

# Project Administration Manual

Project Number: 47229  
October 2013

## India: Uttarakhand Emergency Assistance Project

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### **Project Administration Manual Purpose and Process**

The project administration manual (PAM) describes the essential administrative and management requirements to implement the project on time, within budget, and in accordance with Government and Asian Development Bank (ADB) policies and procedures.

The executing and implementing agencies are wholly responsible for the implementation of ADB financed projects, as agreed jointly between the borrower and ADB, and in accordance with Government and ADB's policies and procedures. ADB staff is responsible to support implementation including compliance by executing and implementing agencies of their obligations and responsibilities for project implementation in accordance with ADB's policies and procedures.

At Loan Negotiations the borrower and ADB agreed to the PAM and ensured consistency with the Loan agreement. Such agreement is reflected in the minutes of the Loan Negotiations. In the event of any discrepancy or contradiction between the PAM and the Loan Agreement, the provisions of the Loan Agreement shall prevail.

After ADB Board approval of the project's report and recommendations of the President (RRP) changes in implementation arrangements are subject to agreement and approval pursuant to relevant Government and ADB administrative procedures (including the Project Administration Instructions) and upon such approval they will be subsequently incorporated in the PAM.

## Abbreviations

ADB	=	Asian Development Bank
CCDMR	=	core committee for disaster management & rehabilitation
CSC	=	construction supervision consultant
DMF	=	design and monitoring framework
DoT	=	department of tourism
DP	=	displaced persons
DPR	=	detail project report
DSC	=	design and supervision consultant
DoT	=	department of tourism
EA	=	executing agency
EAL	=	emergency loan assistance
EARF	=	environmental and resettlement framework
EIA	=	environmental impact assessment
EMP	=	environmental management plan
GAP	=	gender action plan
GMVN	=	Garhwal Mandal Vikas Nigam
GoI	=	Government of India
GoU	=	Government of Uttarakhand
HPC	=	high powered committee
IA	=	implementing agency
IEE	=	initial environmental examination
IPP	=	indigenous people plan
KMVN	=	Kumaon Mandal Vikas Nigam
LIBOR	=	London interbank offered rate
MDR	=	Major district roads
NGO	=	nongovernment organization
PAM	=	project administration manual
PPMS	=	project performance management system
PIU	=	project implementation unit
PMC	=	program management consultant
PMU	=	project management unit
PWD	=	Public Works Department
RF	=	resettlement framework
RP	=	resettlement plan
SAR	=	sub-project appraisal report
SDMA	=	State Disaster Management Authority
SH	=	State Highways
SPS	=	Safeguard Policy Statement
TOR	=	terms of reference
UCADA	=	Uttarakhand Civil Aviation Development Authority
UJS	=	Uttarakhand Jal Sansthan
UTDB	=	Uttarakhand Tourism Development Board

## I. PROJECT DESCRIPTION.

1. The project will assist the Government of Uttarakhand (GoU) to meet reconstruction needs due to disaster in Uttarakhand in June 2013 that severely affected several parts of Uttarakhand. The districts of Bageshwar, Chamoli, Pithoragarh, Rudraprayag and Uttarkashi were directly affected by this disaster. These regions are among the country's most important pilgrimage centres and the disaster occurred during the peak pilgrimage season. Several towns have been washed away by the unprecedented flash floods and landslides and a large number of houses, public buildings, roads and bridges, urban and rural infrastructure has been damaged.

2. The executing agency for the project will be Government of Uttarakhand acting through State Disaster Management Authority (SDMA). A project management unit (PMU) for the project will be established in the SDMA. The PMU will consist of officials from GoU and specialist/consultants for project implementation and financial management. The PMU will be assisted by the specialist/experts for project preparation and implementation. The implementing agencies will be Public Works Department (PWD) for roads, bridges trekking routes including eco-trails<sup>1</sup> and urban roads; Department of Tourism (DoT) through Uttarakhand Tourism Development Board (UTDB), Garhwal Mandal Vikas Nigam (GMVN), and/or Kumaon Mandal Vikas Nigam (KMVN) for tourism infrastructure, Uttarakhand Civil Aviation Development Authority (UCADA) for helipads, heliports, or helidromes, and Uttarakhand Jal Sansthan (UJS) for urban water supply. The project will be implemented over three years.

3. **Impact and Outcome.** The impact of the project is improved economic and social condition in Uttarakhand after 2013 disaster. The outcome of the project is basic public and social infrastructure restored, disaster preparedness, project management and institutional effectiveness improved. The design and construction standards for the physical infrastructure will be raised to an appropriate level and the focus will be to build back the same or better. The revised high flood levels of the rivers, natural streams and drainage channels will also be considered, while designing facilities, Geotechnical studies will be undertaken and slope stabilization measures considered for slide zones, wherever applicable

4. **Outputs.** In line with the ongoing projects in Uttarakhand and the coordinated strategy with Government of India, GoU and World Bank, the proposed project will include the following outputs<sup>2</sup>.

5. **Roads and Bridges.** The project will rehabilitate and reconstruct about 1,800 km of state highways (SH) and major district roads (MDR) affected by the disaster and rehabilitate and reconstruct about 16 damaged bridges on SH and MDR. In addition, the project will rehabilitate and reconstruct about 600 km of road section on ADB assisted projects in Uttarakhand, which have been damaged by the disaster. To restore minimum functional connectivity, fast-track rehabilitation works will be undertaken immediately after the rainy season ends in September 2013 and remaining rehabilitation works will be taken-up during the implementation period.

6. **Urban Infrastructure.** The project will rehabilitate and reconstruct affected water supply infrastructure and urban roads in about 8-10 towns in Uttarakhand. The major outputs of the

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<sup>1</sup> The implementation may be assigned to various government departments and agencies

<sup>2</sup> Indicative list of subprojects in each sector is in Appendix 1. The subproject selection criteria and approval procedures is in Appendix 4.

component are (a) rehabilitation and capacity augmentation of the existing water treatment plants and tube wells, thereby increasing the potable water production capacity by 21 million liters per day(MLD); (b) replacement of about 56 kilometer (km) of water pipe line and (c) reconstruction and up gradation of about 20 km of urban roads.

7. **Tourism Infrastructure and Trekking Routes.** The project will rehabilitate and reconstruct affected tourism infrastructure in 5 affected districts. About 10 trekking routes including eco-trails will be rehabilitated and upgraded including construction of rest houses and public amenities in en-route villages.. To strengthen disaster risk management, carrying capacity and tourist regulation studies will be carried out under the project. Studies will be conducted to (i) define the carrying and absorption capacities of higher reaches destinations; (ii) develop micro plans for the middle reaches destinations to convert them into base camps for the higher reach destination to stagger the tourists, and (iii) enhance the facilities in surrounding towns and villages near the gateways to major destinations.

8. **Disaster Preparedness.** As a part of improving disaster preparedness, about 50 helipads, heliports, or helidromes with associated amenities will be constructed for undertaking emergency evacuation and relief operations. These will also provide better connectivity for tourists and pilgrims.

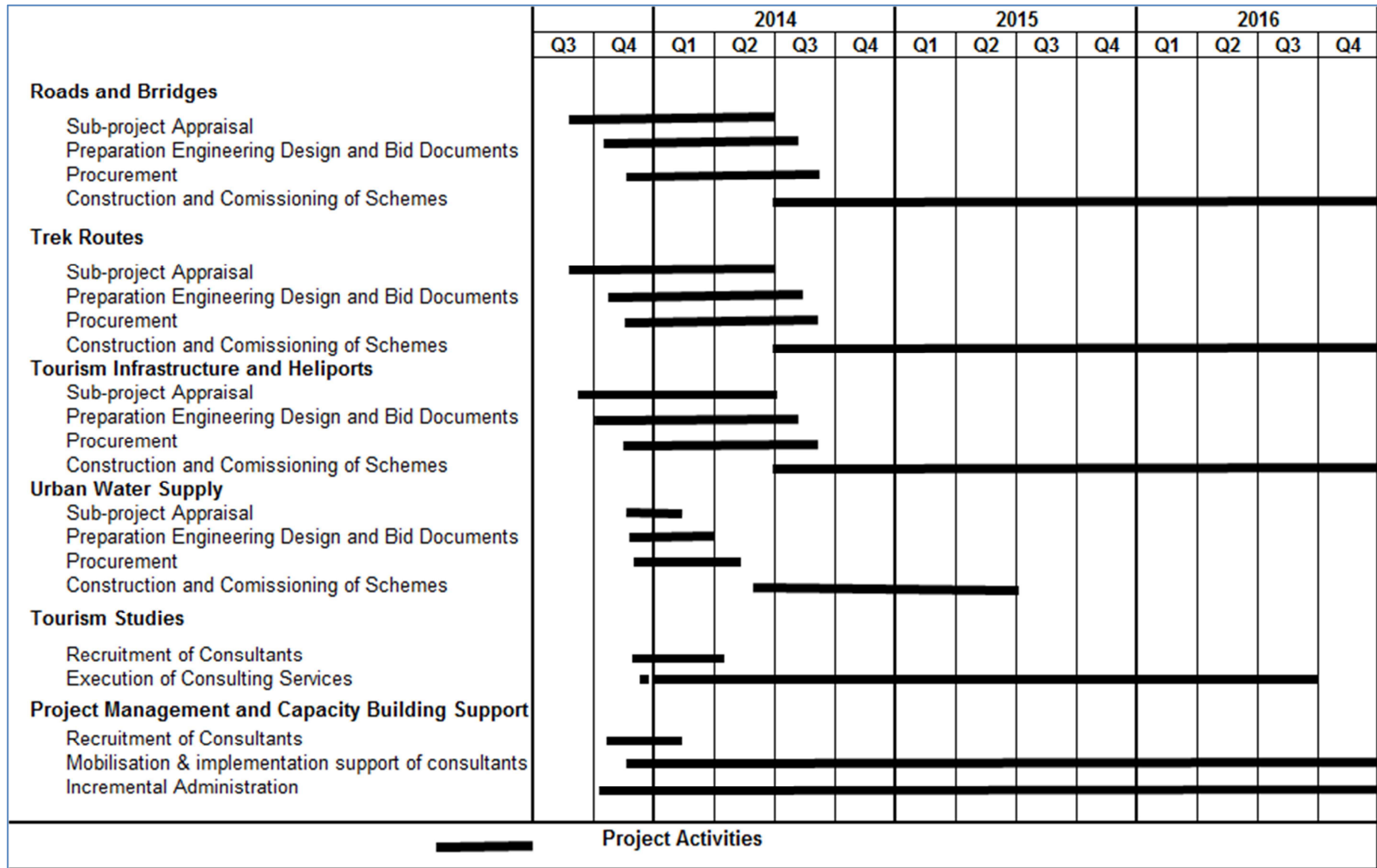
## II. IMPLEMENTATION PLANS

### A. Project Readiness Activities

Indicative Activities	2013					2014						Responsibility	
	Au	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	Ma	Jun		
Establishment of HPC for reconstruction and rehabilitation		X											GoU
Sub-project identification finalization of SAR		X	X	X	X	X							GoU/SDMA
Establishment of fully functional PMU and PIUs			X										GoU/SDMA
Request for advance contracting		X											GoU/SDMA
Request for retroactive financing		X											GoU/SDMA
Preparation and approval of DPRs by GOU			X	X	X	X	X	X					PMU
Preparation and approval of bid documents		X	X	X	X	X	X	X	X				PMU
Invitation and evaluation of bids			X	X	X	X	X	X	X	X			PMU
Award of contracts				X	X	X	X	X	X	X	X		PMU
ADB Fact finding mission	X												ADB
Loan negotiations		X											GOI, GoU/SDMA & ADB
Approval of loan			X										ADB
Loan signing				X									GOI, GOU/SDMA & ADB
Government legal opinion provided					X								GOI & GoU/SDMA
Government budget inclusion					X								GoU/SDMA
Loan effectiveness						X							ADB

ADB = Asian Development Bank, DPR = detailed project report, GOI = Government of India, GOU = state government of Uttarakhand, HPC= High Power Committee, PIU = project implementation unit, PMU = project management unit, SAR = subproject appraisal report

**B. Overall Project Implementation Plan**





### III. PROJECT MANAGEMENT ARRANGEMENTS

#### A. Project Implementation Organizations – Roles and Responsibilities

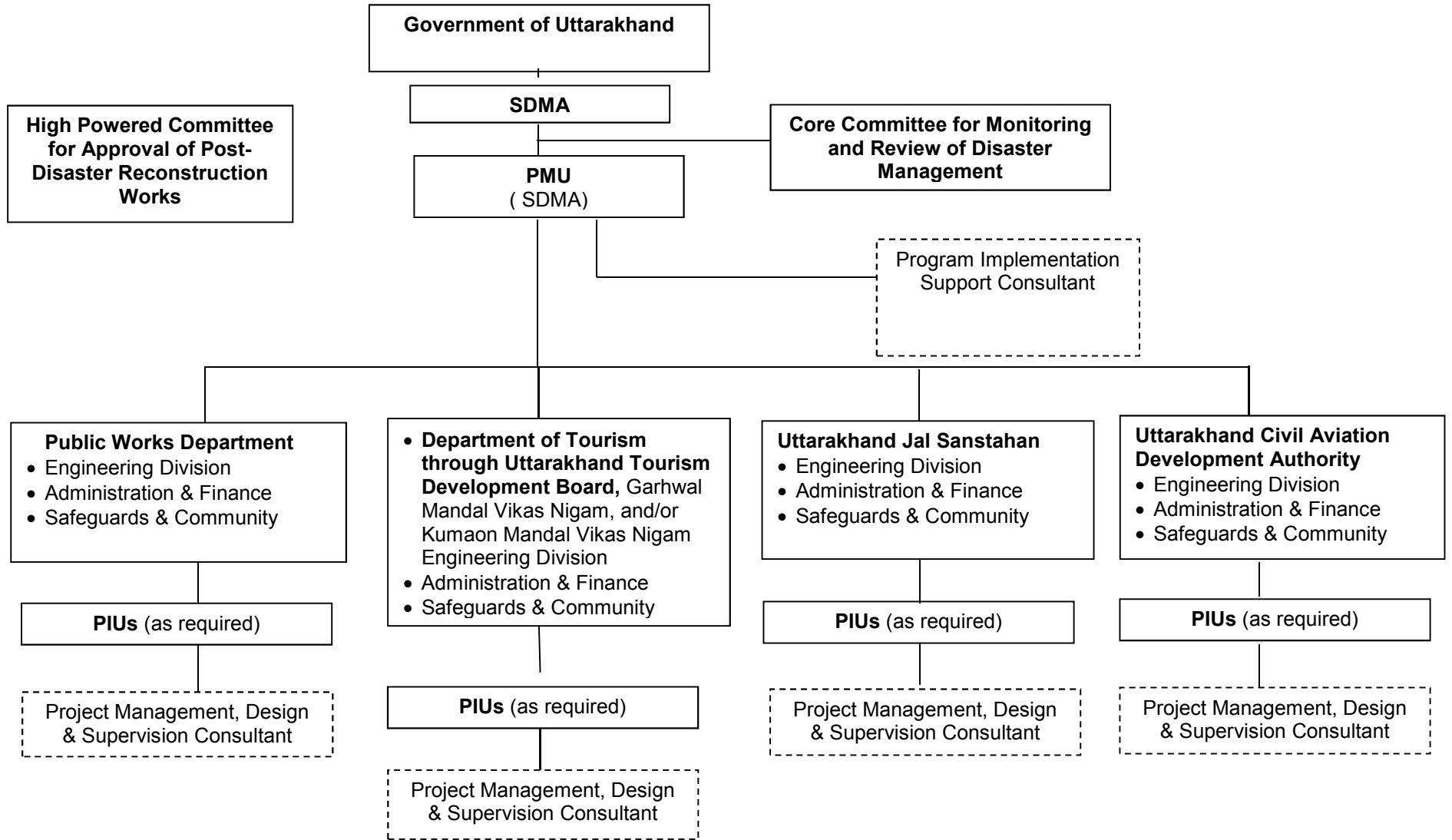
Project Implementation Organizations	Management Roles and Responsibilities
<ul style="list-style-type: none"> <li>• Executing Agency (EA)</li> </ul>	<p>Government of Uttarakhand acting through State Disaster Management Authority will be responsible for :</p> <ul style="list-style-type: none"> <li>(i) complying with all loan covenants;</li> <li>(ii) timely provision of agreed counterpart funds and staffing for project activities;</li> <li>(iii) establishing strong financial management system and conducting timely financial audits as per agreed timeframe and taking recommended actions</li> <li>(iv) overseeing the performance of the PMU and IAs;</li> <li>(v) ensuring projects' sustainability during post implementation stage and reporting to ADB on the assessed development impacts;</li> <li>(vi) Interagency coordination</li> </ul>
<ul style="list-style-type: none"> <li>• Implementing Agencies (IA)</li> </ul>	<p>Public Works Department for roads, bridges and urban roads and trekking routes including eco-trails; Department of Tourism through Uttarakhand Tourism Development Board, Garhwal Mandal Vikas Nigam (GMVN), and/or Kumaon Mandal Vikas Nigam (KMVN) for tourism infrastructure, Uttarakhand Jal Sansthan for urban water supply and Uttarakhand Civil Aviation Development Authority for helipads, heliports, or helidromes.</p> <ul style="list-style-type: none"> <li>• IAs will be responsible to establish project implementation units (as required) and timely provision of adequate staffing in PIUs for the project implementation;</li> <li>• overseeing the performance of the PIUs.</li> </ul>
<ul style="list-style-type: none"> <li>• Core Committee for Monitoring and Review of Disaster Management (CCDM) under SDMA</li> </ul>	<p>The Core committee for monitoring and review of disaster management set up by Government of Uttarakhand under the chairmanship of the Chief Secretary will monitor and review the post-disaster reconstruction works.</p>
<ul style="list-style-type: none"> <li>• High Powered Committee for approval of Post-Disaster Reconstruction Works (HPC) under SDMA</li> </ul>	<p>HPC is set up by Government of Uttarakhand for approval of post-disaster reconstruction works. HPC will be responsible for speedy single window clearance for the subprojects and implementation.</p>
<ul style="list-style-type: none"> <li>• Project Management Unit (PMU) in SDMA</li> </ul>	<p>PMU in the SDMA will be responsible for :</p> <ul style="list-style-type: none"> <li>(i) Inter-agency coordination;</li> <li>(ii) recruiting consultants;</li> <li>(iii) preparing the RPs and ensuring social safeguards are adequately addressed during loan delivery.</li> <li>(iv) coordinating and monitoring the preparation of design, and bidding documents;</li> <li>(v) coordinating preconstruction activities;</li> <li>(vi) award of works to the contractors;</li> <li>(vii) monitoring and evaluation of project activities and outputs, including periodic review, preparation of review reports reflecting issues and time-bound actions taken (or to be taken);</li> <li>(viii) involving beneficiaries / representatives in all stages of project development and implementation;</li> <li>(ix) public disclosure of project activities and outputs;</li> <li>(x) quality assurance of works, and services of consultants and counterpart staff;</li> <li>(xi) submitting timely withdrawal applications to ADB;</li> <li>(xii) complying with all loan covenants;</li> <li>(xiii) preparing regular periodic progress reports, and project completion reports and timely submission to ADB;</li> <li>(xiv) monitoring and evaluation of technical assistance activities and</li> </ul>

Project Implementation Organizations	Management Roles and Responsibilities
	outputs, including periodic review.
<ul style="list-style-type: none"> <li>• Project Implementation Units of Implementing Agencies</li> </ul>	<p>Project implementation units of the implementing agencies will be responsible for:</p> <ul style="list-style-type: none"> <li>(i) recruiting consultants;</li> <li>(ii) preparing the RPs and ensuring social safeguards are adequately addressed during loan delivery.</li> <li>(iii) coordinating and monitoring the preparation of design, and bidding documents;</li> <li>(iv) coordinating preconstruction activities;</li> <li>(v) undertake the bidding process;</li> <li>(vi) award of works to the contractors;</li> <li>(vii) monitoring the supervision consultants and contractors;</li> <li>(viii) facilitating collection of data for detailed engineering designs;</li> <li>(ix) preparing bills and making payment to the contractors;</li> <li>(x) submitting the expenditure details along with supporting documents to PMU for submitting disbursement applications;</li> <li>(xi) Implementing: <ul style="list-style-type: none"> <li>a. Resettlement plans</li> <li>b. Environment management plan</li> </ul> </li> <li>(xii) obtaining right-of-way clearances</li> <li>(xiii) assisting PMU and different committee in their review and preparing necessary documents</li> <li>(xiv) preparing progress report on each contract</li> <li>(xv) maintaining subproject and contract -level accounting</li> </ul>
<ul style="list-style-type: none"> <li>• ADB</li> </ul>	<ul style="list-style-type: none"> <li>(i) provide timely guidance at each stage of the project for smooth implementation in accordance with the agreed implementation arrangements;</li> <li>(ii) review all documents that require ADB approval;</li> <li>(iii) conduct periodic loan review missions, a mid-term review, and a completion mission;</li> <li>(iv) monitor the compliance of loan covenants;</li> <li>(v) timely process withdrawal applications and release eligible funds;</li> <li>(vi) monitor the compliance of financial audit recommendations;</li> <li>(vii) regularly post on ADB web the updated project information documents for public disclosure, and also the safeguards documents as per disclosure provision of the ADB safeguards policy statement.</li> </ul>

## B. Key Persons Involved in Implementation

<b>Government of Uttarakhand acting through State Disaster Management Authority</b>		
Secretariat, Dehradun - 248001		
Name	Position	Contact Details
Mr. Bhaskaranand Joshi	Member Secretary, SDMA/Secretary, Disaster Management	Tel: +91-135-265-6130 Email: amitnegi.adb@gmail.com
Mr. Amit Negi	Project Director, PMU/ Secretary, PWD	Tel: +91-135-271-1439 Email: secydisasmgmt-ua@nic.in
<b>Asian Development Bank</b>		
<b>India Resident Mission (INRM)</b>		
Fax: +91-11-2687-0946		
Mailing Address: 4, San Martin Marg, Chanakayapuri, New Delhi 110021, India		
Name	Position	Contact Details
TBD	Country Director	Tel: +91-11-2410-7200

**C. Project Organization Structure**



## IV. COSTS AND FINANCING

### A. Detailed Cost Estimates by Expenditure Category

9. **Project Cost:** The project is estimated to cost \$205.00 million. The investment plan for the project is summarized in Table 1.

**Table 1: Cost Estimates**  
(\$ million)

Item	Particulars of Items	Amount <sup>3</sup>
<b>A.</b>	<b>Base Cost</b>	
	1. Roads and Bridges	96.75
	2. Urban Infrastructure	21.25
	3. Tourism Infrastructure	25.25
	4. Disaster Preparedness (helipads, heliports, or helidromes and Amenities)	20.75
	5. Consulting Services	10.00
	6. Resettlement/Environment	1.00
	7. Administrative Cost	5.00
	<b>Subtotal Cost</b>	<b>180.00</b>
<b>B.</b>	<b>Contingencies<sup>4</sup></b>	21.00
<b>C.</b>	<b>Finance Charges During Implementation<sup>5</sup></b>	4.00
	<b>Total (A+B+C)</b>	<b>205.00</b>

Source: Asian Development Bank and Government of Uttarakhand estimates

10. The government has requested a loan of \$200 million from ADB's ordinary capital resources to help with the emergency effort. The loan will have a 25-year term, including a grace period of 5 years, straight-line repayment method, an annual interest rate determined in accordance with ADB's London interbank offered rate (LIBOR)-based lending facility, a commitment charge of 0.15% per year, and such other terms and conditions set forth in the draft loan and project agreements. Based on this, the average loan maturity is 15.25 years and the maturity premium payable to ADB is 0.10% per annum. The government has provided ADB with (i) the reasons for its decision to borrow under ADB's LIBOR-based lending facility based on these terms and conditions, and (ii) an undertaking that these choices were its own independent decision and not made in reliance on any communication or advice from ADB.

11. The loan will cover 97.56%<sup>6</sup> of project costs and includes freight, insurance costs, and taxes and duties<sup>7</sup>. The Government of Uttarakhand will finance all the financial charges and the execution of safeguards plans. The Government of Uttarakhand has given assurance that it will provide all the necessary counterpart funds, wherever necessary.

<sup>3</sup> In 2013 Prices, includes taxes and duties of \$13.48 million to be financed from ADB loan resources.

<sup>4</sup> Physical Contingencies at 7.66% of base cost; Price contingencies computed at average 1.9 % on foreign exchange costs and 6.5% on local currency costs; includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate in accordance with cost escalation factors given by Economic and Research Department

<sup>5</sup> Includes interest and commitment charges. Interest During Constructions (IDC) for ADB Loan is computed at 5 year forward London Inter Bank Offered Rate LIBOR plus a spread of 0.43 % and a maturity premium of 0.10 % Commitment charges for an ADB loan are 0.15% per year on the undisbursed loan amount.

<sup>6</sup> The average share of ADB in cost sharing is within the ceiling of 80% for the loan portfolio of the prevailing CPS.

<sup>7</sup> Overall taxes and duties in India are considered reasonable and non-discriminatory. The taxes and duties under the project cost are reasonable and do not constitute an excessively high share of total cost.

**Table 2: Cost Estimates by Expenditures**

		(\$ million)	
Category		Total Project Cost	Total Project Cost
		Rs.	\$
<b>A.</b>	<b>Base Costs<sup>a</sup></b>		
	<b>Part A. Physical Infrastructures.</b>		
1	Roads and Bridges.	4,837.50	96.75
2	Tourism Infrastructure	1,262.50	25.25
3	Disaster Preparedness (helipads, heliports, or helidromes and Amenities)	1,037.50	20.75
4	Urban Infrastructure	1,062.50	21.25
6	Resettlement / Environment	50.00	1.00
	<b>Subtotal (A)</b>	<b>8,250.00</b>	<b>165.00</b>
<b>B</b>	<b>Part B. Consulting and Administrative Cost</b>		
1	Consulting Services	500.00	10.00
2	Administrative cost	250.00	5.00
	<b>Subtotal (B)</b>	<b>750.00</b>	<b>15.00</b>
	<b>Total Base Costs</b>	<b>9,000.00</b>	<b>180.00</b>
<b>C</b>	<b>Contingencies</b>		
1	Physical <sup>b</sup>	685.00	13.70
2	Price <sup>c</sup>	365.01	7.30
	<b>Subtotal (C)</b>	<b>1,050.01</b>	<b>21.00</b>
<b>D</b>	<b>Finance Charges During Implementation</b>		
1	Interest during implementation <sup>d</sup>	161.12	3.22
2	Commitment Charges <sup>e</sup>	38.88	0.78
	<b>Subtotal (D)</b>	<b>200.00</b>	<b>4.00</b>
<b>Total Project Cost</b>		<b>10,250.01</b>	<b>205.00</b>

Currency conversion rate used: \$1.00=Rs.50.00

<sup>a</sup> Base Cost are in 2013 prices.

<sup>b</sup> Physical Contingencies at 7.66% of base cost

<sup>c</sup> Price contingencies are computed at average 1.9 % on foreign exchange costs and 6.5% on local currency costs; includes provision for potential exchange rate fluctuation under the assumption of a purchasing power parity exchange rate in accordance with cost escalation factors given by Economic and Research Department

<sup>d</sup> Includes interest and commitment charges. Interest During Constructions (IDC) for ADB Loan is computed at 5 year forward London Inter Bank Offered Rate LIBOR plus a spread of 0.43 % and a maturity premium of 0.10 %

<sup>e</sup> Commitment Charges for an ADB Loan are 0.15% per year to be charged on undisbursed loan amount.

## **B. Allocation and Withdrawal of Loan Proceeds**

12. **Percentages of ADB Financing.** Except as ADB may otherwise agree, each item of expenditure shall be financed out of the proceeds of the Loan on the basis of the percentages set forth in the tables attached to table 4

13. **Reallocation.** Notwithstanding the allocation of Loan proceeds and the withdrawal percentages set forth in the tables;

- i. If the amount of the Loan allocated to any category appears to be insufficient to finance all agreed expenditure in that category, ADB may, by notice to the Borrower, (i) reallocate to such category, to the extent required to meet the estimated shortfall,

amounts of the loan which have been allocated to another category but, in the opinion of ADB, are not needed to meet other expenditures, and (ii) if such reallocation cannot fully meet the estimated shortfall, reduce the withdrawal percentage applicable of such expenditures in order that further withdrawals under such category may continue until all expenditures thereunder will have been made; and

- ii. If the amount of the loan then allocated to any Category appears to exceed all agreed expenditures in that Category, ADB may, by notice to the Borrower, reallocate such excess amount to any other Category.

**Table 3: Allocation and Withdrawal of Loan Proceeds**

<b>CATEGORY</b>		<b>ADB FINANCING BASIS</b>	
<b>Number</b>	<b>Item</b>	<b>Total Amount Allocated for ADB Financing Category (\$ million)</b>	<b>Percentage of ADB Financing from the Loan Account</b>
1	Civil Works	162.00	100% of Total Expenditure Claimed
2	Equipment	2.00	100% of Total Expenditure Claimed
3	Consulting Services	10.00	100% of Total Expenditure Claimed
4	Administrative Cost	5.00	100% of Total Expenditure Claimed
5	Unallocated	21.00	
<b>Total</b>		<b>200.00</b>	

ADB = Asian Development Bank

**Table 4: Cost Estimates by Years**  
(\$ million)

<b>Project Component</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>Total Cost</b>
<b>A Base Costs</b>					
<b>Physical Infrastructures.</b>					
1. Roads and Bridges.	9.68	38.70	38.70	9.68	<b>96.75</b>
2. Tourism Infrastructure	2.53	10.10	10.10	2.53	<b>25.25</b>
3. Disaster Preparedness (helipads, heliports, or helidromes and Amenities)	2.08	8.30	8.30	2.08	<b>20.75</b>
4. Urban Infrastructure	2.13	8.50	8.50	2.13	<b>21.25</b>
Resettlement / Environment	0.40	0.30	0.20	0.10	<b>1.00</b>
<b>Subtotal (A)</b>	<b>16.80</b>	<b>65.90</b>	<b>65.80</b>	<b>16.50</b>	<b>165.00</b>
<b>B Consulting and Administrative Cost</b>					
Consulting Services	1.00	4.00	4.00	1.00	<b>10.00</b>
Administrative cost	2.00	1.25	1.25	0.50	<b>5.00</b>
<b>Subtotal (B)</b>	<b>3.00</b>	<b>5.25</b>	<b>5.25</b>	<b>1.50</b>	<b>15.00</b>
<b>C Contingencies</b>					
Physical	1.37	5.48	5.48	1.37	<b>13.70</b>
Price	0.73	2.92	2.92	0.73	<b>7.30</b>
<b>Subtotal (C)</b>	<b>2.10</b>	<b>8.40</b>	<b>8.40</b>	<b>2.10</b>	<b>21.00</b>
<b>D Finance Charges During Implementation</b>					
Interest during implementation	0.32	1.29	1.29	0.32	<b>3.22</b>
Commitment Charges	0.42	0.26	0.06	0.03	<b>0.78</b>
<b>Subtotal (D)</b>	<b>0.74</b>	<b>1.55</b>	<b>1.35</b>	<b>0.35</b>	<b>4.00</b>
<b>Total Project Cost ( A+B+C+D)</b>	<b>22.64</b>	<b>81.10</b>	<b>80.80</b>	<b>20.45</b>	<b>205.00</b>

### C. Detailed Cost Estimates by Components

**Table 5: Cost Estimate by Component  
(\$ million)**

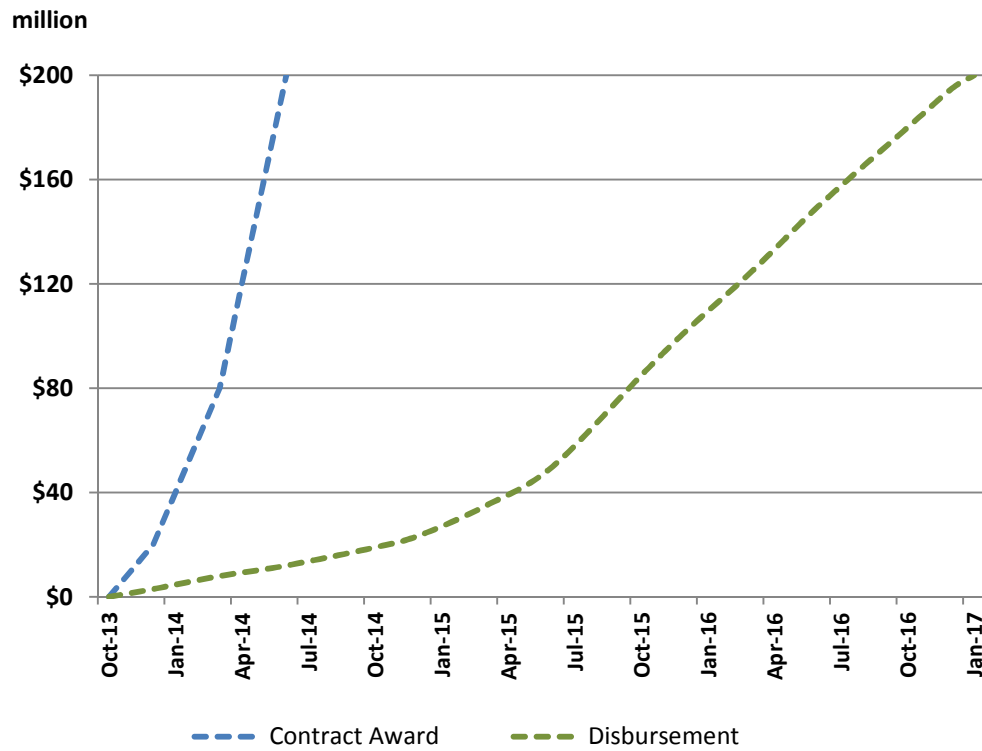
S.No	Categories of Expenditure	Total Cost	Roads / Bridges	Tourism Infrastructure	Disaster Preparedness (Helipads, heliports, or helidromes and Amenities)	Urban Infrastructures
<b>A</b>	<b>6. Investment Costs</b>					
1	Civil Works	162.00	96.00	25.00	20.00	21.00
2	Equipment	2.00	0.75	0.25	0.75	0.25
3	Resettlement / Environment	1.00	0.59	0.16	0.12	0.13
4	Consultants	10.00	6.50	1.50	0.50	1.50
<b>B</b>	<b>Recurring Costs</b>					
1	Administrative Cost	5.00	2.80	1.02	0.36	0.82
<b>C</b>	<b>Contingencies</b>					
1	Physical	13.70	8.12	2.13	1.65	1.80
2	Price	7.30	4.32	1.13	0.88	0.96
<b>D</b>	<b>Finance Charges During implementations<sup>8</sup></b>					
1	Interest during Implementation	3.22	1.91	0.50	0.39	0.42
2	Commitment Charges	0.78	0.46	0.12	0.09	0.10
	<b>Total</b>	<b>205.00</b>	<b>121.45</b>	<b>31.81</b>	<b>24.75</b>	<b>26.99</b>

<sup>8</sup> Interest During Constructions (IDC) for ADB Loan is computed at 5 year forward London Inter Bank Offered Rate LIBOR plus a spread of 0.43 % and a maturity premium of 0.10 % Commitment charges for an ADB loan are 0.15% per year on the undisbursed loan amount.



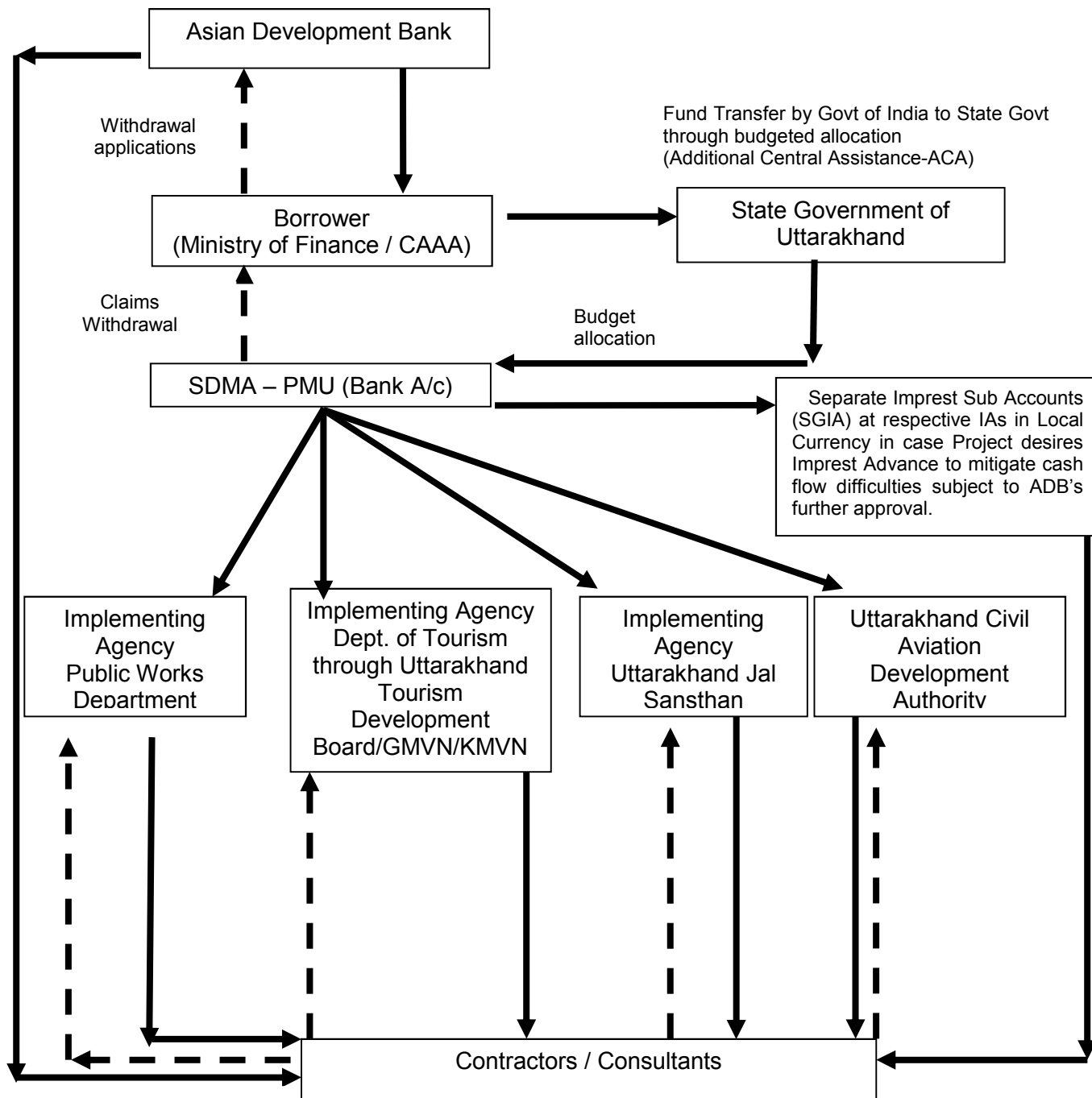
#### D. Contract and Disbursement S-Curve

14. All contracts under Project will be awarded by June 2014. Graph below shows contract award and disbursement over the life of the project (based on annual disbursement projections).

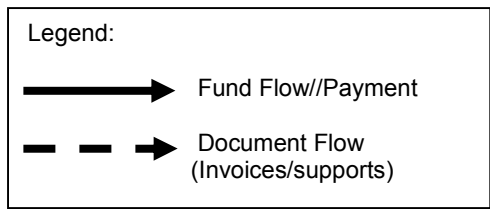


**E. Fund Flow Diagram**

15. The following diagram shows how the funds will flow from ADB, and the Government of India/Government of Uttarakhand to implement the project activities.



Where Direct Payments are desired by the borrower / EA



## V. FINANCIAL MANAGEMENT

### A. Financial Management Assessment

16. The EA of the project will be Government of Uttarakhand acting through State Disaster Management Authority. The IAs will be Public Works Department for roads, bridges trekking routes including eco-trails<sup>9</sup> and urban roads; Department of Tourism through Uttarakhand Tourism Development Board, Garhwal Mandal Vikas Nigam, and/or Kumaon Mandal Vikas Nigam for tourism infrastructure, Uttarakhand Civil Aviation Development Authority for helipads, heliports, and/or helidromes and Uttarakhand Jal Sansthan for urban water supply. The project will be implemented over three years. These are separate bodies operating under the State Government of Uttarakhand.

17. The arrangement of financial management systems of IAs<sup>10</sup> were reviewed using ADB's financial management assessment questionnaire and interviews. The responses received from the management of these existing bodies to the questionnaire revealed that the organizations have defined policies and procedures in place at a broader level.

18. In summary, based on the results of our financial management assessment conducted on the proposed implementing agencies, several weaknesses and gaps were identified. The major deficiencies are being lack of qualified and experienced accountants, inadequate staff strength across the accounting function, independence of external auditors and a weak financial reporting and internal control environment. To mitigate these identified risks, financial controllers with adequate experience in area of accounting and financial management have been put in place in SDMA and additional experts will be engaged to bridge the gaps. An internal audit function through a chartered accounting firm commensurating with the size of project operations will be engaged to ensure a mitigating internal control environment. The auditor for the State is the Comptroller and Auditor General of India (C&AG) and for SDMA is the C&AG through its State Principal Accountant General as acceptable to ADB. A separate terms of reference (TOR) for the external auditor will be used to ensure independence and the quality of the audit work. It is felt that these measures are necessary to strengthen the project, both as an institution and organization. The detailed mitigation measures for the identified risks are provided in "Risk Assessment and Risk Management Plan" (RRP linked document).

### B. Disbursements

19. The Loan proceeds will be disbursed in accordance with ADB's Loan Disbursement Handbook (July 2012, as amended from time to time), and detailed arrangements agreed upon between the Government and ADB. ADB funds will be routed through the office of Aid Accounts and Audit Division (AAAD) headed by the Controller of Aid Accounts and Audit (CAAA), Department of Economic Affairs, Ministry of Finance, Government of India (GoI). The GoU will approve the annual project budget based on the plan and budget requests prepared by the IAs/PMU for each major area to be financed (for example, expenditure in Roads and Bridges, Trek Routes, Tourism Infrastructure, Urban Infrastructure works etc. through civil works). GoU will then allocate sufficient budget to a separate project account to enable the PMU and the IAs to pay for these expenses. The funds from DoF will be initially transferred to a specific bank account meant for the project to be operated at the PMU level. It will then transfer the received funds to each of the IAs where separate bank accounts would be operated for the purpose of the project as per necessity. For startup of operations, GoU will transfer an appropriate sum of

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<sup>9</sup> The implementation may be assigned to various government departments and agencies including forest department

<sup>10</sup> Review of financial management systems of UCADA could not be undertaken as this is a new agency

amount to the bank account of PMU, which will be distributed to the IAs in their bank account as per their requirement. The initial sum transferred by the GoU will be adjusted against allowable expenditure of the project using reimbursement method of ADB disbursement procedures. To finance retroactive claims after the loan being declared effective, reimbursement procedures will be applicable under retroactive financing in case eligible expenditure has been incurred for the purpose of the project prior to the loan effectiveness date.

20. Before submission of the first withdrawal application, the borrower should submit to ADB sufficient evidence of the authority of the person(s) who will sign the withdrawal applications on behalf of the borrower, together with the authenticated specimen signatures of each authorized person. The minimum value per withdrawal application is US\$100,000.00 unless otherwise approved by ADB. The EA/borrower is to consolidate claims to meet this limit for reimbursement account claims. Withdrawal applications and supporting documents will demonstrate, among other things that the goods, and/or services were produced in or from ADB members, and are eligible for ADB financing. The table attached to schedule 3 of the Loan Agreement will set forth the Categories of Works as Civil Works, Services as Consulting Services and other items such as Project Implementation and Administration including un-allocated category are to be financed out of the proceeds of the Loan and the allocation of amounts of the loan to each such category using percentages as ADB financing basis..

21. During implementation of the project, the IAs may request for an initial imprest advance upto the limit of overall ceiling in order to reduce their cash flow difficulties. This is subject to an overall improvement in the internal control on fund flow within the state treasury. The requirement for initial imprest advance will be assessed and approved by ADB for operation of Imprest facility. For this purpose separate sub accounts at each of the IAs would need to be opened with their respective bankers. The sub account is a separate bank account in local currency opened for the exclusive use of the project using Chapter 10 - Imprest Fund Procedures of the ADB Loan Disbursement Handbook (July 2012). Withdrawals or payments can be done out from these sub accounts only upon expenditure being incurred by the respective IAs. Replenishments or liquidations to these Sub accounts may be requested using reimbursement or through Statement of Expenditure (SOE) procedure.

### **C. Books of Accounts**

22. PMU at the SDMA will maintain separate financial statements and records for all expenditures incurred on the project from all sources. Project financial statements will follow national/ international accounting principles and practices or those prescribed by applicable under national accounting laws and regulations. The financial statements will be prepared using double entry book keeping system on accrual basis, which will originate from locations where actual transactions occur in each of the IAs. The IAs are required to maintain separate Project financial statements and records. For recording of transactions, necessary accounting policies that are suitable and consistent across all the IAs are to be adopted. Accounting manuals consistent across all the IAs with adequate codification of the chart of accounts would need to be drawn. The final project financial statements from the IAs shall be subject to consolidation at the PMU level to form combined Project financial statements. Consolidated Project financial statements/ financial statements at EA/ IA level shall comprise of statements and annexures that are required to be audited under Terms of Reference (ToR) acceptable to the supreme Audit Institution of India. Additionally, a balance sheet shall be prepared to highlight the financial position of the Project on a consolidated basis as well as at the IA level.

#### **D. Auditing**

23. The PMU will cause the detailed consolidated project financial statements to be audited in accordance with International Standards on Auditing and/or in accordance with the Government's audit regulations by an auditor acceptable to ADB. The audited financial statements will be submitted in the English language to ADB within 6 months of the end of the fiscal year. The audit report shall provide its opinion on to ensure ADB that a) all proceeds of ADB loan has been used for the purpose of project in accordance with ADB Loan / Project Agreement; b) Financial Covenants in the Loan Agreement have been complied with ; c) With respect to SOEs, adequate supporting documentation has been maintained to support claims to the Asian Development Bank for reimbursements of expenditures incurred and d) In case imprest account has been in use, the imprest accounts give a true and fair view of the receipts collected and payments made during the year ended as well as receipts and payments support imprest account liquidations/replenishments that were done during the year. In addition to annual audited financial statements referred to as above, the SDMA shall provide its annual financial statements within 1 month after its approval by the relevant authority. The financial statements shall be audited annually by independent auditors whose qualifications, experience and terms of reference are acceptable to ADB. The audited financial statements shall be submitted in English language along with such other information concerning these documents and audit thereof as ADB shall from time to time reasonably request.

24. From time to time ADB's monitoring and program supervision review monitoring mission teams will follow up with the concerned officials of EA/IA on appropriate compliance with financial reporting and auditing requirements.

25. The Government; the EA and the IAs have been made aware of ADB's policy on delayed submission of audited project financial statements and the requirements for satisfactory and acceptable quality of the audited financial statements. ADB reserves the right to require a change in the auditor (in a manner consistent with the constitution of the recipient, or for additional support to be provided to the auditor, if the audits required are not conducted in a manner satisfactory to ADB or if the audits are substantially delayed, ADB reserves the right to verify the project's financial statements to confirm that the share of ADB's financing is used in accordance with ADB's policies and procedures.

26. Public disclosure of the project financial statements, including the audit report on the project financial statements, will be guided by ADB's Public Communications Policy (2011). After review, ADB will disclose the project financial statements for the project and the opinion of the auditors on the financial statements within 30 days of the date of their receipt by posting them on ADB's website. The Audit Management Letter and SDMA's entity level Audited Financial Statements will not be disclosed

27. The PMU shall install a suitable mechanism for an effective system of internal audit function to assist the management in its oversight function.

### **VI. PROCUREMENT AND CONSULTING SERVICES**

#### **A. Advance Contracting and Retroactive Financing**

28. In order to meet emergency needs and to ensure that implementation of the project commences in a timely manner, use of advance contracting and retroactive financing is approved to finance the immediate restoration and rehabilitation of roads, bridges and other critical facilities so that these are completed at the earliest. Advance action is approved for the

procurement of goods, services, and works, and recruitment of consultants. The government has been advised that approval of advance action and/or retroactive financing does not commit ADB to finance any part of the project. Retroactive financing will be applied up to 30% of the ADB loan amount for eligible expenditures incurred after 16 June 2013, but not earlier than 12 months before the date of the loan agreement, provided that the executing agency certifies the eligible expenditures, and that the certification is acceptable to ADB.

## **B. Procurement of Goods, Works and Consulting Services**

29. As a general principle, procurement of goods and works, and recruitment of consulting services under the project will be carried out in accordance with the simplified and expeditious procedures permitted under the *ADB Disaster Emergency Assistance Policy, Para 3.18 of ADB Procurement Guidelines (2013 and as amended from time to time)* and *ADB Guidelines on the Use of Consultants (2013, and as amended from time to time)* which provide greater flexibility in following ADB procedures so that project activities can start as early as possible. While national competitive bidding with reduced bidding period of two weeks will be the preferred mode of procurement; use of shopping and limited competitive bidding procedures based on GoU's existing registration system for contractors will also be acceptable for goods, small civil works and related services.

30. During implementation of ongoing ADB-funded projects<sup>11</sup> in Uttarakhand state, capacities of the IAs have generally been found satisfactory and no major deviation has been reported so far in following ADB procurement procedures by these IAs. Thus based on the past experience of ADB with these IAs, it has been agreed upon with the Government that all contracts valued above \$3 million will be subject to ADB's prior-review. The thresholds for procurement of works and goods as well as consulting services have been set forth in the procurement plan attached in Appendix 2. Likewise, ADB's prior and post review requirements as well as thresholds have also been stated in the procurement plan.

31. Civil works contracts estimated to cost up to \$40 million will be procured through national competitive bidding (NCB) procedures acceptable to ADB. Bidding documents based on post-qualification with single-stage two envelope procedures being currently used in ongoing ADB-funded projects in the state of Uttarakhand are acceptable to ADB subject to minor modifications if any agreed during ADB's inception mission. Procurement of goods and related services estimated to cost above \$1 million will be procured following ICB procedures and those estimated to cost up to \$1 million will be procured through NCB procedures acceptable to ADB. For procurement of goods, small works and related services estimated to cost below \$100,000, use of limited competitive bidding and shopping procedures by inviting bids from registered Class A contractors of GOU is acceptable to ADB. For small, specialized equipment and materials contracts valued less than \$20,000, direct contracting procedures acceptable to ADB will be followed, where relevant. The damaged trek routes/eco-trails may be reconstructed under force account method by the various departments and agencies of GoU to their scattered locations all over the state. Community participation in procurement of small works of a simple nature may also be permitted in accordance with ADB procurement guidelines. Under ongoing

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<sup>11</sup>ADB 2011. *Report and Recommendation of the President to the Board of Directors: Uttarakhand Urban Sector Development Investment Program (Loan 2797-IND, \$100 Million, approved on 3 November)*  
 ADB 2008. *Report and Recommendation of the President to the Board of Directors: Uttarakhand State Road Investment Program (Loan 2458-IND, \$140 Million, approved on 22 October)*  
 ADB 2011. *Report and Recommendation of the President to the Board of Directors: Infrastructure Development Investment Program for Tourism (Loan 2833-IND, \$43.8 Million, approved on 15 December)*

ADB-funded projects in Uttarakhand, the contractors executing the rehabilitation and reconstruction works will undertake the restoration work due to the damages through contract variations under their respective contracts, where appropriate.

32. ADB will conduct prior review of bid evaluation reports and contract award recommendations for the first two contracts for each IA irrespective of their contract values. All subsequent contracts estimated to cost up to \$3 million will be subject to post-facto procurement review in the field on a semi-annual basis. All IAs will retain a record of all procurement documents including copies of the signed contracts and the bid evaluation reports, to be available for post-facto procurement review in the field. The bid evaluation reports and contract award recommendations for all contracts valued at \$3 million and above will be subject to prior review by ADB. Rebidding and extension of bid validity for contracts estimated to cost \$3 million and above will also be subject to ADB's prior approval.. ADB will conduct capacity building workshops for the EA and IA staff to enhance their capacity on ADB's procurement and consultant recruitment procedures and familiarize them with ADB's requirements for prior and post-facto procurement reviews. If ADB determines during the procurement review that the agreed procurement procedures were not followed, ADB may not approve the award or terms of the contract and the Government cannot use loan proceeds to finance the contract. If the loan proceeds have already been used to finance such contracts at the time of such determination, the Government will refund to ADB any such reimbursement of expenditure made.

33. **Consulting Services.** Consulting services will be provided under the project to support the EA and the IAs in project implementation. All consultants will be recruited in accordance with *ADB Guidelines on the Use of Consultants (2013 and as amended from time to time)* and other arrangements satisfactory to ADB. 5-6 national design and construction supervision consulting firms, financial management consultant and need based individual consultants will assist the EA and IAs in procurement of goods and works, consultant recruitment, subproject preparation and other project implementation matters.. The consulting firms will be recruited through quality-and cost-based selection method with a quality-cost ratio of 90:10 using simplified or full technical proposals, as needed and acceptable to ADB. The individual consultants may be engaged through open competition acceptable to ADB in the respective sectors to provide necessary support to the EA and IAs. Since the project will need to be completed within 36 months, recruitment and mobilization of consultants will be done expeditiously with an option of reduced proposal submission periods ranging from 1 to 2 weeks at each stage for expression of interests as well as request for proposals. If requested by the EA, ADB may assist in selecting individual consultants for the EA and IAs.

### **C. Procurement Plan**

34. Procurement Plan is provided in Appendix 2.

### **D. Consultant's Terms of Reference**

35. The scope and the outline terms of reference for each of the consultants will be finalized by the executing agency and implementing agencies in consultation with ADB.

## **VII. SAFEGUARDS**

36. **Use of Funds.** Pursuant to ADB's Safeguard Policy Statement (SPS, 2009), ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth at Appendix 5 of the SPS.

37. Due to bad weather, continued flooding and landslides, and the inaccessibility of the affected areas, the field visits and other investigations for safeguards assessments and plans cannot be prepared for the identified subprojects before the Board approval. Under the emergency loan provisions of the Safeguard Policy Statement (2009) (SPS 2009), safeguards frameworks have been prepared instead, which will guide the preparation of safeguards planning documentation for all subprojects.

38. **Environment** The Project primarily aims to repair, rehabilitate or reconstruct the existing infrastructure damaged or destroyed by the disaster. In some cases, new construction is envisaged (like helipads, heliports, or helidromes, multipurpose shelters, trek routes, bridges, realigned roads, etc.). Considering the scale, magnitude, and type of the works proposed under the Project, most of the subprojects are judged to have less adverse environmental impacts that are largely construction-related, site specific, temporary and reversible in nature. These impacts will be mitigated through carefully developed environmental management and monitoring plans (EMMP) that will be incorporated into related contract documents. Thus, most of the subprojects under the Project are expected to qualify as of environment category B. However, the exact locations at which the works are to be carried out have not yet been identified in most of the cases. Some of these subprojects are in close proximity to, or within the environmentally sensitive areas such as national parks and wild life sanctuaries. Therefore, possibility of causing certain significant environmental impacts is not ruled out. In such cases, the location, design and construction of these structures will need to be done with due consideration of the environmental impacts and clearances required under the statutory environmental regulations of India. The maps showing the boundaries of all of these environmentally sensitive areas are available. These subproject locations, once finalized or identified, will be superimposed on available maps to assess their likelihood of encroaching upon environmentally sensitive areas. Thus some of the sub-projects may have to be classified as of environment category A

39. Under these emergency circumstances, environmental assessments of identified subprojects cannot be undertaken. To guide the preparation of environmental safeguards documentation for all subprojects, an environmental assessment and review framework (EARF) has been prepared in accordance with ADB's SPS 2009. The EARF aims at (i) providing guidelines for selecting subprojects based on environmental eligibility criteria; (ii) identifying relevant environmental clearance procedures that would apply to the subprojects; (iii) determining the anticipated environmental impacts from undertaking the Project; (iv) defining the environmental assessment review procedures for subprojects proposed under the Project; (v) identifying corresponding environmental mitigation measures and developing EMMP required to avoid, minimize or address anticipated negative environmental impacts; (vi) defining procedures to be adopted during implementation to ensure that environmental aspects of the Project are dealt with in a comprehensive manner, and (vii) ensuring the adequacy of corresponding staffing, reporting and budget requirements of undertaking the above.

40. **Environmental Assessment Process.** The EA will ensure that the subprojects under the Project comply with environmental criteria and guidelines outlined in EARF. All subprojects will be subjected to the environmental assessment process. This is a process of environmental analysis and planning to address the environmental impacts and risks associated with a project. The procedures for environmental assessment of subprojects would be in line with the requirements of ADB's SPS 2009, as amended from time to time and India's statutory environmental regulations at the national, state, and local levels. The EA and respective IAs will identify potential direct, indirect, cumulative and induced environmental impacts on and risks to physical, biological, socioeconomic, and physical cultural resources and determine their significance and scope, in consultation with stakeholders, including affected people. Environmental impacts and risks will also be analyzed for all relevant stages of the project cycle,



including preconstruction, construction, operations, decommissioning, and post-closure activities such as rehabilitation or restoration. Since the Project is an Emergency Assistance Loan (EAL), the disclosure requirements for environmental impact assessments (EIA) for subprojects in category A will be changed from the 120 days prior to ADB Board of Directors' approval to 120 days prior to award of contract of the subproject. The information on the implementation of the EMMP, as well as that on the environmental safeguard compliance will be systematically documented and reported to ADB as part of the semi-annual reports for category A and annual reports for category B subprojects on the implementation of the EMMP. The environmental assessment and monitoring reports will be disclosed on ADB website.

41. **Implementation, Monitoring and Reporting Arrangements.** The PMU with the assistance of specialists/expert will be responsible for ensuring compliance of subprojects with (i) ADB's SPS 2009 and India's statutory environmental regulations at the national, state and local levels; and (ii) day-to-day coordination with the IAs. The IAs will be responsible for supervision and monitoring of day-to-day implementation of subprojects. An academically qualified staff having appropriate professional experience in the area of management of environmental safeguards would be engaged in the PMU and in each IA on full-time basis till completion of the Project. The PMU and the IAs would ensure that the environment experts would be provided with all requisite infrastructure support (dedicated office space, dedicated vehicle for field visits, laptop, communication facilities, administrative support, etc.) and associated budget for effective supervision and monitoring of implementation of environmental safeguards. The IAs will be supported by design and supervision consultants (DSC). Each DSC will have one environmental expert on full-time basis till the completion of their contracts. Since the works are spread across a number of districts in hilly areas, these environmental experts would be supported by junior level environmental staff on full time basis, if deemed necessary during implementation or during reviews by ADB. The site in-charge of the IAs or their nominated engineering field staff will be trained on key environmental management aspects by the PMU and respective IA environment experts, and will be assigned the task of monitoring day-to-day implementation of the EMMPs in the field. The environmental experts from the PMU, IAs and DSCs will conduct consultations with the local communities on environmental aspects during implementation, and ensure that their concerns are addressed through appropriate mitigation measures. A provision for setting up grievance redress committees at sites has been stipulated to resolve complaints from the local communities pertaining to lack of implementation of EMMPs by the contractors or the IAs.

42. For monitoring of environmental parameters as outlined in the ADB approved EMMPs, appropriate monitoring agencies would be engaged by the contractors (cost to be included in each contract based on subproject specific monitoring plans) or by the IAs for the monitoring works not included in the civil works contracts (cost included in the budget). For environment category A subprojects, external environment experts will be engaged by the EA for third party monitoring. These experts would submit their semi-annual reports on the implementation of environmental management and monitoring plans directly to ADB.

43. **Involuntary Resettlement.** A Resettlement Framework (RF) has been prepared and Resettlement Plans (RPs) will be prepared for the relevant subprojects in accordance with the ADB's SPS 2009 and the RF. Where the need arises, GoU through SDMA and relevant IA will ensure that all land and all rights-of-way required for the project, and all project facilities are made available to the Works contractor in accordance with the schedule agreed under the related Works contract and all land acquisition and resettlement activities are implemented in compliance with (i) all applicable laws and regulations of the GoI and GoU relating to land acquisition and involuntary resettlement; (ii) the Involuntary Resettlement Safeguards; and (c) all measures and requirements set forth in the respective RP, and any corrective or preventative

actions set forth in a Safeguards Monitoring Report

44. The EA will ensure that in case of any design changes in subprojects, the RPs will be updated on the basis of the final alignment and submitted to ADB for review and approval prior to commencement of civil works on that section; and provide semiannual monitoring reports on the implementation of the RF.

45. The details of compensation rates for the loss of land and structures, shifting assistance, and other income restoration assistance are provided in the RF and entitlement matrix. Additional support provisions for displaced persons (DPs) belonging to vulnerable groups will also be included in the RPs. The meaningful consultations with the DPs and other stakeholders will be conducted during the preparation and implementation of the RPs.

46. All DPs will be paid compensation and assistance in accordance with the RF and ADB approved RP. Compensation will be paid and resettlement of DPs will be completed before taking possession of land/properties and prior to the start of civil works. The land required will be made available free from all encumbrances and obstructions for the related subprojects/sections. Land will be handed over to the contractor prior to commencement of civil works on the related subproject/sections. Efficient grievance redress mechanism will be in place to assist DPs to resolve grievances and complaints, if any, in a timely manner.

47. EA will appoint social development and resettlement officers (SDROs) at the PMU and IA levels for efficient resettlement planning, implementation; monitoring and reporting. The respective IAs will implement RPs and the local NGOs will be appointed to assist during the implementation. EA will carry out the internal monitoring and an independent monitoring expert/agency will be engaged for the external monitoring and evaluation of the RPs implementation. EA will submit the external monitoring report to ADB on semi-annual basis. EA will allocate adequate resources, including experts for efficient resettlement management. The draft, final and updated RPs and social monitoring reports will be disclosed on ADB and EA websites.

48. **Indigenous Peoples.** In case of any adverse impacts identified during planning, design and implementation on indigenous peoples, EA will ensure that Indigenous Peoples Plan (IPP) is prepared in accordance with the Indigenous Peoples Planning Framework and ADB's Safeguard Policy Statement, 2009. The IPP will be approved by ADB before the award of related civil works contract and will be implemented before the commencement of the relevant section of the civil works contract, as applicable. Any update of the IPP due to detailed design and implementation shall follow requirements similar to the RPs as described for involuntary resettlement

## VIII. GENDER AND SOCIAL DIMENSIONS

49. **Health and Safety.** GoU through SDMA and each IA will ensure that civil works contracts under the project follow all applicable labor laws of the GoI and GoU and that these further include provisions to the effect that contractors; (i) carry out HIV/AIDS awareness programs for labor and disseminate information at worksites on risks of sexually transmitted diseases and HIV/AIDS as part of health and safety measures for those employed during construction; and (ii) follow and implement all statutory provisions on labor (including not employing or using children as labor, equal pay for equal work), health, safety, welfare, sanitation, and working conditions. The RP implementing NGO will carry out HIV/AIDS awareness within the communities in the project influence area.

50. **Poverty Reduction.** The project will rehabilitate and reconstruct the damaged infrastructure such as roads and bridges, tourism infrastructure, helipads, heliports, and/or helidromes and water supply. The design incorporates features that will help reduce poverty both directly and indirectly. The direct poverty reduction impact will come from constructed related employment. The rehabilitated and reconstructed road and bridges, urban and tourism infrastructure will help restore livelihoods and reduce vulnerability by improving physical access to markets and social services as well as by increasing agricultural productivity. The disaster resilient reconstruction of physical infrastructure will reduce the exposure of assets and vulnerability of population to future disasters, and thereby indirectly reducing poverty.

51. **Gender Mainstreaming:** The project will help improve the situation of women, especially those affected by the disaster. The project will restore urban water supply, which will have positive impacts on women who are traditionally responsible for household work. Women are also targeted for employment opportunities. Rehabilitation of roads, bridges, and tourism infrastructure will open opportunities for women to access employment and livelihood. The project's gender action plan (GAP) ensures that specific activities to address gender concerns and other social vulnerabilities will be addressed through the project. The project will also mitigate any possible negative impact due to land acquisition and environmental impacts. Awareness-raising will be undertaken on core labor standards including those that are gender specific, such as equal pay for work of equal value. A social and gender orientation of the contractors will ensure compliance.. Contractors will carry out HIV/AIDS awareness program within the project influence area in a gender sensitive manner. The improved road conditions and connectivity will provide better access to health services, of education, economic opportunities, and social interactions. The improved connectivity, increased tourism and improved urban water supply will result in more time spent on productive activities, self-development and empowerment of women.

52. The EA and IAs, will ensure GAP implementation, monitoring, and six monthly reporting with support of a national gender specialist, who will be a part of the team form NGO/agency engaged by the EA for assisting implementation of RPs. The national gender specialist will have an intermittent input of 18 person months over a period of 36 months. Gender- related targets are reflected in the DMF and included for each output. The estimated cost of implementing the GAP is included in the project financing.

53. In regular monitoring reports, a section will be devoted to the status of implementation of gender activities. The PPMS will contain regularly updated sex-disaggregated data that will inform the project's progress report. Reports will also contain a section on challenges met when implementing gender mainstreaming activities and provide recommendations and lessons learned in order to improve future implementation of similar programs.

#### **Gender Action Plan**

<b>Activity</b>	<b>Indicators/Targets</b>	<b>Responsibility</b>	<b>Time Frame</b>
<b>General (Applicable for Outputs 1 , 2, 3 and 4)</b>			
Employ women in construction-related work	Women employed in construction work (target 20% women)	EA, IA, DSCs and Contractors	During implementation
Ensure that all bidding documents include a clause requiring contractors to employ women in construction related works, as feasible; and the provision of core labor standards (including equal wages for work	All bidding documents include relevant clauses on gender and core labor standards (including equal wages for work of equal value)	EA, IA, DSCs and Contractors	During implementation

Activity	Indicators/Targets	Responsibility	Time Frame
of equal value)			
Orient contractors on gender and core labor standards	All contractors oriented on gender and core labor standards	EA, IA, DSCs and Contractors	During implementation
Conduct awareness-raising campaigns on road safety and HIV AIDS	At least 2 awareness-raising campaigns conducted per town/project area (Target: 5 towns) At least 50 community members [Target: 50% women] participated in each awareness raising campaign	EA, IA, DSCs and Contractors	During implementation
Mitigate the gender-related risks associated with infrastructure development through IEC and awareness campaigns	Women's needs and constraints taken into account in the preparation of all IEC and awareness materials	EA, IA, DSCs	During implementation
<b>Output 1: Roads and bridges are rehabilitated and reconstructed</b>			
Install road safety features	Signage, speed breakers, safety barriers, and road shoulders constructed to benefit pedestrians, especially women, children, elderly and differently-abled.	EA, IA, DSCs and Contractors	During implementation
<b>Output 2: Urban infrastructure rehabilitated and reconstructed</b>			
Provide water supply connections to vulnerable, poor and female headed affected families	Women and girls from 20,000 households benefitted from the restored connection to potable water supply by 2017	EA, IA, DSC and Contractors	During implementation
<b>Output 3: Tourism Infrastructure and trekking routes rehabilitated and reconstructed</b>			
Facilities for women in the rest houses and public amenities	Separate facilities for women considering their convenience, safety and privacy in basic tourist facilities/ and amenities rehabilitated and reconstructed at 5 affected districts	EA, IA, DSC and Contractors	During implementation
<b>Output 4: Infrastructure for better air connectivity for emergency evacuation in case of future disaster, which will also cater for the tourists and pilgrims</b>			
Construct women-, children-, elderly-, and differently abled-friendly facilities in emergency evacuation centers  Develop gender-sensitive emergency evacuation awareness programs	Women-, children-, elderly-, and differently abled-friendly facilities, e.g., separate toilets for women and differently abled, room for pregnant and lactating women, and nursery, constructed as feasible.  Awareness raising among community members on emergency evacuation procedures, meeting points and requirements (target 30% women)	EA, IAs and DSCs, Contractors	During implementation

Activity	Indicators/Targets	Responsibility	Time Frame
<b>Output 5: Project managed and monitored efficiently and capacity strengthened</b>			
Develop PPMS with gender indicators	Sex-disaggregated data collected regularly	EA, IAs and DSCs	During implementation
Ensure participation of women in capacity building workshops	100% women project staff trained  At least 30% of EA/IAs staff trained are women	EA, IAs	During implementation

## IX. PERFORMANCE MONITORING, EVALUATION, REPORTING AND COMMUNICATION

### A. Project Design and Monitoring Framework

54. The Design and Monitoring Framework of the Project is in Appendix 3 to this PAM.

### B. Monitoring

55. **Project Performance Monitoring:** EA, in consultation with ADB, will develop within 6 months of the effective date of Loan Agreement, a project performance monitoring system. The project performance monitoring system will monitor and evaluate the impacts, outcomes, outputs and activities in relation to the targets and milestones set for the project.

56. EA will prepare monitoring reports in the format covering all essential aspects of the Project and submits them to ADB at the agreed frequency for each type of report.

57. **Compliance Monitoring:** Compliance with covenants will be monitored through ADB's project administration missions – including project inception mission to discuss and confirm the timetable for compliance with the loan covenants; project review missions to review the borrower's compliance with particular loan covenants and, where there is any noncompliance or delay, discuss proposed remedial measures with the Government; and midterm review mission if necessary to review covenants to assess whether they are still relevant or need to be changed, or waived due to changing circumstances.

58. **Safeguards Monitoring.** Compliance with safeguard requirements will be monitored internally by the PMU and externally by the supervision consultants, who is supervised by IAs. IAs shall ensure compliance with the ADB's safeguard policy Statement, Government's rules and regulations and all the related documents agreed upon with ADB such as EMMPs, RF, RPs, indigenous peoples planning framework. Compliance of the project with these documents will be reviewed by ADB review missions

59. **Gender and Social Dimensions Monitoring:** Compliance will be monitored by the supervision consultant, who is supervised by PWD.

### C. Evaluation

60. Within 3 months of physical completion of the Project, EA will submit a project completion report to ADB.<sup>12</sup>

<sup>12</sup> Project completion report format is available at: <http://www.adb.org/Consulting/consultants-toolkits/PCR-Public-Sector-Landscape.rar>

61. ADB will field regular missions to discuss progress of the subprojects and any changes to implementation arrangements or remedial measures required to be undertaken towards achieving overall Project and Investment Program objectives. A midterm review of Project will be undertaken in 2015. The review will focus on institutional, administrative, organizational, technical, environmental, and social aspects of the project.

#### **D. Reporting**

62. EA will provide ADB with: (i) quarterly progress reports in a format consistent with ADB's project performance reporting system; (ii) consolidated annual reports including (a) progress achieved by output as measured through the indicator's performance targets, (b) key implementation issues and solutions; (c) updated procurement plan and (d) updated implementation plan for next 12 months; and (iii) a project completion report within 3 months of physical completion of the Project. To ensure projects continue to be both viable and sustainable, consolidated project financial statements, together with the associated auditor's report, should be provided and-reviewed.

#### **E. Stakeholder Communication Strategy**

63. A one-day stakeholder workshop will be held once a year to share information on project progress, issues, and lessons learned, and performance improvement measures if appropriate.

64. Various information regarding the Project, including scope, general progress status, beneficiaries, invitation to bid, and consultant recruitment notices, will be provided to the general public. The information will be made available and updated through the official websites of ADB, EA, and IAs.

### **X. ANTICORRUPTION POLICY**

65. The GoI, GoU, SDMA and all IAs are advised of ADB's Anticorruption Policy (1998, as amended to date)<sup>13</sup>. Consistent with its commitment to good governance, accountability and transparency, implementation of the Project and Subprojects shall adhere to ADB's Anticorruption Policy. ADB reserves the right to review and examine, directly or through its agents, any alleged corrupt, fraudulent, collusive, or coercive practices relating to the Project and Subprojects. In this regard, investigation of government officials, if any, would be requested by ADB to be undertaken by the GoI or GoU as case may be.

66. To support these efforts, relevant provisions of ADB's Anticorruption Policy are included in the Loan Regulations and the bidding documents. In particular, all contracts financed by ADB shall include provisions specifying the right of ADB to audit and examine the records and accounts of GoU, SDMA and each IA, and all contractors, suppliers, consultants, and other service providers as they relate to the Project or Subprojects. Individuals/entities on ADB's anticorruption debarment list are ineligible to participate in ADB-financed activity and may not be awarded any contract under the Project or Subprojects<sup>14</sup>.

67. ADB's Anticorruption Policy designates the Office of Anticorruption and Integrity as the point of contact to report allegations of fraud or corruption among ADB-financed projects or its staff. Office of Anticorruption and Integrity is responsible for all matters related to allegations of

<sup>13</sup> Available at: <http://www.adb.org/Documents/Policies/Anticorruption-Integrity/Policies-Strategies.pdf>

<sup>14</sup> ADB's Integrity Office web site is available at: <http://www.adb.org/integrity/unit.asp>

fraud and corruption. For a more detailed explanation refer to the Anticorruption Policy and Procedures. Anyone coming across evidence of corruption associated with the Project or Subproject(s) may contact the Anticorruption Unit by telephone, facsimile, mail, or email at the following numbers/addresses:

by email at [integrity@adb.org](mailto:integrity@adb.org) or [anticorruption@adb.org](mailto:anticorruption@adb.org)

by phone at +63 2 632 5004

by fax to +6326362152

by mail at the following address (Please mark correspondence Strictly Confidential):

Office of Anticorruption and Integrity  
Asian Development Bank  
6 ADB Avenue Mandaluyong City  
1550 Metro Manila, Philippines

## **XI. ACCOUNTABILITY MECHANISM**

68. People who are, or may in the 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 a good faith effort 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 the Accountability Mechanism.<sup>15</sup>

## **XII. RECORD OF PAM CHANGES**

69. The first draft of the PAM (dated 6 September 2013) has been prepared and agreed upon at the loan negotiation 30 September 2013. All revisions/updates during the course of implementation should be retained in this Section to provide a chronological history of changes to implemented arrangements recorded in the PAM.

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<sup>15</sup> For further information see: <http://www.adb.org/Accountability-Mechanism/default.asp>.

**INDICATIVE LIST  
OF  
SUB-PROJECTS**



## I. ROADS AND BRIDGES

### A) List of Roads (State Highways)

S.No	Name of Road	Category	Number
1	Mayali-Guptkashi Motor Road	SH	37
2	Chamoli-Kund Motor Road	SH	36
3	Karanprayag-Nauti-Paithani Motor Road	SH	34
4	Karanprayag- Gwaldam- Bageshwar-Joljibi (Thal Munsyari Motor Road)	SH	11
5	Rudraprayag-Pokhri-Gopeshwar Motor Road	SH	35
6	Uttarkashi-Ghanshali-Tilwara Motor Road	SH	15
7	Badethi Badrigad Motor Road	SH	16
8	Tyuni Mori Purola Naugaon Motor Road	SH	17
9	Tyuni-Chakrata-New Tehri-Kirtinagar Motor Road	SH	8
10	Bageshwar Kapkot Saama Tejam Motor Road	SH	40
11	Berinag Gangolihat Rameshwar Motor Road	SH	42
12	Kausani Baijnath motor Road	SH	11
13	Kathgodam-Khutani-Padampuri-Dhanchuli-Mornolla-Devidhura Lohaghat Pancheswar Motor Road	SH	10
14	Raipur-Kaddukhal Motor Road	SH	19
15	Suwakholi-Bhawaan-Sarot Chapra-Nagun Motor road	SH	30
16	Jajal-Gaja-Devprayag Pauri Motor Road	SH	31
17	Almora Ghat Panar Motor Road	SH	43
18	Bareli-Almora-Bageshwar Motor Road	SH	6
19	Bhatrojkan- Bhikiyasen- Chokhutia Motor Road	SH	12
20	Bhikiyasain Deghat Bungidhar Bachuwaban Mehalchori Chaukhutia Motor Road	SH	33
21	Almora to Shaherfatak Motor Road	SH	39
22	Thalisain-Chorikhil Chipalghat Motor Road	SH	2
23	Marchula-Saraikhet-Baijro-Pokhra Satpuli-Pauri (Pokhra Baijro Division)	SH	32
24	Kherna Ranikhet Motor Road	SH	14
25	Nainital Kaladhungi -Bajpur Doraha Motor Road	SH	13
26	Khutani-Bhawali- Dhanchuli-Okhalkanda-Khanasyu-Patlot Motor Road	SH	38
27	Haripur Ichadi Kwanu Minas Motor Road	SH	21
28	Chakrata Lakhamandal (Barnigard) Road	SH	18
29	Dehradun-Musssoorie	SH	1
30	Rishikesh Bhaniyawala Motor Road	SH	24
31	Puhana-Iqbalpur-Jhabreda-Narsan Road	SH	28
32	Puranpur Maghotanda Road	SH	46
33	Purkaji-Lakshar-Jwalapur Motor Road	SH	25
34	Roorkee-Lakshar-Dummanpuri Balawali Motor Road	SH	26
35	Roshnabad- Biharigard Motor Road	SH	27
36	Gadarpur Dineshpur Matkota Road	SH	5
37	Lakshman jhoola Rathuwadhaab Dhumakot Motor road	SH	9
38	Ramnagar-Kaladhungi-Haldwani-Chorgalia- Sitarganj-Bijti Motor road	SH	41

**B) List of Roads (MDR's)****Name of Roads****District- Rudraprayag**

- 1 Khirsu-Khedakhali-Kadai-Khakra Motor Road RP-1
- 2 Makku Pahunch Motor Road RP-2
- 3 Guptkashi-Kashimath-Kotma-Jaal Malla-Chaumasi Motor Road RP-3
- 4 Banswada-Karnsil-chandranager-Mohankhal Motor Road RP-4
- 5 Ukhimath-Mansuna-Jugasu-Raulek-Uniyada Motor Road RP-6

**District- Uttarkashi**

- 1 Silkyara Bangaon -Chapda Saroth Motor Road
- 2 Devidhar Dhanari Fold Motor Road
- 3 Badethi Banchora Badrigarh Motor Road
- 4 Silkyara Bangaon -Chapda Sarod Motor Road
- 5 Naogaon paunti Rajgadi Motor Road
- 6 Damta Kandari Motor Road
- 7 Arakot Chinwa Balcha Motor Road
- 8 Sankari Jakhol Motor Road
- 9 Mori Natwadh sankri Motor Road
- 10 Birhi-Gauna Motor Road

**District Pithoragarh**

- 1 Satsilling Thal Motor Road
- 2 Pamtodi-Bhatad-Kukrolli Motor Road
- 3 Sandev chaubati Muwani Motor Road
- 4 Kanalichina- Pipli Motor Road
- 5 Ogla-Bhagichora-Pasma Motor Road
- 6 Thal Pankhu Dharmghar Motor Road

**District Chamoli**

- 1 Ghat Ramdi Motor Road
- 2 Tharali-Devel-Mundoli Motor Road
- 3 Lohajang-Wan Motor Road
- 4 Gwaldum-Nandkeshri Motor Road
- 5 Adibadri-Nauti Motor Road
- 6 Karnprayag-Nainisen Motor Road
- 7 Gauchar-Sidoli Motor Road
- 8 Joshimath-Auli Motor Road

**District Bageshwer**

- 1 Bageshwer-Dafot Motor Road
- 2 Jila jaji Pahunch Motor Road
- 3 Dangoli-Selani Motor Road

- 4 Kapkot Karmi Motor Road
- 5 Bageshwer Dofad Dharmghar Kotmanya Motor Road
- 6 Bageshwer Pindari -Glacer Motor Road

**District- Champawat**

- 1 DhunaGhat-Bhigrada-Ritha Motor Road
- 2 Champawat-Khetikhan Motor Road
- 3 Champawat-Manch-Tamli Motor Road

**District -Pauri**

- 1 Khadhad-Sumadhi-Bhugadi Motor Road
- 2 Pauri-Khirsu-Srinager Motor Road
- 3 Khirsu-Musagli-Damdevel Motor Road
- 4 Bhugadi-Develgadh-Chamdhar Motor Road
- 5 Khirsu-Khedakhal-Kadhai-Khankra
- 6 Chelusen-Silogi-Ghattugad Motor Road
- 7 Dairiyakhal-Chudai-Rikhnikhal Motor Road
- 8 Rikhnikhal-Beerokhal Motor Road
- 9 P.C.T.T.B.D. Motor Road (Thelisen-Bhungidhar-Deghat Motor Road)

**District -Almora**

- 1 Kosi-Daulaghat Motor Road
- 2 Majkhali-Someshwer Motor Road
- 3 Artola Jageshwer Naini Motor Road
- 4 N.T.D.- Kafadkhan-Dholchina Motor Road
- 5 Binta-Gagas Motor Road
- 6 Barkinda Manila Dotiyal Motor Road
- 7 Richi Billekh Bhujan Motor Road
- 8 Marchulla Syalde Deghat Motor Road
- 9 Ranikhet-Jalali-Masi Motor Road
- 10 Ganai-Jorasi Motor Road
- 11 Dwarhat-Binta Someshwer Motor Road

**District - Nainital**

- 1 Ghansali Tehri Pratapnager Motor Road
- 2 Pratapnager Tehri Motor Road
- 3 Tehri Hidolakhal Devprayag Motor Road (Tipri Roadddhar Motor Road)
- 4 Motna Madannegi Motor Road
- 5 Lambgaon Pratapnager Motor Road
- 6 Bhildiyana Lambgaon Motor Road
- 7 kodar Deengaon Mukhem Motor Road
- 8 Kilkaleshwer Silkakhal Motor Road
- 9 Tehri Hidolakhal Devprayag Motor Road
- 10 Gaza Nakot Motor Road
- 11 Ghansali Ghuttu Motor Road

**District Dehradun**

- 1 Salakui-Bhauwala-Dunga-Nanda ki chawki Motor Road
- 2 Sehaspur-Shankarpur-Ramsawala-Bhauwala-Suddhowala Motor Road
- 3 Lambidhar-Kimadi-Dehradun Motor Road
- 4 Mazra Bhuddi Shekhuwala Dharmwala Motor Road
- 5 Kalsi Beraat Khai Motor Road
- 6 Shahiya Kwanu Motor Road
- 7 Lambrpur-Laxmipur- Barotiwala Motor Road
- 8 Tuni Kathiyana Motor Road
- 9 Purodi rawna Damta Motor Road
- 10 Daragaad-Kathiyana Motor Road
- 11 Bhaniyawala-Thano-Raipur Nathanpur-Jogiwala Puliya till No 6 Motor Road (No 12) (2 Lane Road till sehestradhara)

**District Haridwar**

- 1 Old Delhi Nitipass Motor Road (Ranipur Turn to Shankar Ashram)
- 2 old Delhi Nitipass Motor Road ( Shankar Ashram to Shinghdwar)
- 3 Dhanori-Daluwala Motor Road
- 4 Dhanori-Teliwala Motor Road
- 5 Gendikhata0Laldhang Motor Road (km 1 to 9)
- 6 Saray Subhashgadh-Athal-Basedi Motor Road (Km 4, 9, 11, 13, 14)
- 7 Khanpur Dalawala Motor Road( km 1 to 8)
- 8 Bahadrabad-Dhanori-Eemlikheda-bhagwanpur-Gagalhedi Motor Road
- 9 NH 58 to Ghodawala Budhahedi Motor Road
- 10 Mangloor-Chabreda Motor Road

**District Udhamasinghnager**

- 1 Kashipur Dadhiyal Motor Road
- 2 KAshipur Main Motor Road
- 3 Jaspur Dhampur Motor Road

**District- New Tehri**

- 1 Chamiyala Bhudakedar Motor Road
- 2 Pilkhi Gadoliya Motor Road
- 3 Ghansali Koti Akhodi Motor Road
- 4 Aglad-Thattud-Almas Bend Motor Road
- 5 Nainbag-Ghodakhuri-Andi Motor Road No- 11
- 6 Campti-Chadhogi Halka Motor Raod

**District - Nainital**

- 1 Laxmikhan-Talla Ramgarh-Pyuda-Kwarab Motor Road
- 2 Bhujan-Betalghat Motor Road
- 3 Ratighat-Betalghat Motor Road
- 4 Nirikshan Mukteshwer pahunch Marg
- 5 Bhujan-Betalgahat-Garjis Motor Road

**C) List of Roads (Damaged Roads Under Uttarakhand State Road Investment Program-I & II)**

**Name of Roads**

**Construction Division PWD PIU Dehradun**

- 1 Kalsi-Chakarata Motor Road
- 2 Bhagwanpur-Kheri Shikohpur Motor Road
- 3 Biharigad-Buggawala Motor Road
- 4 Pirankaliyar-Muzzahidpur Motor Road
- 5 Orangabad-Teliwala Motor Road
- 6 Raisi-Shahpur Motor Road
- 7 Ruhalki-Sahdevpur Motor Road
- 8 Chudiyala-Bindukharak Motor Road
- 9 Bhagwanpur-Behri-Bhuraj Motor Road

**Construction Division PWD PIU Pauri**

- 1 Sungarkhal-Jwalapadevi Motor Road
- 2 Santudhar-Paboo Motor Road
- 3 Satpuli-Dudharkhal Motor Road
- 4 Dudharkhal Tadkeshwar Motor Road
- 5 Pathradakhal Gethichera Motor Road
- 6 Samkhal Soyalbend Motor Road
- 7 Khirsu Adibadri Motor Road
- 8 Chobattakhal Chairikhal Motor Road
- 9 Banekh Thapla Motor Road
- 10 Fatehpur Lansdwon Motor Road

**Construction Division PWD PIU Gauchar**

- 1 Nandpryag Ghat Motor Road
- 2 Jakholi Guptkashi Motor Road
- 3 Rudrpryag Pokhari Karanpryag Motor Road
- 4 Pokhari Karanpryag Motor Road
- 5 Chamoli Guptkashi Motor Road
- 6 Chamoli Sartoli Motor Road
- 7 Tehri Ghansali Tilwara Motor Road

**Construction Division PWD PIU Uttarakashi**

- 1 Kuwan Kafnol Rarhi Motor Road
- 2 Naugaon Purola Motor Road

**Construction Division PWD PIU New Tehri**

- 1 Kirtinagar Sorakhal Motor Road
- 2 Kirtinagar Dangdhari Motor Road
- 3 Tehri Ghansali Tilwara Motor Road

- 4 Partapnagar Tehri Motor Road
- 5 Chatiyar Kepras Motor Road
- 6 Chamba Mussoori Motor Road
- 7 Tehri Kirtinagar Motor Road

**Construction Division PWD PIU Dugadda**

- 1 Hanumanti Fatehpur Motor Road
- 2 Kandakhal Chelusen Motor Road
- 3 Chelusen Devikhet Motor Road
- 4 Matiyali Dwarikhal Motor Road
- 5 Kheludanda Apoloseera Motor Road
- 6 Rikhanikhal Thalisen Via Panas Motor Road
- 7 Soparkhal Lalitpur Motor Road
- 8 Rikhanikhal Thalisen Via Jaspurkhal Motor Road
- 9 Rikhanikhal Thalisen Via Bhagwatiya Motor Road
- 10 Dhumakot Nainidanda Motor Road

**Construction Division PWD PIU Nainital**

- 1 Ranikhet Mohan Motor Road
- 2 Betalkhat Bhatroj Motor Road
- 3 Mangoli Khamari Motor Road
- 4 Nathukhan Suyalbari Motor Road
- 5 Malla Talla Nathukhan Motor Road

**Construction Division PWD PIU Almora**

- 1 Almora Bageshwar Motor Road
- 2 Udiyari Bend Thal Motor Road
- 3 Barechina Seraghat Motor Road
- 4 Harda Bhikiyasen Motor Road
- 5 Ganiyadoli Abhari Motor Road
- 6 Ganiyadoli Vishakot Motor Road
- 7 Dola Sinar Motor Road
- 8 Chaukhitiya Bachuaban Motor Road

**Construction Division PWD PIU Bageshwar**

- 1 Seraghat Udiyari Bend Motor Road
- 2 Kalana Bend Pantquari Motor Road
- 3 Jallikhan Nabada Motor Road
- 4 Bejnath Gualdam Motor Road

**Construction Division PWD PIU Pithoragarh**

- 1 Lohaghat Balikh Motor Road
- 2 Kakrali Thuligad Motor Road
- 3 Thuligad Beron Mandir Motor Road
- 4 Lohaghat Chaumel Motor Road

- 5 Pulla Chamdeval Siling Motor Road
  - 6 P C Mandalak Motor Road
  - 7 Thal Oglā Motor Road
  - 8 Pithoragarh Jhulaghat Motor Road
- Construction Division PWD PIU Rudrapur

## C) List of Motor Bridges

<b>S. No</b>	<b>District</b>	<b>Name of Bridges</b>	<b>Category of Road</b>
1	Almora	Km-1 Khairna - Ranikhet-Ramnagar Motor Road, Kosi River- Steel Girder Bridge	SH-14
2		Motor Bridge in km 1 Ghansali-Tehri-Pratapnager Motor Road	SH-15
3	Tehri	Motor Bridge in km 100 Uttarkashi Lambgaon -Tilwara Motor Road	SH-16
4		Km 8 Almas Bhawan Naguna Motor Road	SH 30
5		Km 6 Almas-Bhawan-Naguna Motor Road	SH 30
6		Km 9 Raipur-Kumalda-Kaddukhal Motor Road	SH-19
7	Haridwar	Protection work of Motor Bridge in km 15 Roorkee-Lakshar-Balawali Motor Road	SH-26
8	Bageshwer	Baijnath-Bageshwar-Berinag Motor Road km 1- 14 m RCC Motor Bridge	SH-11
9		Dehradun Masoorie Motor Road in Bindal River Motor Bridge	SH-1
10		Motor Bridge in km 66 Chakrata-Lakhamandal	SH-18
11		Rajpur-Kuthalgate (Kalirav) Motor Bridge	SH-23
12	Dehradun	Dehradun Ponta Road -km 1- Bindal River Bridge	SH-22
13		Motor Bridge in km 29 Daragaad Kathiyan Motor Road	MDR
14		Sahaspur-Dunga Road- Swarna River Bridge	MDR
15		Motor Bridge in km 11 Saheshpur-Shankarpur-Ramsawala-Bhauwala -Sudhowala Motor Road	MDR
16	Tehri	Motor Bridge in km 10 Lambgaon-Pratapnager Motor Road	MDR



## II. TOURISM AMENITIES AND HELIPADS

S. No.	PROJECTS UNDER MAJOR HEAD
1	<p><b>Construction of Helipads, Heliports, or Helidromes with associated facilities in 5 affected districts of Rudraprayag, Chamoli, Uttarkashi, Pithoragarh and Bageshwar.</b></p> <p><b><u>HELIDROMES</u></b></p> <ol style="list-style-type: none"> <li>1) Haridwar</li> <li>2) Koti</li> <li>3) Srinagar</li> <li>4) Kedarnath</li> <li>5) Haldwani</li> </ol> <p><b><u>HEILPORTS</u></b></p> <ol style="list-style-type: none"> <li>1) Rishikesh</li> <li>2) Roorkee</li> <li>3) Uttarkashi</li> <li>4) Harsil</li> <li>5) Kharsali</li> <li>6) Barkot</li> <li>7) Chamba</li> <li>8) Kotdwar</li> <li>9) Rudraprayag</li> <li>10) Joshimath</li> <li>11) Ghagharia</li> <li>12) Bageshwar</li> <li>13) Almora</li> <li>14) Nainital</li> <li>15) Champavat</li> <li>16) Rudrapur</li> <li>17) Dharchula</li> <li>18) Gunji</li> <li>19) Dehradun (Sahastradhara)</li> </ol> <p><b><u>HELIPADS</u></b></p> <ol style="list-style-type: none"> <li>1) Mussorie</li> <li>2) Tiuni</li> <li>3) Chakrata</li> <li>4) Laksar</li> <li>5) Bhatwari</li> <li>6) Maneri</li> <li>7) Mori</li> <li>8) Naugaon</li> <li>9) Sukhi Top</li> <li>10) Ghansali</li> <li>11) Lumbgaon</li> </ol>

S. No.	PROJECTS UNDER MAJOR HEAD
	12) Narendra Nagar
	13) Pauri
	14) Okhimath
	15) Bheembali
	16) Badrinath
	17) Auli
	18) Gwaldham
	19) Dewal
	20) Lohjang
	21) Kapkot
	22) Badhiakot
	23) Dwaarahaat
	24) Chaukadi
	25) Jageshwar
	26) Ranikhet
	27) Ramnagar
	28) Abbot Mount
	29) Khatima
	30) Milam
	31) Tejam
	32) Jipti
	33) Joljibi
	34) Sosa
2	<b>Providing Multi Purpose halls /shelter in 5 affected districts of Rudraprayag, Chamoli, Uttarkashi, Pithoragarh and Bageshwar.</b>
	Chamoli District - 4 (400 capacity) Rudraprayag District - 15 (1500 capacity) Uttarkashi District 7 (650 capacity) Bageshwar District 5 (550 capacity) Pithoragarh District 6 (450 capacity)
3	<b>Providing Tents/ Tourist accommodation in 5 affected districts of Rudraprayag, Chamoli, Uttarkashi, Pithoragarh and Bageshwar.</b>
	Chamoli District - 30 nos at 3 locations Rudraprayag District - 30 nos at 3 locations Uttarkashi District - 15 nos at 3 locations Bageshwar District - 60 nos at 12 locations Pithoragarh District - 55 nos at 11 locations

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S. No.	PROJECTS UNDER MAJOR HEAD
4	<b>Studies and preparation of master plans, pre feasibility reports for orderly tourist infrastructure development in Garhwal Mandal, to:</b>  (i) define the carrying and absorption capacities of about xx Higher reach destinations (ii) convert xx Middle reach destinations to into base camps for the Higher reach destination to stagger the tourists, and (iii) enhance the facilities in surrounding villages of xx Gateways to act as satellite towns
5	<b>Studies and preparation of master plans, pre feasibility reports for orderly tourist infrastructure development in Kumaon Mandal, to:</b>  (i) define the carrying and absorption capacities of about xx Higher reach destinations (ii) convert xx Middle reach destinations to into base camps for the Higher reach destination to stagger the tourists, and (iii) enhance the facilities in surrounding villages of xx Gateways to act as satellite towns
6	<b>Development of Tourist Bio-metrics &amp; Regulation software at various entry points</b>

### III. URBAN INFRASTRUCTURE

1. Water supply subprojects of the following towns will be included under the project:

- Srinagar- Pauri
- Rudraprayag
- Devprayag
- Uttarkashi
- After detailed appraisal another 3-5 towns are likely to be included.

2. Urban roads of the following towns will be included under the project:

- Srinagar
- Rudraprayag
- Devprayag
- Uttarkashi
- Dharchula
- After detailed appraisal another 3-4 towns are likely to be included.

## PROCUREMENT PLAN

### Basic Data

<b>Project Name:</b> Uttarakhand Emergency Assistance Project	
<b>Country:</b> India	<b>Executing Agency:</b> Government of Uttarakhand acting through State Disaster Management Agency
<b>Loan Amount:</b> \$200 million	<b>Loan (Grant) Number:</b> 47229-001
<b>Date of First Procurement Plan:</b>	<b>Date of this Procurement Plan:</b>

### A. Process Thresholds, Review and 18-Month Procurement Plan

#### 1. Project Procurement Thresholds

1. Except as the Asian Development Bank (ADB) may otherwise agree, the following process thresholds shall apply to procurement of goods and works.

Procurement of Goods and Works	
Method	Threshold
International Competitive Bidding (ICB) for Goods	\$1 million and above
National Competitive Bidding (NCB) for Works	Below \$40 million
National Competitive Bidding (NCB) for Goods	Below \$1 million
Limited International Bidding	Below \$1 million
Force Account Works	Below \$500,000
Shopping for Works	Below \$100,000
Shopping for Goods	Below \$100,000
Direct Contracting for Goods and Materials	Below \$20,000

#### 2. ADB Prior or Post Review

2. Except as ADB may otherwise agree, the following prior or post review requirements apply to the various procurement and consultant recruitment methods used for the project.

Procurement Method	Prior/ Post	Comments
<b>Procurement of Goods and Works</b>		
ICB Goods	Prior	
NCB Works for the first 2 contracts from each IA	Prior	
Force Account Works	Prior	Irrespective of the contract value.
Direct Contracting for Goods and Materials	Prior	
NCB Works for subsequent contracts above \$3 million	Prior	
NCB Works for subsequent contracts below \$3 million	Post	
LIB Goods and Works	Post	} Post-facto procurement review will be conducted in the field on a semi-annual basis. All IAs will retain a record of all procurement documents including copies of the signed contracts and the bid evaluation reports, to be available for post-facto procurement review in the field.
NCB Goods	Post	
Shopping for Works	Post	
Shopping for Good	Post	
<b>Recruitment of Consulting Firms</b>		
Quality- and Cost-Based Selection (QCBS)	Prior	90:10
	Prior	For contracts up to \$100,000.
<b>Recruitment of Individual Consultants</b>		
Individual Consultants	Prior	Open competition

## Appendix 2

### 3. Goods and Works Contracts Estimated to Cost More Than \$1 Million

3. The following table lists goods and works contracts for which procurement activity is either ongoing or expected to commence within the next 18 months.

General Description	Contract Value	Procurement Method	Prequalification of Bidders (y/n)	Advertisement Date (qtr/year)	Comments
1. Major rehabilitation and reconstruction works on state highways, major district roads and urban roads	40 contract packages costing between \$1-10 million for a total value of about \$100 million	NCB/LIB	No	Q3/2013 to Q1/2015	Contract packages will be firm up during project preparation.
2. Rehabilitation and reconstruction of urban water supply works and related services	10 contract packages costing between \$1-5 million for a total value of about \$12 million	NCB/LIB	No	Q3/2013 to Q1/2015	Contract packages will be firm up during project preparation.

### 4. Consulting Services Contracts Estimated to Cost More Than \$100,000

4. The following table lists consulting services contracts for which procurement activity is either ongoing or expected to commence within the next 18 months.

General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Date (quarter/year)	International or National Assignment	Comments
1. Design and Supervision Consultants (DSC)	6 contracts each valued at \$0.6 to \$2.5 million, total \$7 million	QCBS (90:10) with FTP	Q3/2013 to Q1/2014	National	Consulting firms
2. Financial Management Consultants	1 contract valued at \$0.2 million	QCBS (90:10) with BTP	Q1/2014	National	Consulting firm
3. Individual consultants for project implementation support	About 10-12 contracts, each valued at about \$80,000; total 1 million	Individual	Q3/2013 to Q1/2015	National	Individuals
4. Consulting services for preparing master plans, pre-feasibility reports for orderly tourist infrastructure development in Garhwal region	1 contract valued at \$0.7 million	QCBS (90:10) with STP	Q4/2013	National	Consulting firm

<b>General Description</b>	<b>Contract Value</b>	<b>Recruitment Method<sup>1</sup></b>	<b>Advertisement Date (quarter/year)</b>	<b>International or National Assignment</b>	<b>Comments</b>
5. Consulting services for preparing master plans, pre-feasibility reports for orderly tourist infrastructure development in Kumaon region	1 contract valued at \$0.35 million	QCBS (90:10) with STP	Q4/2013	National	Consulting firm
6. Consulting services for developing software for tourist biometrics to regulate tourist inflow at various entry points	1 contract valued at \$0.85 million	QCBS (90:10) with STP	Q1/2014	National	Consulting firm

### 5. Goods and Works Contracts Estimated to Cost Less than \$1 Million and Consulting Services Contracts Less than \$100,000

5. The following table groups smaller-value goods, works and consulting services contracts for which procurement activity is either ongoing or expected to commence within the next 18 months.

<b>General Description</b>	<b>Value of Contracts (cumulative)</b>	<b>Number of Contracts</b>	<b>Procurement / Recruitment Method<sup>1</sup></b>	<b>Comments</b>
1. Minor rehabilitation and reconstruction works on state highways and major district roads	\$8 million	About 50 contracts, each costing up to \$1 million	NCB/LIB/Shopping	For shopping and LIB, EA may invite bids from the existing registered class A contractors of GOU. For NCB, bids will be invited through open competition. Direct Contracting will be allowed only for goods and equipment costing up to \$20,000.
2. Construction of helipads, heliports, and/or helidromes at about 50 locations	\$20 million	About 24 contracts, each costing up to \$1 million	NCB	
3. Construction of multipurpose shelters for about 3000 persons at about 30 locations	\$5.0 million	About 10-12 contracts, each costing up to \$1 million	NCB/LIB/Shopping	
4. Construction of tents and tourist accommodations with necessary amenities at about 30 locations	\$3.0 million	About 10-12 contracts, each costing up to \$0.5 million	NCB/LIB/Shopping	
5. Reconstruction and rehabilitation of damaged assets related to tourism infrastructure in Rudraprayag district	\$5 million	About 15 contracts, each costing up to \$1 million	NCB/LIB/Shopping	
6. Reconstruction and rehabilitation of damaged trek routes and eco-trails	\$10 million	About 50 contracts, each costing up to \$500,000	NCB/Force Account/LIB/Community participation	

## Appendix 2

General Description	Value of Contracts (cumulative)	Number of Contracts	Procurement / Recruitment Method <sup>1</sup>	Comments
				may be considered.
7. Procurement of office equipment and goods	\$2 million	About 15 contracts, each costing up to \$200,000	NCB/LIB/Shopping/ Direct Contracting	

### B. Indicative List of Packages Required Under the Project

6. The following table provides an indicative list of all procurement (goods, works and consulting services) over the life of the project. Contracts financed by the Borrower and others should also be indicated, with an appropriate notation in the comments section.

General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Procurement Method	Domestic Preference Applicable	Comments
Goods	\$2 million	About 15	NCB/LIB/Shopping	No	Exact contract packages will be firmed up during project preparation.
Works	\$148 million	About 150	NCB/LIB/Shopping	No	
Works	\$10 million	About 50	Force Account/LIB	No	
General Description	Estimated Value (cumulative)	Estimated Number of Contracts	Recruitment Method	Type of Proposal	Comments
Consulting Services (Firm)	\$9 million	10	QCBS (90:10)	FTP/STP/BTP	
Individual Consultants	\$1 million	12	Open Competition		



## DESIGN AND MONITORING FRAMEWORK

Design Summary	Performance Targets and Indicators with Baseline	Data Sources and Reporting Mechanism	Assumptions and Risks
<b>Impact</b>			
Improved economic and social condition in Uttarakhand after the 2013 disaster.	<b>By 2020:</b> <ol style="list-style-type: none"> <li>1) Tourist arrivals increased by 20% from pre-disaster level.</li> <li>2) State gross domestic product increased by 20% from pre-disaster level.</li> </ol>	Tourist arrival data by state tourism department.  Report by central statistical office	<b>Risk</b> Extreme weather events occur
<b>Outcome</b>			
Basic public and social infrastructure restored, and disaster preparedness, project management and institutional effectiveness improved	<b>By 2016:</b> <ol style="list-style-type: none"> <li>1) 80% of damaged infrastructure (state roads; major district roads; bridges; urban roads, tourism infrastructure and water supply lines) in the project area reconstructed and rehabilitated with climate resilient features.</li> <li>2) Water supply to about 20,000 households restored to service level standards of GOI in the affected urban areas, reducing time spent by women and girls in water collection and management.</li> </ol>	For all indicators:  Periodic Project progress reports by EA (government of Uttarakhand acting through State Disaster Management Authority)	<b>Assumption</b> Coordinated and timely response by government and donors.
<b>Outputs</b>			
1. Roads and bridges are reconstructed and upgraded to all weather standard	<b>By 2016:</b> <ol style="list-style-type: none"> <li>1) About 2,400 km of state roads and 16 bridges are rehabilitated and reconstructed.</li> <li>2) All rehabilitated roads and bridges have safety features like signage, speed breakers, safety barriers and road shoulders.</li> <li>3) Local labor used as feasible for unskilled and skilled work in civil works. (Target 20% Women)</li> </ol>	For all indicators:  Periodic Project progress reports by EA (government of Uttarakhand acting through State Disaster Management Authority)	<b>Risk</b> Significant construction and rehabilitation costs increase beyond projections.
2. Urban infrastructure reconstructed and upgraded	<b>By 2016:</b> <ol style="list-style-type: none"> <li>1) About 56 km of the water supply pipelines rehabilitated.</li> </ol>		

Design Summary	Performance Targets and Indicators with Baseline	Data Sources and Reporting Mechanism	Assumptions and Risks
	<p>2) About 21 mld potable water supply augmented.</p> <p>3) About 40 water pumps and related electromechanical equipment replaced.</p> <p>4) About 20 km of urban roads and roadside drains are rehabilitated and reconstructed</p>		
<p>3. Tourism Infrastructure and trekking routes rehabilitated and reconstructed.</p>	<p><b>By 2016:</b></p> <p>1) About 80% of basic tourist facilities/ and amenities (toilets, tourist rest houses, tourist information centers etc) rehabilitated and reconstructed at 5 affected districts (with separate facilities for women).</p> <p>2) About 10 trekking routes, including safety rails, rest houses and public amenities, repaired and upgraded with community support.</p> <p>3) Studies on carrying capacity and tourist regulation carried out to manage tourist inflow and to develop infrastructure for disaster preparedness.</p>		
<p>4. Improved capacity on disaster preparedness and management.</p>	<p><b>By 2016:</b></p> <p>1) About 50 helipads, heliports, and/or helidromes constructed with shelter and associated amenities including toilet facilities, suitable to the needs of women, children, elderly and differently abled.</p>		
<p>5. Project management system operational</p>	<p>1) Project completed on time and within budget.</p>		

<b>Activities with Milestones</b>	
<p><b>1. Roads and bridges are reconstructed and upgraded to all-weather standard</b></p> <p>1.1 Identify and appraise subprojects, as required (Q3 2013–Q2 2014)</p> <p>1.2 Prepare engineering designs (Q4 2013–Q4 2014)</p> <p>1.3 Prepare bid documents (Q3 2013–Q4 2014)</p> <p>1.4 Construct assets (Q2 2014–Q4 2016)</p> <p>1.5 Make assets operational (Q4 2014–Q4 2016)</p> <p><b>2. Urban infrastructure reconstructed and upgraded</b></p> <p>2.1 Identify and appraise subprojects, as required (Q3 2013–Q2 2014)</p> <p>2.2 Prepare engineering designs (Q3 2013–Q4 2014)</p> <p>2.3 Prepare bid documents (Q3 2013–Q4 2014)</p> <p>2.4 Construct assets (Q2 2014–Q4 2016)</p> <p>2.5 Make assets operational (Q4 2014–Q4 2016)</p>	<p><b>Inputs</b></p> <p><b>Loan</b> <b>ADB: \$200 million</b></p> <p><b>Government:</b> <b>of India and government of Uttarakhand</b> <b>: \$5 million</b></p>
<b>Activities with Milestones</b>	
<p><b>3. Tourism infrastructure and trekking routes rehabilitated and reconstructed</b></p> <p>3.1 Identify and appraise subprojects, as required (Q3 2013–Q3 2014)</p> <p>3.2 Prepare engineering designs (Q3 2013–Q4 2014)</p> <p>3.3 Prepare bid documents (Q3 2013–Q4 2014)</p> <p>3.4 Construct assets (Q3 2014–Q4 2016)</p> <p>3.5 Make assets operational (Q4 2014–Q4 2016)</p> <p>3.6 Recruit consultant for studies (Q4 2013)</p> <p><b>4. Improved capacity on disaster preparedness and management</b></p> <p>4.1 Identify and appraise subprojects, as required (Q3 2013–Q3 2014)</p> <p>4.2 Prepare engineering designs (Q3 2013–Q4 2014)</p> <p>4.3 Prepare bid documents (Q3 2013–Q4 2014)</p> <p>4.4 Construct assets (Q3 2014–Q4 2016)</p> <p>4.5 Make assets operational (Q4 2014–Q4 2016)</p> <p>4.6 Conduct capacity building trainings (Q4 2013–Q4 2014)</p> <p><b>5. Project management system operational</b></p> <p>5.1 Establish PMU and PIU (Q3 2013–Q2 2014)</p> <p>5.2 Award contracts for goods, works, and services (Q3 2013–Q2 2014)</p> <p>5.3 Monitor, report, and evaluate project progress (Q3 2013–Q4 2016)</p> <p>5.4 Conduct business opportunity seminars (Q4 2013–Q2 2014)</p> <p>5.5 Develop and adopt PPMS with gender indicators (Q4 2013–Q1 2014)</p>	

PIUs=project implementation units, PMU= project management unit, PPMS=project performance management system

## Subproject Selection Criteria and Approval Procedures

1. The Project will finance the rehabilitation and reconstruction of subprojects in the following key infrastructure sectors damaged by the 2013 disaster

- i. state highway and major district road including bridges
- ii. additionally, affected roads under ongoing Uttarakhand State Road Investment Program - Project 1 and 2 can be included
- iii. trek routes including eco-trails
- iv. tourism infrastructure
- v. construction of helipads, heliports, or helidromes as a disaster preparedness and management measure
- vi. urban infrastructure, primarily urban water supply, urban roads and road side drains

2. **Eligibility Criteria for Subprojects:** The Project would finance only those subprojects, which meet the following eligibility criteria:

### a. Technical Criteria:

- (i) The subproject eligible for inclusion in the project are:
  - **State Highways and Major District Roads including bridges and affected roads under ongoing Uttarakhand State Road Investment Program - Project 1 and 2.** Rehabilitation and reconstruction of damaged and affected state highways and major district roads including landslide clearance, protection works, bridges, causeways, culverts, drains and road furniture.
  - **Trek Routes.** Rehabilitation and reconstruction of damaged and affected trek routes, development of alternate trek routes including construction of rest houses, trekker facilities and amenities along trek routes and in enroute villages.
  - **Tourism Infrastructure.** Rehabilitation and reconstruction of damaged and affected rest houses and tourist facilities including construction of multi-purpose halls /shelters, tourist amenities and facilities.
  - **Helipads, heliports, or helidromes.** Construction of helipads, heliports, or helidromes and associated amenities.
  - **Water Supply.** Work relating to transmission mains, distribution networks, reservoirs, pumping stations, pumps, water treatment plant, tube wells and infiltration wells and associated structure. The subproject should ensure availability of potable water as per service level standards to the beneficiaries, with medium term planning horizon. Expansion of the water supply network to uncovered areas of the towns will not be covered under the project.
  - **Urban road and road side drains.** Works related to affected arterial road of the towns, road side drains and culverts.
- (ii) The subproject shall be technically sound, meeting design standards of the Government of India or other equivalent technical authorities and preliminary design will have been prepared.
- (iii) The subproject will be designed and executed as seismic resistant structure in accordance with relevant national standards, as applicable.

- (iv) The subproject shall be cost effective based on a review of technical options available to address the identified problems.
- (v) The subproject should be avoided in core zones of national parks, wildlife sanctuaries and biospheres and the critical habitats. If unavoidable, such subprojects should be strictly confined to minor rehabilitation of existing infrastructure.
- (vi) The design and construction standards will be raised to appropriate level. The revised high flood levels of the rivers or the natural streams or drainage channels shall be considered, while designing facilities, as applicable. Geotechnical studies shall be undertaken and slope stabilization measures considered for slide zones, wherever applicable.
- (vii) The subproject shall be in compliance with all applicable local rules and regulations. All required central and state government approvals/clearances will be in place including those from state disaster management authority/high powered committee. Additionally, necessary statutory clearances should be in place before contract award/commencement of works.

3. **Economic Criteria.** Economic evaluation should cover the key areas of economic analysis indicated in ADB's Key Areas of Economic Analysis of Projects - An Overview. In particular, (i) the analysis should ensure that there is sufficient demand for the critical public and social infrastructure; (ii) the analysis is undertaken for the various alternatives; (iii) the subproject demonstrates an EIRR of at least 12%, is not overly sensitive to changes in key cost and benefit parameters and will likely be sustainable with due provision for O & M, or the chosen technical option is the least cost option for providing the particular service. If there is a justification that the economic benefits cannot be entirely quantified, the economic rate of return of 10% instead of 12% can be acceptable.

4. **Social Criteria.** The subproject will, to the extent possible, not require land acquisition or involuntary resettlement (including the displacement of squatters or encroachers from the rights of way). If land acquisition or involuntary resettlement is required for a subproject, a Resettlement Plan shall have been prepared in accordance with applicable laws and regulations of the National and State Government, ADB's *Safeguard Policy Statement (2009)* on Involuntary Resettlement and the agreed Resettlement Framework (Appendix 10) and submitted to ADB for approval.

5. If any indigenous peoples/scheduled tribes are likely to be affected significantly by a subproject, an Indigenous Peoples Plan shall have been prepared in accordance with the ADB's *Safeguard Policy Statement (2009)* on Indigenous People and the agreed Indigenous Peoples Planning Framework (Appendix 11) and submitted to ADB for approval.

6. **Environmental Criteria.** The subprojects will comply with environmental requirements specified in ADB's *Safeguard Policy Statement (2009)* and those specified in Country's environmental regulations, including legislations and standards of the State Government. Environmental assessment of individual sub project shall have been carried out in accordance with Environmental Assessment and Review Framework (Appendix 9) of the Project and the environmental management and monitoring plan will be made a part of the contract document. The subprojects with the type of activities listed in ADB SPS 2009 Appendix 5 (ADB Prohibited Investment Activities List) do not qualify for ADB's financing.

7. **Procedures.** Each subproject will be prepared and processed in accordance with the following procedures:

## Appendix 4

- a) Technical study, for all subprojects, will be conducted by the EA including its cost estimate. The EA will also prepare and fill out checklist for (i) involuntary resettlement; (ii) indigenous people; and (ii) an environmental screening in accordance with the relevant frameworks.
- b) The EA/IAs will translate the resettlement plan in the local language and disclose it to the affected people and incorporate the results of the consultation, before ADB's approval. The final RP will also be disclosed on the ADB website and the website of EA/IA.
- c) The EA/IA will prepare the appraisal reports for all subprojects to be considered under project following the selection criteria, together with the required attachments i.e. appropriate resettlement plan, indigenous peoples plan and environmental assessment and submit the same to ADB for approval. However, if any of the subprojects is categorized as environmentally category A, it requires compliance with the 120-day advance disclosure rule. The environmental impact assessment reports would be disclosed on ADB website 120 days prior to the award of contract for the subproject.
- d) ADB will review the summary appraisal report together with the required attachments. If ADB finds that a proposed subproject is not likely to satisfy the selection criteria and/or that the agreed procedures, ADB will advise the EA/IA either (a) to modify the subproject proposal in a manner that will make it eligible for approval or (b) that the subproject must be rejected.
- e) The above procedure described in (d) will be applied only to those subprojects (i) whose estimated cost exceeds \$1 million.
- f) If the subproject in question is equal to or less than \$1 million in estimated cost and has not been classified as environment category "A", involuntary resettlement category "A" or indigenous peoples category "B", the above review would be carried out by the EA/IA. However, this will not be applied for the first 2 subprojects in each of the sector. ADB will conduct post-facto review of the subprojects on a sample basis. Notwithstanding above, the initial environmental examination (IEE) report including environmental management and monitoring plan; and the resettlement plan, as required, shall have to be prepared for all these subprojects in accordance with the relevant frameworks and submitted to ADB for approval before the award of works.