Kamal (Guddu)	Heera Lal	Chunnadhara	Nainital Club	Temporary	Shop					

## APPENDIX 4: DETAILS OF PUBLIC CONSULTATIONS/FOCUS GROUP DISCUSSIONS

### Details of Public Consultations/FGDs

**Number of Participants: 59**

**Name of the Village/ Ward: Rickshaw Stand Chauraha-Field Area/Naina Devi; Maldan Cottage/Stap House; Stap House (above of Sita Kiran)**

**Date: 03.05.2011 and 05.05.2011**

**Time: 3.00 and 5.00 PM**

**Table A4.1: Details of Public Consultations/FGDs**

<b>Issues</b>	<b>Participant's Opinion, Comments and Suggestions</b>
General perception about the investment program. Awareness about the investment program especially the Water Supply System, Sewerage System component.	No awareness, but water is necessary
Support of local people for the proposed Water Supply System and Sewerage System Component of the project.	It is a good project,
Any critical issue or concern by the local people regarding this project?	No issue
Any criteria you would like to see considered during project design, construction and operation stage?	No, but should be proper
Number of Households in this area and Population of the village/ area	700 in Mall Road and 15 in field
Any Ethnic minorities/ tribal population living in this area (Note the name of Tribe/ indigenous community, if any) Any Vulnerable groups are in the village (women headed, BPL, scheduled tribe, PH etc.).	SC is less no community
Do the village/ ward people face any problems of water supply and drain of Sewage in their houses?	There is no problem in lower portion
If there is any problem related to these services, do you think that any up-gradation is necessary?	There is no problem but should be upgrade
Do you have any ideas on what is to be involved in the process of up-gradation?	No
For this up-gradation, the road/ street/ path may be affected - What is your opinion on this? Is it acceptable?	Full space but in favour in of city we will support
What extent this Water Supply and Sewerage System civil works will affect you?	Doesn't matter, it would only be for a certain time
Who else is to be affected due to this up-gradation process?	All
How intense could be the effect?	No idea
Do you think the effect will be of a permanent nature?	No idea
If it is not, how intense will be the temporary effect?	No idea
The work will be executed in this part of the road/footpath. You may require shifting to other side of the road. Please give your	We will manage




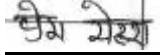

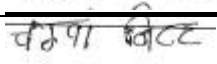

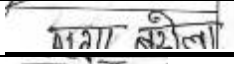
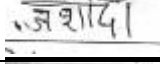
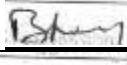
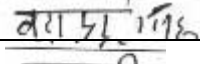
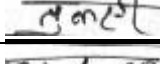
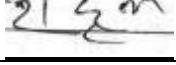
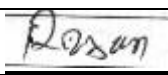


comments and suggestions.	
During the time of execution of work will you shift to other side of road or any other place in the town?	Yes
If requested to shift, would you like to return here?	Yes
If you shift other side of the road/ place is there any problem? Give your comments	Yes there will be some problem
In what way Executive Agency of GOU can assist you so that your daily business is not affected? What extra support you want from the Executing Agency of GOU?	Executive Agency need to complete the work within time
What are your perceived benefits from the investment program?	Nothing
Do you think that local labour force would like to participate in construction work?	Yes
Do you think that the local people would like to get regular information regarding this investment program?	Yes
Number of Shops/ Commercial establishments in the village/ town/ area	100 in Mall road and 200
Numbers of Industrial Units in the village/ town and surrounding area	200 Approx
General socio-economic standing: What are the economic activities? Land use, cropping pattern (Seasonal), types of crops, value of the crops, Average land holding size etc.	General social-economic Business area
Is the land Irrigated and what are the sources of Irrigation?	No
Current rates for the agricultural land (government as well as market rates).	No idea
Source of drinking water in this area.	Jal Sansthan
Loss of residential/ commercial structures, if any due to the project.	No idea
Loss of community life like any Market Places or community activities to be affected	No
Shortage of water for human consumption, irrigation, and other downstream uses? How extensive are they?	Water is necessary
Any conflicts on water use rights and its social impacts?	No
Resettlement and Land acquisition (if foreseen due to setting up of Water Supply and Sewerage System especially on private land). Has there been land acquisition before? If yes, what was the process of land acquisition and compensation package?	All shops are encroachment in Field area  Personal shops are In Mall road area
Protected areas (national park, protected forest, religiously sensitive sites, historical or archaeological sites near the project area around 5km), if any	Temple, Masque and Gurudwara and Mortuary are in the area
Health status, Availability of Hospitals, Is there any chronic disease prevalent in this area.	Hospital is available No awareness of major diseases

Over all environmental condition of the area. Are you aware about HIV/AIDS and STD?	
Poverty Level: Is the village/ ward is poor or very poor or well off?	No information
Education Status in this Village/ward: Literate, illiterate etc.	Literate
Employment Status: Percentage of employment/unemployment/underemployment.	We are in employment no information about other
Migration Pattern (If any), inward or outward	Local
Type of compensation expected (Cash or Kind)	Depends on you
Perceived benefits from the project	No idea
Perceived losses from the project	No idea
What other organizations of a social nature (NGOs/CBOs/ Civil Society) active in this village/ward? Name of these organizations.	No idea
Organization of the village/ ward and its structure. Do you have a village/ ward committee? What is the decision-making system in your village/ward? Who are the decision makers on community related issues in your village/ward? Are they elected or selected? If elected: By consensus or By majority vote.	Ward Member Decisions have been taken by the government department
Any Other Issues you may feel to share: (Demand of any support form Authority and whether they welcome the project, will there be cooperation from the local community during the implementation, security measures, etc).	Arrangement of water without any problem
Is this consultation useful? Comments	
Will there be likely involvement of local people in the implementation of this Water Supply Distribution System Project?	

Table A4.2: List of Participants

Sl. No	Name of the Participant	Occupation	Signature (If agreed by the participants)
1.	Prem Ram		प्रेम राम
2.	Deepak Lal Sah		दीपक लाल साह
3.	Om Prakash		ओम प्रकाश
4.	Deepak Bisht		दीपक बिष्ट
5.	Dheeru		धीरू
6.	Kamal Paliwal		कमल पालवाल
7.	Ajay/Gabbar		अजय गबबर
8.	Khadak Singh		खडाक सिंह
9.	Sanju		संजु
10.	Mahenda Lal		
11.	Jamil Ahmad		जमिल अहमद
12.	Prakash Joshi		प्रकाश जोशी
13.	Lala Ji		लाला जी
14.	Balam		
15.	Moh. Kazmi		
16.	Arshad		
17.	Mukkari Lal		मुकर्रि लाल
18.	Deewan Singh		दीवान सिंह
19.	Deewan Ram		दीवान राम
20.	Harak Singh		हरक सिंह
21.	Kamar Jahan		कमर जहाँ
22.	Suhana		सुहाना
23.	Nashim Ahmad		नासीम अहमद
24.	Ajjumudeen		अज्जमुदीन
25.	Nazma		नाजमा
26.	Pharana		फाराना
27.	Abdul Bahan		अब्दुल बहान
28.	Govind Bujar		गोविंद बुजार
29.	Rashik		रशीक

Sl. No	Name of the Participant	Occupation	Signature (If agreed by the participants)
30.	Deewan Singh		
31.	Naveen Chandra Dalakoti		
32.	Abdul Gaffar		
33.	CP Dhusiya		
34.	Gopal Singh Adhikari		
35.	Deewan Singh		
36.	Lallu Ram		
37.	Maya Arya		
38.	Ghasoda Arya		
39.	Pupsha Arya		
40.	Dayal Ram		
41.	Sobh Arya		
42.	Radha		
43.	Kalpana		
44.	Hema Arya		
45.	Nanu Badola		
46.	Prem Mehra		
47.	Parwati Dhaila		
48.	Champpa Bisht		
49.	Manju Fartyal		
50.	Ganga Badola		
51.	Jashoda Devi		
52.	Bishan Dutt Joshi		
53.	Bahadur Singh Rawat		
54.	Tulshi Kathayat		
55.	Kamlesh Kumar		
56.	Rahul Kumar		
57.	Bhuwan Chandra Joshi		
58.	Rajendra Tiwari		
59.	Naveen Kumar		

**Census Survey/Consultation Photographs**

