



# Resettlement Planning Document

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Project Number: 40648-034  
March 2016

## IND: Infrastructure Development Investment Program for Tourism - Tranche 3

Sub Project : Patiala Heritage Conservation and Tourism Development Project Quila Mubarak and Nabha Fort (Package No. PB/IDIPT/T3/06/05)

Submitted by

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**Asian Development Bank**

**Punjab Heritage and Tourism Promotion Board**  
**Infrastructure Development Investment Programme for Tourism**  
(ADB Assisted Project)




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No. PHTPB / IDIPT 2016 / 7537-III

Date: 21/03/2016

**Subject: Submission of Due Diligence Report (DDR) of Patiala Heritage Conservation and Tourism Development Project- Quila Mubarak and Nabha Fort (Package No.: PB/IDIPT/T3/06/05)**

Kindly find consolidated Social Safeguards Due Diligence Report (DDR) of Patiala Heritage Conservation and Tourism Development Project- Quila Mubarak and Nabha Fort (Package No.: PB/IDIPT/T3/06/05) enclosed with this letter for your approval.

  
Additional Project Director

CC:

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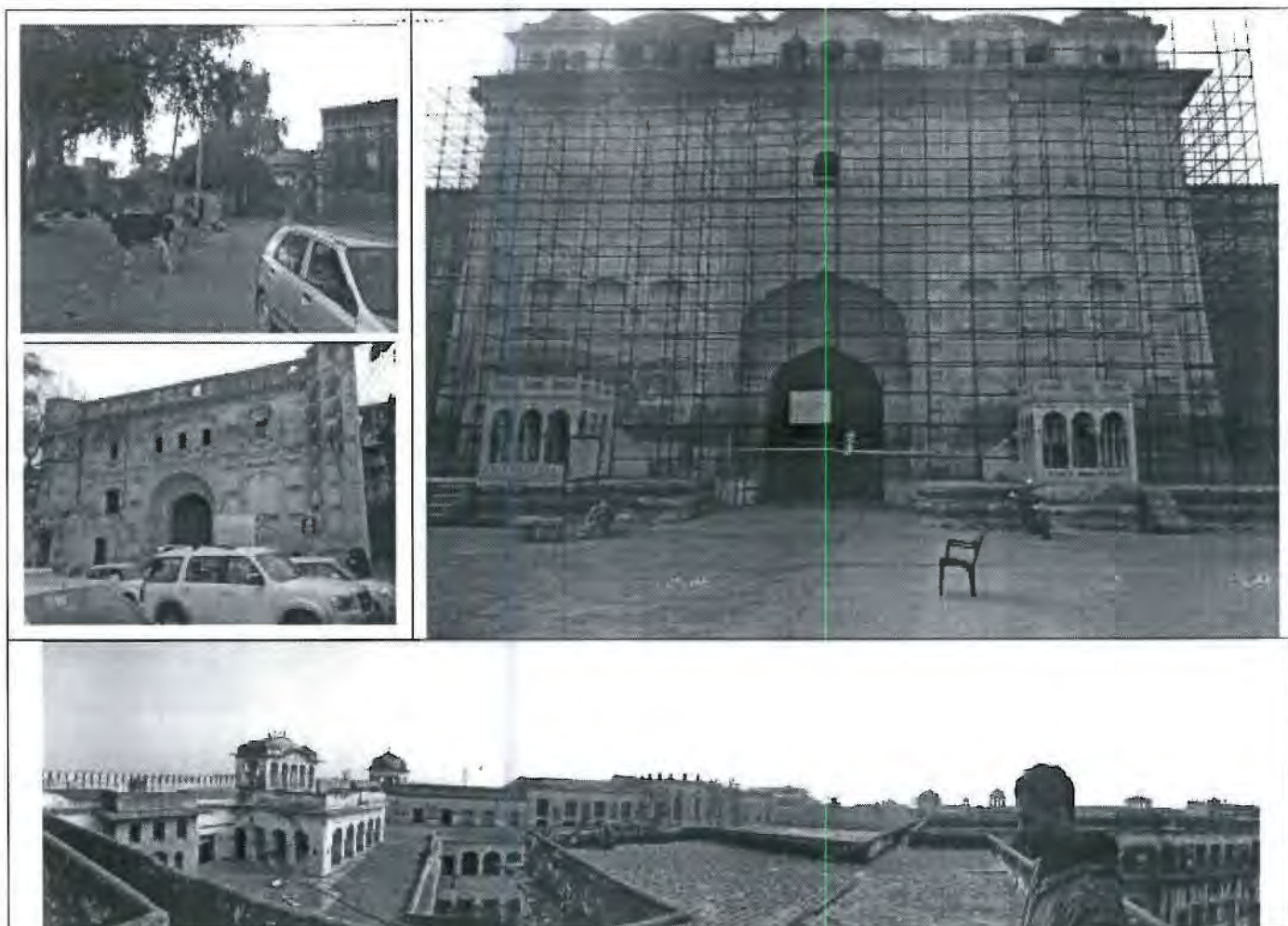


## **DUE DILIGENCE REPORT ON SOCIAL SAFEGUARDS**



### **INFRASTRUCTURE DEVELOPMENT INVESTMENT PROGRAM FOR TOURISM (TRANCHE 3) STATE OF PUNJAB**

#### **PATIALA HERITAGE CONSERVATION AND TOURISM DEVELOPMENT PROJECT QUILA MUBARAK AND NABHA FORT (PACKAGE NO.: PB/IDIPT/T3/06/05)**



**DECEMBER 2015**

**Prepared by**  
**The Government of Punjab for the Asian Development Bank**



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## ABBREVIATIONS

ADB	---	Asian Development Bank
AF	---	Affected Family
AP	---	Affected Person
BPL	---	Below Poverty Line
CDO	---	Community Development Officer
COI	---	Corridor of Impact
CPRs	---	Community Property Resources
DF	---	Displaced Family
DP	---	Displaced Person
DSC	---	Design Supervision Consultant
EA	---	Executing Agency
FGD	---	Focused Group Discussion
GoI	---	Government of India
GoP	---	Government of Punjab
MP	---	Micro Plan
NGO	---	Non-Government Organization
PH	---	Physical Handicapped
PHTPB	---	Punjab Heritage and Tourism Development Board
PIU	---	Project Implementation Unit
PMU	---	Project Management Unit
R&R	---	Resettlement and Rehabilitation
RP	---	Resettlement Plan
SC	---	Schedule Caste
ST	---	Schedule Tribe
ToR	---	Terms of Reference



## SOCIAL SAFEGUARD DUE DILIGENCE

### 1. INTRODUCTION

1. The Government of India has signed a loan with the Asian Development Bank (ADB) on 28-September-2015 for US \$ 123.51 million for tranche 3 of the Infrastructure Development Investment Program for Tourism (IDIPT) with an objective to continue upgrading tourism infrastructure and services in three states, Punjab, Uttarakhand and Himachal Pradesh. The loan is intended for development and conservation of places of tourist attractions as well as to improve basic tourism facilities, and to build the capacity of sector agencies and local communities in the three States. The third tranche loan is part of the \$250 million multi-tranche financing facility that ADB approved in 2010.
2. LEA Associates South Asia Private Limited, (LASA) in association with Simpson & Brown Architects (UK) and Addyman Archeology, UK (UK) has been retained as Project Management Consultant for Punjab Heritage and Tourism Promotion Board, Punjab, Project Management Unit (PMU) and the Project Implementation Units (PIUs) with an objective to ensure effective coordination and implementation of IDIPT. The department of Tourism, Government of Punjab is the Executing Agency (EA) and Punjab Heritage and Tourism Promotion Board (PHTPB) is the Implementation Agency (IA) for the IDIPT for Punjab and the PMU has been set up at the PHTPB.
3. Shah Technical Consultants Private Limited in association with Grassroots Research and Consultancy (India) has also been engaged as Design Supervision Consultant (DSC) for Punjab Heritage and Tourism Promotion Board, Punjab.
4. This report presents the due diligence on Social Safeguards for one of the sub-projects of IDIPT, entitled, "Patiala Heritage Conservation and Tourism Development Project - Quila Mubarak & Nabha Fort" Package No.: PB/IDIPT/T3/06/05, taken up in Tranche-3.

### 2. DESCRIPTION OF SUB-PROJECT

5. **Patiala Heritage Conservation and Tourism Development Project - Quila Mubarak & Nabha Fort" Package No.: PB/IDIPT/T3/06/** is part of the Eastern Circuit. The project aims at protection and management of natural and cultural tourism assets at two tourist sites in Patiala district. Patiala district is part of the Sikh Heritage Trail (*Source: As per Punjab Tourism Development Master Plan, 2008-2023; United Nations World Tourism Organization (UNWTO)*)
6. Patiala district is situated in south-east of Punjab state. The Patiala East Punjab State Union, earlier known as the Phulkian state comprises the historic twons of Patiala, Nabha and Sangrur. These twons house important historic buildings, museums and living traditions of cultural industries. The city of Patiala is located around the Quila Mubarak also known as the Fortunate Castle. The city is well linked with other twons of Punjab through road and rail network. The nearest airport is at Chandigarh which is 70 km from Patiala city. The city represents royal heritage and rich culture with magnificent Forts, Palaces, and extensive gardens like Quila Androon Sheesh Mahal, Moti Bagh Palace, Baradari Gardens, Art Galleries and National Institute of Sports. Baradari Gardens, Gurudwara Dukhniwaran Sahib and Temple Kali Devi, on account of the rare murals on its walls, has been declared as national monuments.
7. The following DDR focuses on conservation of Quila Mubarak and Nabha Fort which are the part of Patiala Heritage. The components of the sub project will be implemented at two locations within Patiala



district. While Quila Mubarak is in Patiala District headquarters, the Nabha Fort is in Nabha town. Nabha is one of the Tehsil of Patiala District at a distance of thirty kilometres from district headquarters. Hence the description is divided in two sections as given below.

8. **Quila Mubarak** (Fort of triumph) was established by Baba Ala Singh, The founder of the Patiala dynasty in 1763CE. Quila Mubarak is an outstanding and exemplary architectural delight located in Patiala. The fort has elements of both Mughal and Rajasthani architecture, the imposing facade of Quila Androon is marked by monumentality with the facade slightly leaning inwards.

9. **Nabha Fort** complex is located in the centre of Nabha town with the complex facing north-west. The open space towards the front is ceremonial by design, the entrance to both the Quila Androon and the Kacheri (earlier Tehsil and vacant by district administration) being from this space. The proposed sub-project locations are shown in Figure 1.

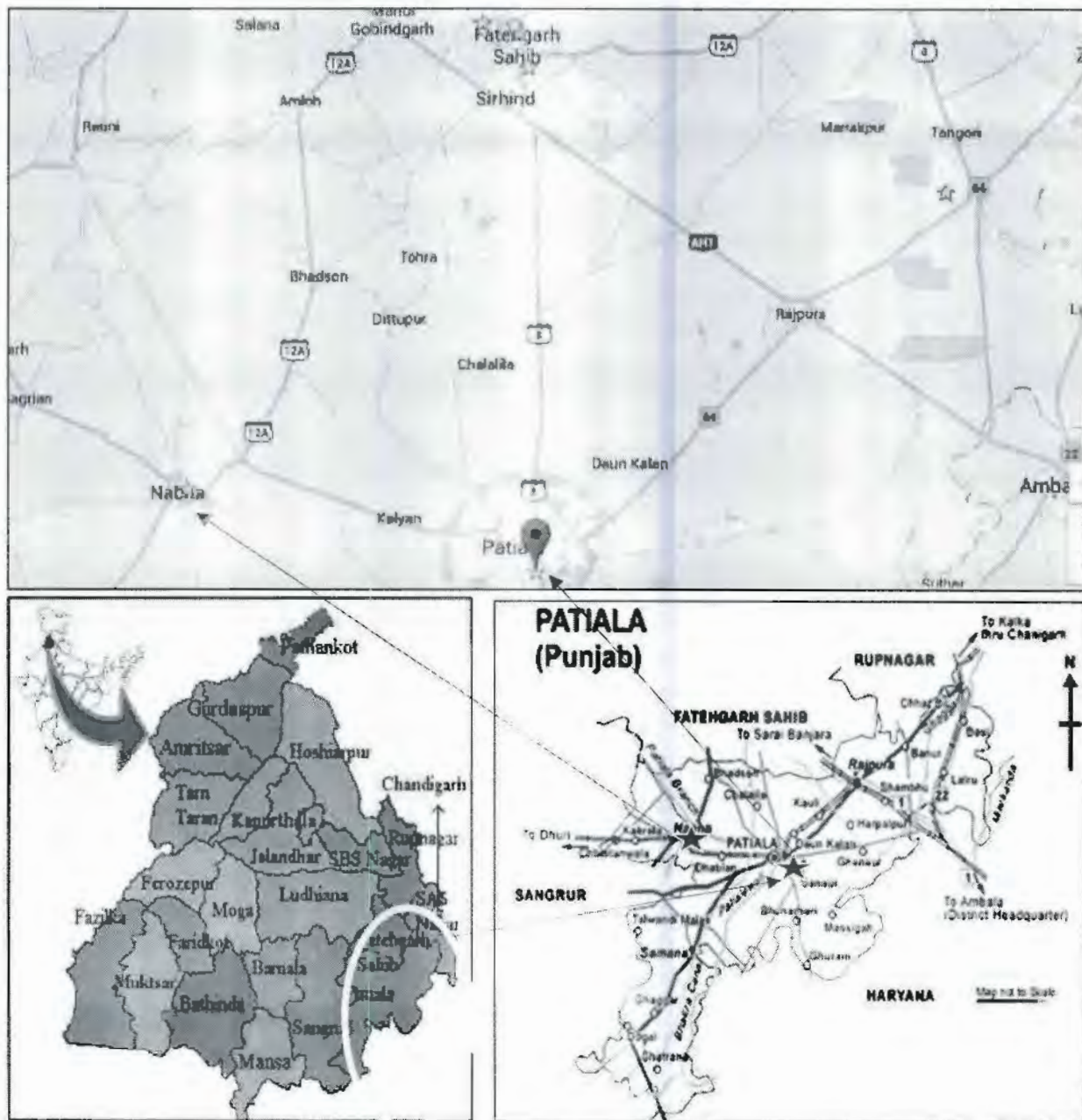


Figure 1: Project Location



### 2.1.1 Resettlement Framework (RF)

10. A Resettlement Framework is in place for guidance in preparation of resettlement plans and overall safeguards management under IDIPT. The RF prepared for IDIPT tranche 1, has been modified to include the development with respect to new Land Acquisition Act, and for implementation of Tranche 3 sub-projects. The RF reflects the national and state level acts and policies with respect to land acquisition, Involuntary Resettlement, as well as ADB's safeguards policy statement (SPS, 2009). This RF is applicable to all sub-projects under IDIPT and is subjected to review and updating ensuring relevance and consistency with applicable country/state legal framework and ADBs SPS, 2009. The following web link may be referred for Resettlement Framework Document. <http://www.adb.org/sites/default/files/project-document/148689/40648-034-rf-02.pdf>

### 2.1.2 Initial Environmental Examination Report (IEE)

11. An Initial Environmental Examination (IEE) Report is in place for the sub-projects under IDIPT, which classifies the proposed interventions, the subprojects as Environmental Category B as per the SPS, 2009 as no significant impacts are envisioned. Accordingly this IEE has been prepared to assess initial environmental/social impacts, if any and to provide mitigation and monitoring measures to ensure no significant impacts arises as a result of the sub-project. The following web link may be referred for IEE Report. [http://www.punjabtourism.gov.in/UploadedFiles/ADB%20Safegaurds/40648-034-iee-06\\_Patiala%20Tourism%20Destinations.pdf](http://www.punjabtourism.gov.in/UploadedFiles/ADB%20Safegaurds/40648-034-iee-06_Patiala%20Tourism%20Destinations.pdf)

## 3. OBJECTIVE OF DUE DILIGENCE REPORT

12. The main objective of preparation of DDRs are to:

- Determine whether the subproject is free of Involuntary Resettlement impact such as land acquisition, displacement, adverse impact on income and livelihood, community properties or any other impacts.
- Review the existing field circumstances of this subproject in accordance with ADB's Safeguard Policy Statement (SPS) 2009.

## 4. REQUIREMENT OF DUE DILIGENCE REPORT

13. The conservation of Quila Mubarak and Nabha Fort subproject in both the location does not involve the temporary or permanent land acquisition and resettlement impact because proposed activities are being implemented within the Fort. Since there is no encroachment in Quila Mubarak and Nabha Fort and have not any temporary or permanent land acquisition and resettlement. Therefore no expected impacts on private/public land, structures etc. no negative impacts on livelihood are envisaged. Hence no Resettlement Plan is needed and Due Diligence Report will fulfil the requirement of ADB's Safeguards Policy.

## 5. SCOPE OF DUE-DILIGENCE EXERCISE

14. The scope of Due Diligence Exercise covers the following activities while preparing the DDR:

- Review the system and procedures for project management, implementation and monitoring of the progress;
- Review measures taken to minimise land acquisition and other social impacts; if any
- Monitor the process if government land transfer involved, the process followed for making such land available to the project and the land-use of those government lands and description of any encumbrances;



- Gather the documentation regarding agreement reached with or consultation held to reach agreement, in case of purchase of land directly from the community / panchayat;
- Gather details of affected properties including private, government, community, religious etc;
- Verify R&R provisions made applicable to the project;
- Gather details of total affected land holders and details of any Scheduled Tribe (ST) families and non-titleholders affected, if any;
- Details of public consultation during planning and construction stage and how the outcome of consultations was integrated into the project design;
- Details of entitlement matrix or compensation and assistance details formulated for the Project Affected Families for loss of assets which should also include compensation criteria adopted for affected structured due to project facilities. Details of additional assistance provided to the affected ST families;
- Gather details of non-titleholders and R&R assistance provided, if any, to respective categories;
- Details of compensation paid for crop and other damages for the affected landholders, if applicable.
- Details of grievance redress mechanism followed for the project, mentioning if any grievances received from the local people and the action taken against those grievances;
- Details of any pending litigation cases related to land acquisition and compensation, if any;
- Details of institutional arrangement for social safeguard implementation;
- Details of the Community consultation or development Activities, if carried out by the contractor;
- Compliance with respect to Resettlement Framework (RF);
- Disclosure process followed for safeguard and other related documents;
- Gather any other information and data related to social impacts;
- Suggest suitable measures for identified gaps and shortcomings in mitigating the social impacts, if any, based on the due diligence exercise.

## 6. APPROACH AND METHODOLOGY

15. As part of the due diligence, the team visited the project area and carried out detailed interactions with implementing agency, contractors, and carried out consultation with communities. A review of the project DPR, design, drawings was also carried out. The due diligence report has been prepared based on the scope of work of the consultancy service, and Safeguard Policy Statement of the Asian Development Bank, and the Resettlement Framework (RF) agreed for the IDIPT. The methods followed for the preparation of due diligence report has been discussed in this section.

### 6.1 Activity 1: Review and Appraisal of Sub-Project Reports and Documents

16. The reports and relevant documents related to social safeguards available with the PMU have been reviewed and appraised. The documents included Loan Agreement- ADB and Punjab state government, Project Agreement-ADB and Punjab state government; sub-project appraisal report (SAR), Initial Environmental Examination (IEE) Report, Resettlement Framework, NOC's and Certificate and Undertaking issued from the Punjab Ancient and Historical Monuments and Archaeological Department as well as other departments and Contract Documents etc.

### 6.2 Activity 2: Consultations With the PIU & Contractor

17. Two-stage consultation process has been conducted towards preparation of the due diligence report, (i) consultation with PIU officials prior to the site visit to appraise about the project, and (ii) consultation after the site visit to ascertain the compliance procedures adopted or planning to be adopted by the PIU/Contractor for various safeguard issues observed at the site.



### 6.3 Activity 3: Site Visit and On-Site Observations

18. Visit to the sub-project site have been an integral part of the preparation of due diligence report. PMC Social Safeguards Specialist has visited the project site on 5<sup>th</sup> November 2015 and had discussions with the Forest Specialist, Community Development officer at PIU Ropar, Site Engineer, Contractor's representatives, labourers, etc.

## 7. SOCIAL SAFEGUARD DUE DILIGENCE

### 7.1 Assessment/review of Social Issues

19. The Tranche-3 sub-project is categorized as "C" for Involuntary Resettlement (IR) as well as Indigenous People Development as per ADB's Safeguard Policy Statement (SPS-2009). The Quila Mubarak is designated as a Protected Monument by the Punjab Government under "The Punjab Ancient and Historical Monuments and Archaeological sites and Remains Act, 1964". The Quila Mubarak forms the centre of the fortified city of Patiala and marks the historic centre of power of the extensive royal state of Patiala. The Quila was used as residence of the Royal family of Patiala when Maharaja Narinder Singh built Moti Bagh Palace with Sheesh Mahal in 1847 AD. Maintenance and upkeep of the palace suffered after the royal family moved their residence. Post Independence Government used the complex for housing offices. With improvement in the economy and growing understanding of the importance of cultural heritage, the Government has invested in preservation of fort.

20. The Nabha Fort is in dilapidated state and requires conservation works urgently in some sections. Most of the timber structural members have decayed. There is vegetation growth all over the complex. The Nabha Foundation is rigorously working for the community development in Nabha region and is engaged with the Government of Punjab in a public process with a proposal for investment in structural stabilisation and conservation of the Fort. Boundary wall exists and no encroachment has been noticed.

21. The proposed sub-project will not have any land acquisition and resettlement impacts and the proposed improvements will take place within government owned land. The local people have a positive perception about the project with respect to the business development by increasing tourist/visitors, employment opportunities (both un-skilled and semi-skilled) which the project can provide to the local community.

### 7.2 Details of Land

22. The Quila Mubarak complex is almost square in plan with central part occupied by Quila Androon, encircled with a wide passage line with other ancillary buildings and Fort wall all around. Both the Quila and Quila gates are entered through single imposing gateways. The building and courts in Quila Mubarak display a wide range of decorative elements. The Nabha Quila complex is spread over an area of 47,660 sq m. While the Quila Androon within the complex covers an area of 11,706 sq m. It is almost square in plan with approximately 100 m side.

23. The sub-project improvements have been undertaken within the government owned land. The land belongs to Department of Cultural Affairs, Archaeology & Museums Department. At the same time, the execution of sub-project is the responsibility of Department of Tourism, for which a No Objection Certificate (NOC) dated 27/08/2014 for Quila Mubarak & 27/09/2014 for Nabha Fort from Director, Department of Cultural Affairs, Archaeology & Museums, Punjab, Chandigarh (the owner of the land), has been given to Department of Tourism, GoP. Copy of NOC & Undertaking is placed as Appendix-1. The sub-project will be executed within the existing boundary of Quila Mubarak and Nabha Fort. The conservation/construction work has been started, for which the Contract was formally signed on 8<sup>th</sup> September 2015 and contract completion date is 15<sup>th</sup> March 2017 (18 months from start date). Discussion with the Contractor revealed that the civil work on ground started in the month of September – October 2015.



Figure 2: Subproject sites photographs during DDR visit



Inner view of Quila Mubarak



Water boxes for lime mixture



Inner side view of Nabha Fort



Outer side view of Nabha Fort

### 7.3 Resettlement Impacts

24. There will not be any resettlement impact due to the sub-project. Encroachment of any form, squatting or any informal use of land or asset of the Quila Mubarak and Nabha fort are not observed.

25. **Details of affected properties:** There will not be any impact on built-up structure of other properties.

26. **Impact on Trees:** No trees have been affected due to this sub-project.

27. **No title holder** is being affected or will be affected due to the project.

### 7.4 Impact on Scheduled Tribe / Indigenous Population

28. There will be no impact on Indigenous peoples (IPs). All the proposed construction activities will be done within the RoW. This sub-project is categorized as "C" for Indigenous Peoples. Patiala district is not part of the notified Fifth Schedule Area<sup>1</sup>. Further, as mentioned in the Indigenous Peoples Planning Framework of ADB (July 2010) Scheduled tribes are in all States and Union Territories except in the States/Union Territories of Haryana, Punjab, Delhi, Pondicherry, and Chandigarh.

### 7.5 Gender Issues

29. The proposed project does not have any adverse impact on women. The project certainly has some benefits for women in terms of employment opportunities. RF suggest to carry out continuous consultation with Women community in surrounding villages throughout project implementation to create awareness among the upcoming development activities and their livelihood opportunities that are likely to come up.

<sup>1</sup> Fifth Schedule under Article 244(1) of Constitution defines "Scheduled Areas" as such areas as the President may by order declare to be Scheduled Areas after consultation with the Governor of that State. The criteria for declaring any area as a "Scheduled Area" under the Fifth Schedule are: (a) preponderance of tribal population, (b) compactness and reasonable size of the area, (c) a viable administrative entity such as a district, block or Taluka, and (d) economic backwardness of the area as compared to the neighbouring areas.



This is with the objective to ensure participation in income generating and livelihood enhancing entities. In Tranche-3 sub-project has the scope for promoting gender equality in form of employment in construction work.

## 7.6 Wages and Labour Register

30. The Labour Register is maintained in this Sub-Project, in which the names of men as well as women labourers are mentioned. However, the wages given to respective labourers are not mentioned in the labour register and paid monthly. Contractor informed that equal wage for equal works are to be paid to both men and women labourers. There are no women involved in skilled or un-skilled work. Contractor has been advised to engage women workforce in civil work or other activities by offering equal opportunities.

## 7.7 Labour camp site

31. During the due diligence visit contractor has been under mobilization stage; hence labour camps were being setup. However, the contractor has been advised to provide clean and better accommodations to the labours as per contract and labour law.

## 7.8 Public Consultation

### 7.8.1 Public Consultation conducted during Project/IEE Preparation

32. There is no physical or economic, temporary or permanent, IR impact. No person or community is being adversely affected by this sub-project. No land or asset acquisition is necessitated in this sub-project. So people and communities will not be physically or economically displaced due to the sub-project interventions. No Common Property Resource (CPR) will also be affected. Poor, indigenous and other ethnic groups are not being adversely impacted.

33. During the project preparation, consultations have been held by the PMU safeguards team with the Department of Tourism, Punjab Heritage and Tourism Promotion Board, Department of PWD, NGOs and also with tourists on issues pertaining to the implementation of the proposed subprojects. The key issues highlighted during the discussion include the conservation and restoration of the Mughals historical structures in Patiala. This consultation (as given in Table 1) provides the necessary inputs for identifying the required needs of the communities, and the relevant stakeholders.

**Table 1: Site Visit and Consultation Photographs during DDR**

Sl. No.	Date of Site Visit	Date of Site	Participants & No.	Issues Discussed
1	March 2014	Patiala	Officials Forest Department	Implementation of the proposed components under the Tranch-2 and its issues and management strategies.
2	April 2014	Patiala	Officials Forest Department	Discussion on the construction materials that are to be used at the site and its alternatives to reduce impacts. Obtaining NoC, Proposed design elements, Tree felling permission from the Forest Department
3	December 2013	Chandigarh	Officials of PWD Department	NOC / clearance requirements, environment and social policies of ADB.
4	December 2013	Chandigarh	Officials of Tourism Department and Forest departments	Role of Environmental and Social safeguard and the necessity of IEE in the project implementation and methodology adopted

Source: IEE Report, October 2014

### 7.8.2 Public Consultation conducted during DDR Preparation

34. Consultation has also been carried out during Due Diligence visit with Contractor, labour and other stakeholder. It's noted that there is no physical or economic, temporary or permanent, IR impact. No person or community is being adversely affected by this sub-project. No land or asset acquisition is necessitated in



this sub-project. So people and communities will not be physically or economically displaced due to the sub-project interventions. No Common Property Resource (CPR) will be affected. Poor, indigenous and other ethnic groups are not being adversely impacted. A few public consultations were conducted by the PMC/DSC team during project preparation and IEE report preparation with an objective to assess the possible impacts of the project.

35. During the preparation of due diligence report, the necessary consultation has been held with the labours and civil contractor by Social Safeguards Specialist, PMC on 5<sup>th</sup> November 2015. During consultation with contractors, it's revealed that the labours shall be paid equally for equal work. During visit the labour camp was being established by the Contractor. Site in-charge said that the application has been submitted to the agency for providing LPG connection to the labourers. He also assured that all the labour force will be provided necessary PPE etc. (Table 2).

**Figure 3: Public Consultation during DDR Preparation**



**Consultation with Support Engineer**



**Consultation with Site In charge of Contractor**



**Front View of Quila Mubarak**



**Congested Approach Road**

## 7.9 Project Organization Structure

36. The Implementing Agency PHTBP had already established two PIUs, one for each circuit (Eastern and Western) at Rupnagar (Ropar) and Amritsar respectively for the implementation and monitoring of subprojects. It comprises the personnel drawn from relevant line departments and outsourced, and each headed by a project manager and supported by Community Development Officer (CDO) for effective implementation of the RF and ensures the safeguard compliance provisions of the investment program. The PIUs are mainly responsible for:

- i. prioritizing and preparing subproject proposals;
- ii. providing day-to-day assistance, supervision and guidance to the design and supervision consultants (DSC);
- iii. conducting detailed assessments and surveys including public consultation and input from stakeholders;
- iv. preparing detailed designs, specifications, schedule of quantity, bidding documents, and related documentation;



- v. implementing civil works and related activities;
- vi. reporting to PMU;
- vii. preparing regular progress reports for the SLEC, the executing agency and ADB through PMU;
- viii. supervising construction, conducting quality control, approving progress payments to contractors; and
- ix. maintaining records and accounts on an up-to-date basis and making these available to ADB, its missions, or auditors for inspection.

37. In present organizational setup two PIUs at Amritsar and Ropar PIUs are headed by Project Manager (PM) and assisted by Community Development Specialist (CDO) for smooth functioning and monitoring of safeguards activities. PM PIU, is overall responsible for safeguards implementation and reporting monthly to PMU. Environment Safeguards Specialist, PMU further reporting to GoP and ADB as per agreed reporting schedule. Role and responsibilities are tabulated below as per approved Terms of References. Detailed project organisation structure as proposed in PAM is placed at Appendix-2

**Table 2: Project Implementation Organizations – Roles and Responsibilities**

Implementation Organization	Management Roles and Responsibilities
<b>Environment Safeguards Specialist (ESS), PMU</b>	<p>ESS is discharging the following duties:</p> <ul style="list-style-type: none"> <li>• Review of IEE documents and contract clauses and ensure adequacy under ADB's EA guideline 2003 and the updated safeguard policy statement, 2009;</li> <li>• Ensure that the project design and specification adequately reflect the IEE</li> <li>• Monitor construction activities to ensure that appropriate control measures are effective and in compliance with the IEE and advise PIU for compliance with statutory requirement.</li> <li>• Develop training program for the PMU/PIU staff, the contractors and other involved in the project implementation, in collaboration with the Environmental Specialist of the PMC and DSC</li> <li>• Review and approve contractors implementation plan</li> <li>• Liaise with the Contractors and Consultant on the implementation of environmental measures proposed in IEE</li> <li>• Liaise with various government</li> <li>• Review the environmental performance of the project</li> <li>• Provide support and assistance to the government agencies and the ADB to supervise the implementation of IEE</li> <li>• Document the good practices in the project</li> <li>• Assist in preparation of SAR for T2 subproject including IEE</li> <li>• Monitor all design result framework of IDIPT project</li> <li>• Establish dialogue with the affected community</li> <li>• Provide support to PMU and design team in preparation of implementation of ADB resettlement plan if any</li> <li>• Overseeing the implementation of resettlement plans</li> <li>• Helping in issues related to health and overall welfare and development of the labour settlement involved in the project</li> </ul>
<b>Community Development Officer (CDO), PIU</b>	<p>Support PMU and the design team in</p> <ul style="list-style-type: none"> <li>• Prepare ToRs and lead/ coordinate community mobilisation and related product development actions</li> <li>• Lead workshops and community consultations</li> <li>• Define sub projects elements and the costs</li> <li>• Coordinate base line study requirements with the DSC team;</li> <li>• Preparation and implementation of ADB compliant resettlement plans if any based on the approved framework; and</li> <li>• Preparation of performance monitoring reports</li> </ul> <p>Apart from the above duties the following tasks are defined for the CDO</p>



Implementation Organization	Management Roles and Responsibilities
	<p><b>Responsibilities towards SIA</b></p> <ul style="list-style-type: none"> <li>• Preparation of Rural Tourism circuit (route) plan and assess impact on the rural community in terms of physical, socio-economical, life-style, etc aspects</li> <li>• Awareness program for the key stakeholders including local community on importance of the wetland and need for its conservation and community based rural tourism potential in general</li> <li>• Monitor social impacts and undertake safeguards measures as necessary during implementation of IDIPT projects</li> </ul> <p><b>Responsibilities towards Capacity Building Activities:-</b></p> <ul style="list-style-type: none"> <li>• Training of local youth as nature guides and promote involvement in tourism development</li> <li>• Formation of SHGs for traditional activities, such as handicraft and local cuisine</li> <li>• Training of local communities for encourage home-stay based on standard guidelines</li> <li>• Conduct regular meeting with village level communities</li> <li>• Formation of village level tourism committees</li> <li>• Organising local events and festivals and promote community involvement</li> </ul> <p><b>Responsibilities towards Capacity Building Activities:-</b></p> <ul style="list-style-type: none"> <li>• Ensure women's participation in all consultative processes</li> <li>• Ensure equal job opportunities for female workers in the villages</li> <li>• Systematic incorporation of the women's need in the preparation of all programmes</li> <li>• Providing the women workers with good health, safety, welfare, sanitation and working condition</li> </ul> <p><b>Specific project tasks:</b></p> <ul style="list-style-type: none"> <li>• To conduct participatory rural appraisal involving all the villages under Ropar Rural Tourism Project to identify basic needs of the village</li> <li>• Formation of T-2 subproject involving local community participation</li> <li>• Help in conducting the community-based activities, festivals and events in Eastern Circuit, such as Heritage walk, Holla Mohalla, Quila Raipur</li> <li>• Promotion of homestay and farm tourism in Eastern Circuit</li> <li>• Identify training needs based on specific programs and organise training programmes</li> </ul>
<b>Social Safeguards Specialist (SSS), DSC</b>	<p>Support PMU and the design team in</p> <ul style="list-style-type: none"> <li>• Lead all baseline surveys required for preparation resettlement plans;</li> <li>• Preparation and implementation of ADB compliant resettlement plans if any based on the approved framework;</li> <li>• Lead community consultation during design phase</li> </ul>
<b>Community Development Specialist (CDS), DSC</b>	<ul style="list-style-type: none"> <li>• Lead value chain analysis and lead community mobilization activities;</li> <li>• Lead workshops and community consultations;</li> <li>• Coordinate all activities of this component;</li> <li>• Supervise all activities under this component;</li> <li>• Implementation of ADB compliant resettlement plans if any based on the approved framework;</li> <li>• Oversee implementation of Resettlement Plans, if any;</li> <li>• Preparation of performance monitoring reports</li> </ul>
<b>Social Safeguards Specialist (SSS), PMC</b>	<p>Support PMU and the design team in</p> <ul style="list-style-type: none"> <li>• Coordinate base line requirements with the DSC team;</li> <li>• Preparation and implementation of ADB compliant resettlement plans if any</li> </ul>



Implementation Organization	Management Roles and Responsibilities
	based on the approved framework; <ul style="list-style-type: none"> <li>• Oversee implementation of Resettlement Plans; and</li> <li>• Preparation of performance monitoring reports</li> </ul>

#### 7.10 Grievance Redressal Mechanism

38. It would be pertinent here to refer the Asian Development Bank's policy, which requires proper mechanisms for resolution of disputes that may arise from any aspect of the project and development process. The mechanisms should be "affordable and accessible," and third parties independent of the implementers should be available at the appropriate point in the process. The grievance procedure need to be simple, administered in the first instance at the local project level to facilitate access, flexibility and open to various proofs taking into account the need for speedy, just and fair resolution of any grievances.

39. During preparation of social due diligence exercise, the RF and IEE report have been reviewed and noted that it has proposed effective and interactive mechanism in which participation of the community is ensured through dialogues and frequent meetings with town/village heads, with respect to any grievances. However, due diligence has noted that grievance redress committee not yet formed.

40. Team Leader has communicated to PMU regarding formation and functioning of GRC. Email communication made by TL, PMC to PMU on grievance redress mechanism (as proposed in RF document) and necessary instructions from Additional Project Director to both the PIUs for taken early action have been issued. Accordingly Project Manager PIU Ropar have been requested to Deputy Commissioner and Municipal Corporation for nomination of member and necessary approval of GRC. The GRC structure proposed in RF documents and communications made from TL, PMC to PMU and onwards letter issued by PM Ropar to Deputy Commissioner and Municipal Corporation are placed in Appendix-3. The similar type of communication need to be initiated immediately to DC Patiala and Patiala as well as Nabha Municipalities.

41. No cases of litigation reported till the due diligence visited the project.

#### 7.11 Employment Potential

42. The proposed sub-project 'Patiala Heritage Conservation and Tourism Development Project - Quila Muharak & Nabha Fort' will create direct and indirect employment opportunities. During discussion with contractor, it revealed that approx. 40-45 labour including skilled and unskilled will be required daily at least for entire contract period thereby creating more than 15000 man-days. Apart from direct employment for construction works, other types of employment obtain for suppliers of construction materials, operators tractor/dumper, etc., during construction phase. During operation phase, indirect employment creation is envisaged for local shopkeepers, rural artisans etc.

#### 7.12 Other Social Issues

43. During consultation with local people it was expressed that this sub-project is important and very much needed and all are pleased.

##### 7.12.1 HIV/AIDS Awareness

44. Considering the possible presence of labours from outside in the project area for construction work, EA/IA take proper care during construction to conduct information and education campaigns on the risks of HIV/AIDS and other health issues, targeting construction workers at campsites time to time. The civil works contractors require (i) to disseminate information at worksites on risks of sexually transmitted diseases and (ii) HIV/AIDS awareness as part of health and safety measures for those employed during construction. During due diligence visit no such board, signage or safety slogan in place.



### 7.12.2 Child Labour

45. It has to be ensured by EA/IA that the civil contractors are not employing or using children for labour. Due diligence exercise does not find any child labour during the site visit.

### 7.13 Occupational Health & Safety

46. PIU with the help of DSC need to be monitor the implementation of the Occupation Health and Safety (OHS). The same have been included in the contract document of civil contract. Accordingly, the contractor is ensuring the safety of all workers, materials, plant and equipment belonging to him or to others working at the site is ensured through effective and practicable safety management systems. The provision of OHS proposed in IEE report are presented in the box below:

47. During the discussion held with contractor's representative, he assured to provide the facilities as per law. The OH&S part of contract from contractor's agreement need to be followed is placed as Appendix-4, from the contract agreement of the contractor and summarised here in below box. The implementation of the following should be closely monitored.

*The Contractor shall, in accordance with the safety and health provisions specified in the EMP, provide workers with a safe and healthy working environment, in the work areas, through application of preventive and protective measures consistent with international good practice, as reflected in internationally recognized standards such as the ADB's Environment, Health and Safety Guidelines. The borrower/client will take steps to prevent accidents, injury, and disease arising from, associated with, or occurring during the course of work by-*

- *Providing preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances;*
- *Providing appropriate equipment to minimize risks and requiring and enforcing its use;*
- *Training workers and providing them with appropriate incentives to use and comply with health and safety procedures and protective equipment;*
- *Documenting and reporting occupational accidents, diseases, and incidents; and*
- *Having emergency prevention, preparedness, and response arrangements in place.*
- *Provide first aid facilities in all the work sites and workers camp and having qualified first aider to give first aid at the time of any accident.*
- *Contractor should provide safe drinking water, clean eating and resting areas and sufficient amenities at work site and workers camps.*
- *Contractor should have prepared emergency response plan with full details and methods of emergency response during any accident and shall have and display the emergency contract numbers at site.*
- *Contractor should follow all the applicable rules and regulations for workers safety*
- *Workers complaint registers must be available at site.*
- *Housekeeping conditions can be improved.*
- *Sign boards and contact numbers should be displayed at visible locations.*
- *All the emergency numbers should be displayed in Hindi script at the construction site.*
- *All safety rules at work and provision of adequate health and safety measures such as water, food, sanitation, and personal protective equipment, workers insurance and medical facilities should be made available.*
- *Accident and Grievances Register should be maintained at the construction sites.*
- *Dust bin should be made available for collecting the garbage at the construction sites.*
- *Provision of crèche can be done wherever found necessary.*

### 7.14 Disclosure Process Followed for Safeguard and Other Related Documents

48. As per RF, public consultation meeting need to be undertaken throughout the implementation stage. All the five principles of information dissemination, information solicitation, integration, coordination and engagement into dialogue need to be incorporated. IEE Report suggests disclosure of safeguards documents at prominent places for public information.



### 7.15 Social Safeguards Impact Categorization

49. Based on the above assessment the Tranche-3 sub-projects including this were categorized as "C" for Involuntary Resettlement (IR) as well as Indigenous People Development as per ADB's Safeguard Policy Statement (SPS-2009). Table no. 2, below presents the Social Safeguards Impact Categorisation and the detailed screening forms for Resettlement Categorization and Indigenous People are placed at Appendix 5 & 6.

**Table 3: Project Social Safeguards Impact Categorization**

Name of Project	IDIPT, Punjab Loan No. No. 3223- IND		
Type of contract	Regular	Design Build	Combined
Safeguards Categorization	A	B	C
IR (Involuntary Resettlement Impact Categorization)	N.A.	N.A.	C
IP (Indigenous People Categorization)	N.A.	N.A.	C

### 7.16 Compliance to Social Impacts Mitigation during Project Planning, Design and Implementation Stages

**Table 4: Compliance to Social Impacts Mitigation**

Sl. No.	Social Safeguard Issues	Findings	Remarks
1.	Resettlement Impacts	<ul style="list-style-type: none"> <li>The selected site is government land (Department of Cultural Affairs Archaeology &amp; Museum). Livelihood pattern of the any person/villagers is not affected due to the project.</li> </ul>	The project categorized as "C" for Involuntary Resettlement (IR) as well as Indigenous People Development as per ADB's Safeguard Policy Statement (SPS-2009).
2.	Census and socio-economic survey	<ul style="list-style-type: none"> <li>As no impact noticed, hence not carried out.</li> </ul>	
3.	Land acquisition	<ul style="list-style-type: none"> <li>The proposed land is government land and NOC/undertaking obtained from concerned department.</li> </ul>	No LA required
4.	Entitlements	<ul style="list-style-type: none"> <li>ADB's policy of IR shall be applicable, if any impact seen.</li> </ul>	
5.	Public consultation and disclosure	<ul style="list-style-type: none"> <li>Public consultation has been carried during the project preparation stage</li> </ul>	
6.	Impact on tribal people	<ul style="list-style-type: none"> <li>Impact on tribal people is not envisaged as part of the project. Patiala district as such is not part of the notified Fifth Schedule Area.</li> </ul>	-
7.	Resettlement sites	<ul style="list-style-type: none"> <li>Not applicable</li> </ul>	
8.	Socio-economic rehabilitation measures	<ul style="list-style-type: none"> <li>Not applicable</li> </ul>	
9.	Implementation arrangement	<ul style="list-style-type: none"> <li>Social safeguard implementation is part of the contract of IDIPT. PMU along with the PIU personnel is the core group responsible for social safeguard implementation at the project site. PMU and PIU is assisting in overall implementation of social safeguards.</li> </ul>	
10.	Grievance	<ul style="list-style-type: none"> <li>GRC is in place and information about the</li> </ul>	TL, PMC has written an email



Redressal  
Mechanism

mechanism provided at site.

regarding functioning of suggested document. formation of GRC as in RF/IEE

## 8. SUMMARY FINDINGS/ RECOMMENDATION

50. In this Sub-Project intervention, full or partial, permanent or temporary, physical and economic displacements are absent. There will not be any adverse impact on people, livelihood, land or structure and common property resources are observed.

51. This sub-project has been categorized as "C" for Involuntary Resettlement (IR) impact as well as Indigenous People Development (IP) as per the ADB's Safeguard Policy Statement, 2009 (SPS). Screening questions form for IR & IP categorization is placed as Appendix-5 and Appendix-6.

52. It is concluded from this due diligence study that: the proposed infrastructure improvements will not change substantially the present land use; there will be no issues of land acquisition and resettlement related to this sub-project. All facilities will be built on government land and inside the Quila Mubarak and Nabha Fort. Due to project intervention, there will be no loss of income of any person or any assets, either privately owned or publicly owned.

53. The key observations of the due diligence on the social impacts are summarised as follows:

- The site is located on government land which is in possession of Department of Cultural Affairs Archaeology & Museum. The necessary permissions such as No Objection Certificates (NOC) and Undertaking for not involvement of any private land or structure have been obtained. The project site is fenced and no encroachment observed during due diligence site visit.
- PHTPB has carried out IEE of the project and had conducted public consultation during project preparation. The communities are aware of the project and have positively participated in the project activities;
- Safeguard implementation should follow the principles and methods suggested in the RF.
- Grievance redress committee should be made functional. Information regarding the same should be disseminated, in order to create awareness among public and other stakeholders to lodge any grievances.
- Labour Register at construction site should be properly maintained, with details of wages given to both men and women, PPE provided to respective labourers, etc.
- Awareness on HIV/AIDS and other health issues, contractor should arrange to provide necessary awareness on these aspects.

54. The due diligence study concludes that the project does not involve any outstanding social safeguards issues. At the same time, PMU/PIU may urge the CSC / Contractors to address the issues identified during the due diligence exercise. CSC/Contractor should prepare an action taken report for inclusion in periodic monitoring reports.



# APPENDICES

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APPENDIX 1: NOC & UNDERTAKING FROM DIRECTORATE CULTURAL AFFAIRS  
ARCHAEOLOGY & MUSEUM, PUNJAB, CHANDIGARH  
QUILA MUBARAK, PATIALA

NO OBJECTION CERTIFICATE

It is certified that there is no objection if the proposed project .....  
QUILA MUBARAK, PATIALA .....  
(name of the project)  
is executed by PHTPB of the Tourism Department (Punjab) as per the guide lines of  
Govt. of India and ADB loan funded projects under IDIPT at PATIALA .....

.....  
(details of land/area/ building )

Place: Chandigarh

Date: 27/8/14

Signature .....  
Department /owner

(Official Stamp)

Director,  
Cultural Affairs Archaeology &  
Museums, Punjab, Chandigarh

Counter Signed

.....  
Deputy Commissioner  
Deputy Commissioner  
PATIALA  
(Official Stamp)



**Department of Cultural Affairs, Archaeology & Museum, Punjab  
Plot No. 3, Sector 38-A, Chandigarh.**

**DCAM/ACRH/No. 1144**

**Dated: 27/09/14**

**Subject:- No Objection Certificate and undertaking for Nabha Fort at Nabha, Distt. Patiala by PHTPB.**

It is certified that there is no objection if the proposed project conservation and adoptive reuse of Nabha Fort at Nabha, Tehsil Nabha Distt. Patiala is executed by PHTPB, Department of Tourism (Punjab) as per the guide lines of Govt. of India and ADB loan funded project under the IDIPT project. This site is under the protection of Punjab Govt. under "THE PUNJAB ANCIENT AND HISTORICAL MONUMENTS AND ARCHAEOLOGICAL SITES AND REMAINS ACT, 1964." The conservation should be done as per archaeological principals. The Department of Cultural Affairs undertakes that:-

1. There is no encroachment and no resettlement/displacement/rehabilitation of people involved in the above Proposed Project area/building/land.

2. The proposed project is not partially/fully part of any other project funded under any other scheme/programme of the State/Central Govt. or any external funding.

3. The assets created as a result of the execution of above stated project will be taken over for operation and maintenance by Department of Cultural Affairs, Archaeology & Museums, Punjab.

A management plan of the monument/building may please also be made.

Place: Chandigarh

  
Director

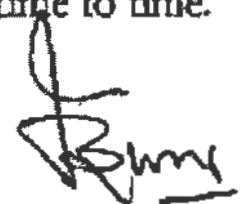
Date: 27/09/14

NABHA FORT

**NO OBJECTION CERTIFICATE**

This is to certify that the Public Works Department (B&R) has no objection if the Punjab Heritage & Tourism Promotion Board (PHTPB) conserves or puts up tourism related signages in the property owned and under the jurisdiction of Public Works Department, including roads and buildings.

All these signages and conservation shall be as per the guidelines issued by the Public Works Department from time to time.

 29.9.14  
Chief Engineer (HQ)  
Punjab PWD (B&R),  
Patiala.



## APPENDIX 2: PROJECT ORGANIZATION STRUCTURE (AS PROPOSED IN PAM)

The Project management flow chart showing the reporting lines and key organizations involved in implementation is shown in Figures 1.

### Project Implementation Organizations – Roles and Responsibilities

Implementation Organization	Management Roles and Responsibilities
<b>Executing agency</b>	<b>Government of Punjab through Department of Tourism (DOT)</b>
	<ul style="list-style-type: none"> <li>✓ Assume overall responsibility for the execution of the MFF and reporting;</li> <li>✓ Engage adequate permanent or fixed-term staff to implement the MFF;</li> <li>✓ Setup a state-level project management unit and project implementation units;</li> <li>✓ Provide overall strategic guidance on technical supervision and project execution; and</li> <li>✓ Ensure overall compliance with the loan covenants.</li> </ul>
<b>Implementing agency</b>	<b>Punjab Heritage and Tourism Promotion Board (PHTPB)</b>
	<ul style="list-style-type: none"> <li>✓ Project planning and budgeting;</li> <li>✓ Day-to-day assistance, supervision and guidance for the project implementation units and their consultants;</li> <li>✓ Review subprojects for due diligence requirements and approve subproject proposals;</li> <li>✓ Bidding, evaluation and contract award;</li> <li>✓ Managing and disbursing funds;</li> <li>✓ Review compliance with loan covenants, contract specifications, work plans and quality control;</li> <li>✓ Consolidate and submit progress reports, finance and accounting / audit reports, and matters requiring higher-level decision to state level empowered committee (SLEC) and ADB</li> </ul>
<b>ADB</b>	<ul style="list-style-type: none"> <li>✓ Loan processing activities and signing of loan agreement;</li> <li>✓ Recruitment of implementation capacity development consultant;</li> <li>✓ Procurement supervision;</li> <li>✓ Disbursement;</li> <li>✓ Project administration reviews and missions;</li> <li>✓ Reviewing compliance with loan covenants;</li> <li>✓ Change in project scope or implementation arrangements; and</li> <li>✓ Reallocation of loan proceeds.</li> </ul>
<b>State-Level Empowered Committee (SLEC)</b>	<ul style="list-style-type: none"> <li>✓ act as a policy making body;</li> <li>✓ Provide overall advice and guidance to the state's EA and PMU; and</li> <li>✓ Accord all approvals under the MFF.</li> </ul>

#### State Level Project Empowered Committee.

State-Level Empowered Committee (SLEC) have been established in Punjab, chaired by Chief Secretary, Govt. of Punjab with Principal Secretary/Secretary of the Department of Tourism as member secretary and comprised of secretaries from relevant line departments as indicated in the Facility Administration Manual (FAM). The SLEC have been empowered to take all decisions on behalf of the State and will (i) act as a policy making body, (ii) provide overall advice and guidance to the State's executing agency and project management unit (PMU), and (iii) accord all approvals under the Project.

The members of SLEC for the Punjab are as follows: Chief Secretary (Chair); the Principal Secretary / Secretary of the Department of Tourism; the Principal Secretary / Secretary of Finance; Finance Commissioner, Department of Forests and Wildlife Preservation; Principal Secretary / Secretary, Public Works Department; Principal

Secretary / Secretary, Department of Local Government; Secretary, Department of Rural Development and Panchayat; Principal Secretary / Secretary, Irrigation; Director, Department of Cultural Affairs, Archives, Archaeology and Museum; Representative, Archaeological Survey of India; Principal Secretary / Secretary, Department of Fisheries; Director, Department of Tourism; and Principal Secretary/Secretary, Department of Housing and Urban Development.

**Executing Agencies:**

The Department of Tourism (DOT), Government of Punjab is the executing agencies of the Punjab. All necessary powers to: (i) assume overall responsibility for the execution of the tranche; (ii) engage adequate permanent or fixed-term staff to implement the tranche; (iii) setup a state-level PMU and project implementation units (PIUs); (iv) provide overall strategic guidance on technical supervision and project execution; and (v) ensure overall compliance with the loan covenants, will be delegated to the respective executing agencies. The Project Implementation flow chart showing the reporting lines and key agencies involved in implementation is shown in **Error! Reference source not found..**

**Implementing Agency:**

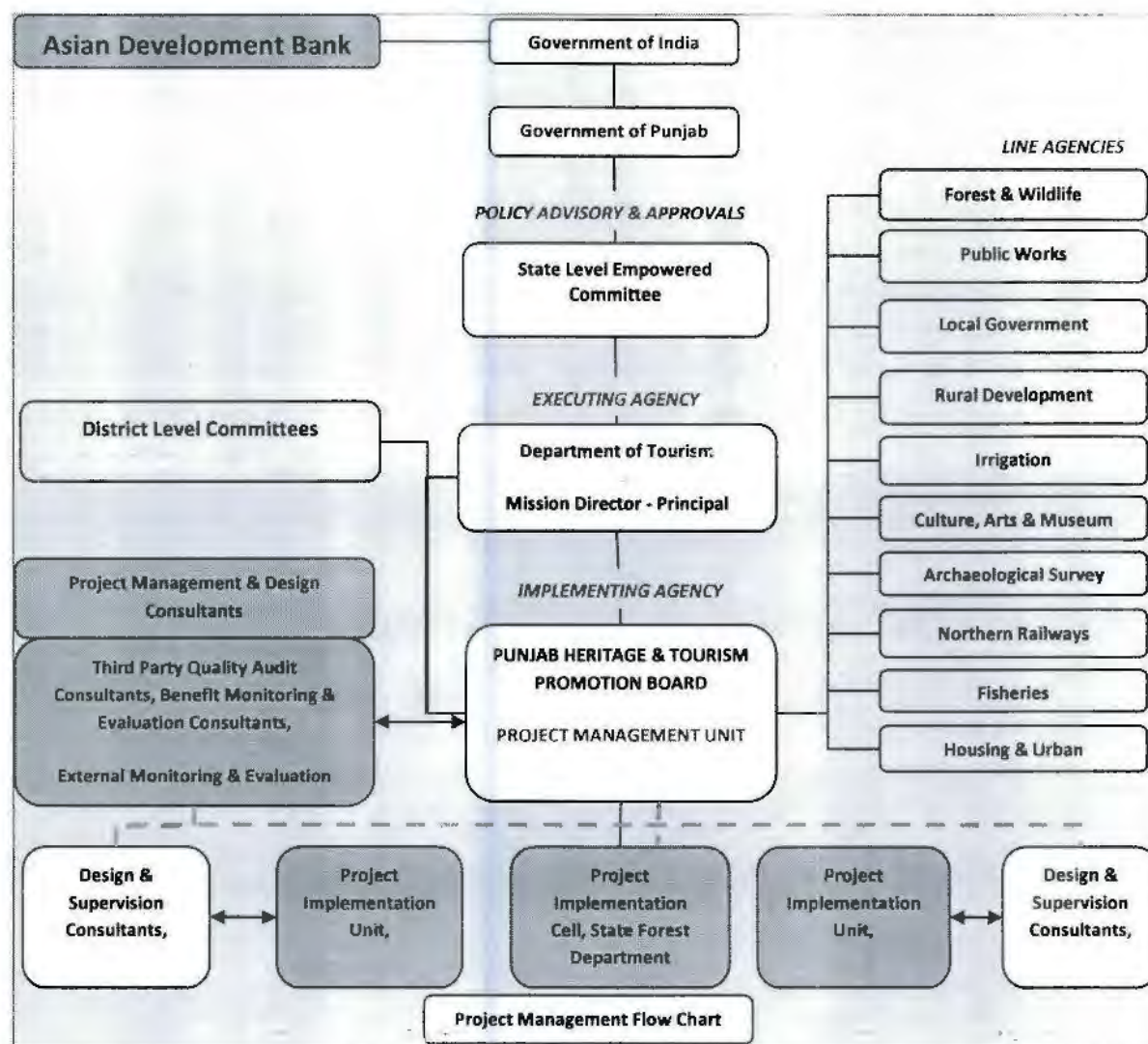
The Punjab Heritage and Tourism Promotion Board (PHTPB) is the Implementing Agency in Punjab

**Project Management Unit:**

PHTPB have a PMU, headed by a full-time Program Director (PD), and consisting of personnel drawn from relevant line departments and market. The PMU are being supported by a team of consultants including Environmental safeguard specialist. The PMU is the nodal agency for overall management of all program activities and are responsible for: (i) project planning and budgeting; (ii) providing day-to-day assistance, supervision and guidance for the project implementation units (PIUs) and their consultants; (iii) reviewing subprojects to satisfy ADB's due diligence requirements and approving subproject proposals submitted by PIUs and line departments; (iv) bidding, evaluation and contract award; (v) managing and disbursing funds; (vi) reviewing compliance with loan covenants, contract specifications, work plans and quality control; (vii) consolidating and submitting progress reports, finance and accounting/audit reports, and matters requiring higher-level decision, to the SLEC and ADB.

The State shall ensure that (i) specific divisions in the Project management units is staffed for financial management; (ii) transparent procedures are established for financial transactions; (iii) the PMUs follow government rules and procedures for all expense and revenue items including cash and for proper and accurate maintenance of financial records; and (iv) a project website remains established to provide information on Project implementation including procurement.





### Project Implementation Units:

The Implementing Agency had already established two PIUs, one for each circuit (Eastern and Western) at Rupnagar (Ropar) and Amritsar respectively for the implementation and monitoring of subprojects. It comprises the personnel drawn from relevant line departments and outsourced, and each headed by a project manager and supported by Community Development Officer (CDO) for effectively implementation of the RF and ensures the safeguard compliance provisions of the investment program. The PIUs are responsible for: (i) prioritizing and preparing subproject proposals; (ii) providing day-to-day assistance, supervision and guidance to the design and supervision consultants (DSC); (iii) conducting detailed assessments and surveys including public consultation and input from stakeholders; (iv) preparing detailed designs, specifications, schedule of quantity, bidding documents, and related documentation; (v) implementing civil works and related activities; (vi) reporting to PMU; (vii) preparing regular progress reports for the SLEC, the executing agency and ADB through PMU; (viii) supervising construction, conducting quality control, approving progress payments to contractors; and (ix) maintaining records and accounts on an up-to-date basis and making these available to ADB, its missions, or auditors for inspection.

### APPENDIX 3: GRIEVANCE REDRESSAL MECHANISMS

The structure suggested of Grievance Redress Committee (GRC) in RF at PIU as follows. For all the IDIPT sub projects, the affected person/aggrieved party can give their grievance verbally to Site Engineer or in written to the Project Manager of PIU. Grievances of affected person will first be brought to the attention of the site Engineer PIU, who can resolve the issue at site level. If the matter is not solved within 7 days period at site, it will be brought to the Grievance Redress Committee (GRC) constituted for the purpose in PIU. This GRC shall discuss the issue in its monthly meeting and resolve the issues within one month of time after receiving the grievance. If the matter is not resolved by GRC at PIU level within stipulated time, it shall be referred to GRC at PMU level by Project Manager PIU. If the matter is still not addressed, the same may refer to Executive Committee / State Level Empowered Committee (SLEC). The grievance redress process flow chart is shown in Figure.

In each PIU, there shall be one GRC, which will include mentioned members;

Project Manager (PIU), Chairperson

- District Tourist Officer of Department of Tourism, Govt. Of Punjab,
- Community Development Officer of PIU,
- Nominated representative of Deputy Commissioner and
- Nominated representative of Municipal Commissioner.

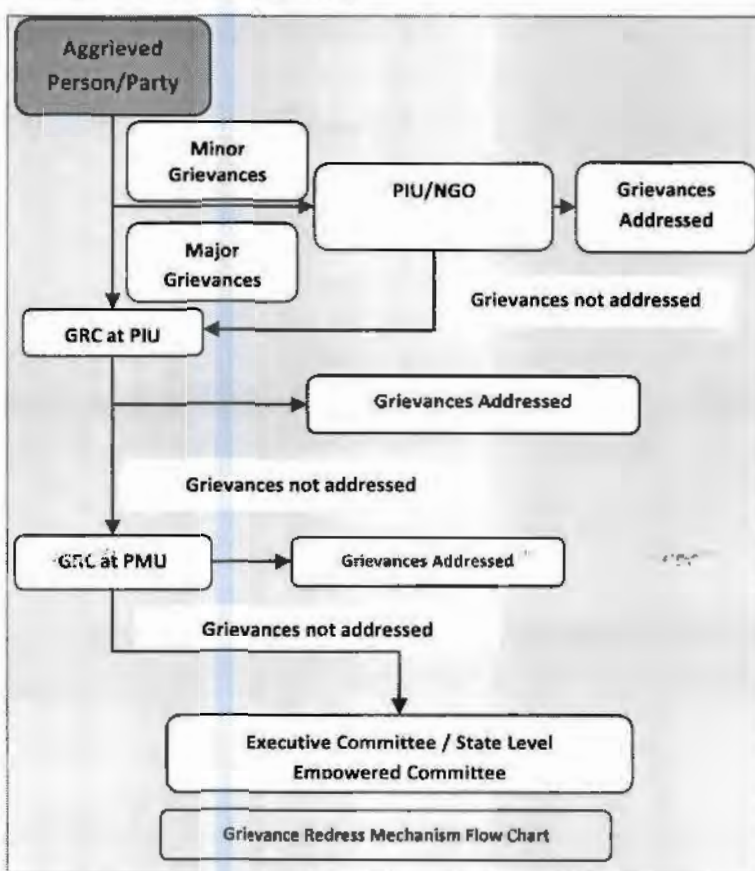
The committee required to meet at least once in every month. Agenda of meeting shall be circulated to all the members and affected persons/aggrieved party along with venue, date and time; informed in written at least 7 days in advance of meeting. The matters shall remain with GRC at PIU level for one month and if grievance is not resolved within this time period, at the matter shall be referred to GRC at PMU.

Grievance Redress Committee (GRC) at PMU. The matters not resolved by the GRC at PIU level within one month shall come under GRC at PMU. GRC at PMU will include:

- Additional Project Director (APD),
- Community Development Specialist, and
- Environment Safeguards Specialist of PMU.

The Committee shall be headed by APD of PMU. This committee shall look the matters, which are referred to and not resolved by GRC at PIU level.

GRC at PMU shall discuss the issue and try to resolve it and inform the PIU accordingly. If the matter is not resolved by the GRC at PMU level within one month of time, the aggrieved person/party can bring the matter to The SLEC. The PIU shall keep records of all grievances received including contact details of complainant, date of receiving the complaint, nature of grievance, agreed corrective actions and the date these were affected and final outcome.





COMMUNICATION FOR FORMATION of GRC

12/9/2015

Gmail - Grievance Redress Mechanism and Flow Chart



Sangram Singh <sangram1980@gmail.com>

**Grievance Redress Mechanism and Flow Chart**

2 messages

Team Leader, PMC <tpmc.idipt@gmail.com> Fri, Dec 4, 2015 at 5:39 PM  
To: Project Manager <idiptpiusn@yahoo.com>, pmadmin.phtpb@gmail.com, idipt ropar  
<pmplur.phtpb@gmail.com>  
Cc: basanta rajkumar <brt.phtpb@gmail.com>, "U Ool DS Grewal, Retd DSC-TL" <dsidiptpunjab@stc.co.in>, Reena Chedha <chedha.reena.phtpb@gmail.com>, K L Mahotra ji FCS <skilleddevelopment.phtpb@gmail.com>, dec ropar <ropar.dsc@gmail.com>, Sangram Singh <sangram1980@gmail.com>, "Dr. K N Jayan" <jn@lasaindia.com>, Pushpanathan K <pushpanathan@lasaindia.com>, Himel Karia ji <cepmc.idipt@gmail.com>, Arvind K Solanki Project Monitoring Specialist <pmr.pmc.idipt@gmail.com>, Kaveelain Kaur <ar.pmc.idipt@gmail.com>, puneet inder <puneet\_inder2000@yahoo.com>, Nitin Verma <seecpmc.idipt@gmail.com>

Dear Misra Sahib,

1. Please refer the Aide memoire of ADB mission dated 2-4 No. 2015 in which ADB instructed as under;

**Grievance Redress System:** The Mission learnt that the Grievance Redress Committee (GRC) is not operational and the community is not aware of any such system. The Mission advised that the GRC is made operational at the earliest and the details shared with the community on priority. The numbers where people can contact in case of any grievance needs to be displayed at all sub-project sites.

2. A discussion was held today in PHTPB office in the chairmanship of ADD in which he instructed to form GRCs and other needful activities associated as per ADB rules.

3. I am attaching a self explanatory note regarding Grievance Redress Mechanism and Flow Chart. As instructed by APC in the meeting it is advised to act upon accordingly.

4. @ Mr. Ashok nanda PM PIU is advised to follow and carry out the same mechanism for Grievance Redress system for sub projects under PIU Ropar.

With Best Regards,  
Suneet Gupta  
Team Leader,  
Project Management Consultant  
IDIPT, Punjab  
Plot 3, Sector 38A, Chandigarh-160036, India  
+91-172-4562321, +919198983666

 Grievance Redressal Mechanism and Flow Chart.doc  
125K

NECESSARY INSTRUCTIONS ISSUED FROM ADDITIONAL PROJECT DIRECTOR to PIUs

**Punjab Heritage and Tourism Promotion Board**  
**Infrastructure Development Investment Programme for Tourism (IDIPT)**  
**(ADB Assisted Project)**  
**Plot No. 03, Sector 38 A, Chandigarh, Ph. 0172-2625952, 5014495**  
**Email: idipt.pb.office@gmail.com**



To,

Project Manager,  
PIU, IDIPT  
Amritsar

No. PHTPE/IDIPT/2015/5981-86  
Dated: 01/12/15

**Subject: Sub: Loan 2676 IND, 3223 IND: Infrastructure Development Investment Programme for Tourism – Implementation of Grievance Redress Mechanism**

As per the requirements of Asian Development Bank (ADB) all the projects under Infrastructure Development Investment Program for Tourism (IDIPT) are required to implement Grievance Redress Mechanism.

An action plan in this regard is enclosed herewith for your implementation and subsequent reporting vis-à-vis given timelines, formats for information without any further delay.

**Addl. Project Director**

CC:- CGM, PHTPB  
Project Manager (Incharge) PIU  
CDS, PMU  
CDO, PIU, Amritsar  
TL, DSC  
TL, PMC

ok

End As above



ANNEXURE - 2

**FORMAT FOR RECORDING THE PROCEEDINGS OF  
GRIEVANCE REDRESS COMMITTEES (GRCs)**

1. Name of the complainant/s
2. National identification number
3. Address:
4. Date of the inquiry
5. Time
6. Whether complainant participated or not
7. Grievance or issue (in summary):
8. Statement made by the complainant/s
9. GRC recommendation.
10. Participants in the GRC.
11. Copies to:

### GRIEVANCE REDRESS MECHANISM

or any complaint/ suggestion related to this project kindly register your complaint/ suggestion in the  
"Grievance Register" available in the Site office.

For further information please contact:

### GRIEVANCE REDRESS CELL

Project Manager, Project Implementation Unit (PIU)

Address: Punjab Heritage and Tourism Promotion Board (PHTPB), Infrastructure Development  
Investment Program For Tourism (IDIFT), Admin Block, Surface Parking Near Gobindgarh Fort, Opp.  
Punjab Roadways Workshop, Amritsar (Punjab)

Contact no. Ph: \_\_\_\_\_

E mail: \_\_\_\_\_



**PROPOSED GRIEVANCE REDRESS REGISTERING AND MONITORING FORM**

**Complainant information (Person Reporting)**

1. Name:
2. Address:
3. National ID
4. Gender: ☐ Male ☐ Female
5. Telephone:
6. Email:
7. Fax:
8. Type of complainant:
  - ☐ Affected person/s
  - ☐ Intermediary (on behalf of the AP)
  - ☐ CMI organization
  - ☐ Service organization (e.g., local government institution)
  - ☐ Others (specify)
9. Registration (assigned):

**Complaint Details**

10. Mode of receiving the grievance:
  - ☐ Letter
  - ☐ Phone call
  - ☐ Fax
  - ☐ Email
  - ☐ Verbal complaint (walk-in)
  - ☐ Suggestion box
  - ☐ Others (specify)
11. Location of the problem/issue specified in the complaint:
  - District:
  - Divisional secretariat:
  - division:
12. Type of problem/grievance:
  - ☐ Trace

- ☐ Land acquisition
- ☐ Compensation
- ☐ Construction
- ☐ Resettlement site
- ☐ Others (specify)

13. Short description of the problem

--	--

14. Short description of the factors causing the problem

--

15. Person/agency responsible for causing the problem: ☐ Project implementing agency ☐ Affected parties ☐ Service delivery agencies ☐ Local political authority ☐ Civil organizations ☐ Funding agencies ☐ Others (specify):

16. Past action/s taken by the complainant (if any):

17. Details of the focal point that received the complaint:

Name of the person who received the complaint:

Position:

Name of the receiving office:

Date:

18. Actions taken by the Receiving Office



Action 1	Action 2	Action 3	Action 4
Short Description	Short Description	Short Description	Short Description
Name of Action Officer	Name of Action Officer	Name of Action Officer	Name of Action Officer
Office	Office	Office	Office
Date	Date	Date	Date

19. Final Resolution

Name of the person completing the form:

Signature

Date:

**ACTION PLAN FOR GRIEVANCE REDRESS CELL**  
Infrastructure Development Investment Program For Tourism (IDIPT)

**ACTION PLAN FOR ESTABLISHMENT AND OPERATION OF GRIEVANCE REDRESS CELL**  
**FOR ASIAN DEVELOPMENT BANK (ADB) ASSISTED PROJECTS UNDER**  
**INFRASTRUCTURE DEVELOPMENT INVESTMENT PROGRAM FOR TOURISM (IDIPT) FOR**  
**TRANCHE I AND TRANCHE III PROJECTS**

S. No.	Activities under GRC	To be implemented by	Last date for action	Report Action to
1.	Maintain a register at site office of each project / subproject under Tranche I and Tranche III for record of Grievances under Grievance Redress Mechanism (GRM).  A format for the same is provided in the Annexure 1.	Project Manager, PIU/ Site Engineer (responsible for safeguards) / Community Development Officer	15 <sup>th</sup> Dec. 2015	Addl. Project Director / Forest Conservation Specialist/ Environment Safeguard Specialist (ESS)
2.	Display boards should be maintained at all the project sites (in Punjabi and English) to inform all the stakeholders regarding the operation of GRIEVANCE REDRESS CELL under the subproject. The sample for the same is provided in the Annexure 2.	Project Manager, PIU/ Site Engineer (responsible for safeguards)	20 <sup>th</sup> Dec. 2015	Send photographs of the display boards to Addl. Project Director / Forest Conservation Specialist/ Environment Safeguard Specialist (ESS).
3.	A committee for GRIEVANCE REDRESS CELL should be formed both at the level of PIU, Ropar and PIU, Amritsar to be headed by Project Manager, PIUs. Members of the Committee are as following: i. Project Manager, PIU ii. District Tourist Officer, Department of Tourism (DoT) iii. Community Development Officer iv. Representative of DC v. Representative of MC	Project Manager, PIU/ Site Engineer (responsible for safeguards)	25 <sup>th</sup> Dec. 2015	Send copy of the Office Note for constitution of the Committee with signature of all the members to Addl. Project Director / Forest Conservation Specialist/ Environment Safeguard Specialist (ESS).
4.	After constituting the above committee letter should be sent to head office of both DC and MC, informing them about the	Project Manager, PIU	27 <sup>th</sup> Dec. 2015	Send copies of the letters sent and receipt of the letters to Addl.



**ACTION PLAN FOR GRIEVANCE REDRESS CELL**  
Infrastructure Development Investment Program For Tourism (IDPIT)

	constitution of the above committee and that they will be required to send a representative when a meeting will be held for GRM.			Project Director / Forest Conservation Specialist/ Environment Safeguard Specialist (ESS).
5.	A notice for monthly meeting should be sent to Chairman, MC and DC before the monthly meeting is conducted in PIU office or site office with information on time, venue and date of the meeting.	Project Manager, PIU	Every month	A copy of the notice should be sent to Addl. Project Director / Forest Conservation Specialist/ Environment Safeguard Specialist (ESS).
6.	Minutes of the monthly meeting should be recorded and signed by all the committee members, headed by Project Manager, PIU. Format for recording the proceedings of GRIEVANCE REDRESS CELL is attached as Annexure 3.	Project Manager, PIU	Every month	A copy of the MoM should be forwarded to all the members of the committee and Addl. Project Director.
7.	Printing of leaflets regarding information on GRIEVANCE REDRESS CELL, in Punjabi and English.	Environment Safeguard Specialist (ESS), PIU	Feb. 2015	2000 leaflets each will be sent to PIU Amritsar and PIU Ropar for distribution to all the stakeholders for awareness on Grievance Redress Cell.

LETTER ISSUED TO DEPUTY COMMISSIONER FOR FORMATION OF GRC BY PIU ROPAR

Punjab Heritage and Tourism Promotion Board  
Infrastructure Development Investment Programme for Tourism (PB)  
(ADB Assisted Project)  
Project Implementation Unit – Ropar  
# 320, Giani Zail Singh Nagar, Ropar, Ph - 1881-220345  
Email: piu.ropar@gmail.com



To

The Deputy Commissioner,  
Ropar

PA/ED/APD 2405

Date: 10.12.2015



No. PIU-Ropar/Tr -3/2015/

Dated:

Sub:- Implementation of Grievance Redress Mechanism.

Respected Madam,

It is to inform you that as per the requirement of Asian Development Bank (ADB) All the projects under Infrastructure Development Investment Program for Tourism (IDIPT) are required to implement Grievance Redress Mechanism in which following committee members are required for Redressal of the Grievances of the people.

- I. Project Manager, PIU
- II. District Tourist Officer, Department of Tourism (DoT)
- III. Community Development Officer
- IV. Representative of DC Office
- V. Representative of MC Office

As such you are requested to give the name of the Officer from your Department who can be nominated as member of the committee for Grievance Redress Cell.

Project Manager,  
PIU - Ropar

No. PIU-Ropar/Tr -3/2015/205/416

Dated: 11/12/2015

Copy to : Additional Project Director, PHTPB, IDIPT, Chandigarh for information w.r.t. Letter No. PHTPB/IDIPT/2015/5873-80 dated 10.12.2015.

Project Manager,  
PIU - Ropar

*[Handwritten signatures and stamps]*



LETTER ISSUED TO MUNICIPAL CORPORATION FOR FORMATION OF GRC BY PIU ROPA

Punjab Heritage and Tourism Promotion Board  
Infrastructure Development Investment Programme for Tourism (PB)  
(ADB Assisted Project)  
Project Implementation Unit - Ropar  
# 320, Giani Zia Singh Nagar, Ropar, Ph - 1881-220345  
Email: piu.ropar@gmail.com



To

PAVED/APD #406

Dated: 14-12-15

The Municipal Corporation,  
Ropar



No. PIU-Ropar/Tr-3/2015/

Dated:

Sub:- Implementation of Grievance Redress Mechanism.

Respected Sir,

It is to inform you that as per the requirement of Asian Development Bank (ADB) All the projects under Infrastructure Development Investment Program for Tourism (IDIPT) are required to implement Grievance Redress Mechanism in which following committee members are required for Redressal of the Grievances of the people.

- I. Project Manager, PIU
- II. District Tourist Officer, Department of Tourism (DoT)
- III. Community Development Officer
- IV. Representative of DC Office
- V. Representative of MC Office

As such you are requested to give the name of the Officer from your Department who can be nominated as member of the committee for Grievance Redress Cell.

Project Manager,  
PIU - Ropar

No. PIU-Ropar/Tr-3/2015/205/4/P

Dated: 11/12/2015

Copy to: Additional Project Director, PHTPB, IDIPT, Chandigarh for Information w.r.t. Letter No. PHTPB/IDIPT/2015/5873-80 dated 10.12.2015.

Project Manager,  
PIU - Ropar

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R  
10.12.15

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**APPENDIX 4: OCCUPATIONAL HEALTH AND SAFETY SUGGESTED IN CONTRACTOR'S AGREEMENT**

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plants, packaging materials, empty containers, oils, lubricants, and other similar items). These impacts are negative but short-term and reversible by mitigation measures. The contractor will need to adopt the following mitigation measures:

- Prepare and implement a waste management plan.
- Manage solid waste according to the following hierarchy: reuse, recycling and disposal. Include in waste management plan designated/approved disposal areas.
- Coordinate with the local municipal authorities for beneficial uses of demolished materials or immediately dispose to designated areas.
- Recover used oil and lubricants and reuse; or remove from the sites.
- Avoid stockpiling and remove immediately all demolished materials, excess construction materials, and solid waste (removed concrete, wood, packaging materials, empty containers, oils, lubricants, and other similar items).
- Prohibit disposal of any material or wastes (including human waste) into drainage, nallah, or watercourse.

xxxviii. **Impacts on Occupational Health and Safety.** Workers need to be mindful of occupational hazards which can arise from construction works. Exposure to work-related chemical, physical, biological and social hazard is typically intermittent and of short duration, but is likely to reoccur. Potential impacts are negative and long-term but reversible by mitigation measures. Overall, the contractor should comply with IFC EHS Guidelines on Occupational Health and Safety (this can be downloaded from <http://www1.ifc.org/wps/wcm/connect/9aef28b0468559a983acd36a6515bb18/2%2BOccupational%2BHealth%2Band%2BSafety.pdf?MOD=AJPERES>). The contractor will be required to:

- Disallow worker exposure to noise level greater than 85 dB(A) for duration of more than 8 hours per day without hearing protection. The use of hearing protection shall be enforced actively.
- Develop comprehensive site-specific health and safety (H&S) plan. The overall objective is to provide guidance to contractors on establishing a management strategy and applying practices that are intended to eliminate, or reduce, fatalities, injuries and illnesses for workers performing activities and tasks associated with the project.
- Include in H&S plan measures such as: (i) type of hazards during excavation works; (ii) corresponding personal protective equipment for each identified hazard; (iii) H&S training for all site personnel; (iv) procedures to be followed for all site activities; and (v) documentation of work-related accidents.
- Provide H&S orientation training to all new workers to ensure that they are apprised of the rules of work at the site, personal protective protection, and preventing injury to fellow workers.
- Ensure that qualified first-aid can be provided at all times. Equipped first-aid stations shall be easily accessible throughout the site as well as at construction camps.
- Provide medical insurance coverage for workers.
- Secure construction zone from unauthorized intrusion and accident risks.
- Provide supplies of potable drinking water.
- Provide clean eating areas where workers are not exposed to hazardous or noxious substances.
- Provide visitor orientation if visitors to the site can gain access to areas where hazardous conditions or substances may be present. Ensure also that visitor/s do not enter hazard areas unescorted.





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- Ensure the visibility of workers through their use of high visibility vests when working in or walking through heavy equipment operating areas.
  - Ensure moving equipment is outfitted with audible back-up alarms.
  - Mark and provide sign boards in the construction zone, and areas for storage and disposal. Signage shall be in accordance with international standards and be well known to, and easily understood by workers, visitors, and the general public as appropriate.
- xxxix. **Impacts on Socio-Economic Activities.** Manpower will be required during the 24 months construction phase. This can help generate contractual employment and increase in local revenue. Thus potential impact is positive and long-term. As per preliminary design, land acquisition and closure of roads are not required. However, construction activities may impede access of residents and customers to shops. The potential impacts are negative and moderate but short-term and temporary. The contractor will need to adopt the following mitigation measures:
- Provide sign boards for visitors to inform nature and duration of construction works and contact numbers for concerns/complaints.
  - Employ at least 50% of the labor force, or to the maximum extent, local persons within the 20km immediate area if manpower is available.
- xl. **Summary of Mitigation Measures during Construction.** Table provides summary of mitigation measures to be considered by the contractor during construction phase. The detailed mitigation measures, environmental monitoring and reporting requirements, emergency response procedures, related implementation arrangements, capacity development and training measures, implementation schedule, cost estimates, and performance indicators are provided in the EMP.

**Table 12: Summary of Mitigation Measures during Construction Phase**

Potential Impact	Mitigation Measures
Impacts on water quality	<ul style="list-style-type: none"> <li>• Schedule civil works during non-monsoon season, to the maximum extent possible.</li> <li>• Ensure drainages within the construction zones are kept free of obstructions.</li> <li>• Keep loose soil material and stockpiles out of drains and flow-lines.</li> <li>• Avoid stockpiling of excavated and construction materials (sand, gravel, cement, etc.) unless covered by tarpaulins or plastic sheets.</li> <li>• Re-use/utilize, to maximum extent possible, excavated materials.</li> <li>• Dispose any residuals at identified disposal site (PIU/DSC will identify approved sites).</li> <li>• Dispose waste oil and lubricants generated as per provisions of Hazardous Waste (Management and Handling) Rules, 1989.</li> </ul>
Impacts on air quality	<ul style="list-style-type: none"> <li>• Conduct regular water spraying on earth piles, trenches and sand piles.</li> <li>• Conduct regular visual inspection along alignments and construction zones to ensure no excessive dust emissions.</li> <li>• Spreading crushed gravel over backfilled surfaces if re-surfacing of disturbed areas cannot be done immediately.</li> <li>• Maintain construction vehicles and obtain "pollution under control" (PUC) certificate from PPCB.</li> <li>• Obtain CFE and CFO for hot mix plants, crushers, diesel generators, etc., if it is required for this project.</li> </ul>



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**4.0 NOISE AND AIR POLLUTION**

- 4.1 All works shall be carried out without unreasonable noise and air pollution. Subject and without prejudice to any other provision of the Contract and the law of the land and its obligation as applicable, the Contractor shall take all precautions outlined in the EMP to avoid the air and noise pollution.
- 4.2 The Contractor shall monitor the environmental parameters periodically as specified in the monitoring plan and report to the Engineer.
- 4.3 The Contractor shall indemnify and keep indemnified the Employer from and against any liability for damages on account of noise or other disturbance created while carrying out the work and from and against all claims, demands, proceedings, damages, costs, charges, and expenses, whatsoever, in regard or in relation to such liability.

**5.0 OCCUPATIONAL HEALTH AND SAFETY DURING CONSTRUCTION**

- 5.1 The Contractor shall, in accordance with the safety and health provisions specified in the EMP, provide workers with a safe and healthy working environment, in the work areas, through application of preventive and protective measures consistent with international good practice, as reflected in internationally recognized standards such as the World Bank Group's Environment, Health and Safety Guidelines. The borrower/client will take steps to prevent accidents, injury, and disease arising from, associated with, or occurring during the course of work by
  - (i) providing preventive and protective measures, including modification, substitution, or elimination of hazardous conditions or substances;
  - (ii) providing appropriate equipment to minimize risks and requiring and enforcing its use;
  - (iii) training workers and providing them with appropriate incentives to use and comply with health and safety procedures and protective equipment;
  - (iv) documenting and reporting occupational accidents, diseases, and incidents; and
  - (v) having emergency prevention, preparedness, and response arrangements in place.

**6.0 POST CONSTRUCTION CLEARANCE**

- 6.1 On completion of work, wherever applicable, the Contractor shall clear away and remove from the sites all constructional plant, surplus materials, rubbish, scaffoldings and temporary works of every kind and leave the whole of the site and works in a clean condition to the satisfaction of the Engineer.
- 6.2 Construction camp sites post construction shall be cleared as specified in the EMP and handed over to the Owner. It will be ensured by the contractor that the site handed over is in line with the conditions of temporary acquisition signed by both parties.





APPENDIX 5: INVOLUNTARY RESETTLEMENT CATEGORISATION FORM

INVOLUNTARY RESETTLEMENT IMPACT CATEGORIZATION CHECKLIST

Date: 30.11.2015

<b>Project Data</b>	
Country/Project No./Project Title	INDIA/ LOAN No: 3223-IND/INFRASTRUCTURE DEVELOPMENT INVESTMENT PROGRAM FOR TOURISM-PUNJAB PATIALA HERITAGE CONSERVATION AND TOURISM
Subproject title	DEVELOPMENT PROJECT QUILA MUBARAK AND NABHA FORT (PACKAGE NO.: PB/IDIPT/T3/06/05)
Project Executing Agency	GOVERNMENT OF PUNJAB THROUGH DEPARTMENT OF TOURISM (DOT)
Project Implementing Agency	PUNJAB HERITAGE AND TOURISM PROMOTION BOARD (PHTPB)
Modality	MULTITRANCHE FINANCING FACILITY (MFF)
<input type="checkbox"/> Project Loan <input type="checkbox"/> Program Loan <input type="checkbox"/> Financial Intermediary <input type="checkbox"/> General Corporate Finance <input type="checkbox"/> Sector Loan <input checked="" type="checkbox"/> MFF <input type="checkbox"/> Emergency Assistance <input type="checkbox"/> Grant <input type="checkbox"/> Other financing modalities:	
IP Impact categorization	<input type="checkbox"/> New <input type="checkbox"/> Re-categorization <input checked="" type="checkbox"/> Previous Category
<input type="checkbox"/> Category A: Significant IR impact	(200+ persons (not households!) are physically displaced from residence or lose more than 10% of productive (income generating) assets)
<input type="checkbox"/> Category B: Non-significant IR impact	
<input checked="" type="checkbox"/> Category C: No IR impact	
<b>Prepared by:</b>	
Social Development Specialist (Name, title, signature)	<i>[Signature]</i> K.L. Malhotra FCS, PMU
Date: 08.02.16	
For Project Implementing Agency (Name, title, signature)	<i>[Signature]</i> BASANTA RAJKUMAR ADD
Date: 08.02.16	
For Project Executing Agency (Name, title, signature)	<i>[Signature]</i>
Date: 08.02.16	

- Please attach subproject details, such SAR, DPR or a brief summary of activities proposed

Addl. Project Director  
Infrastructure Development  
Investment Programme for Tourism  
Punjab

**Involuntary Resettlement Impact Categorization Checklist**

PROBABLE INVOLUNTARY RESETTLEMENT EFFECTS	YES	NO	NOT KNOWN	REMARKS
<b>Involuntary Acquisition of Land</b>				
1. Will there be land acquisition?		✓		
2. Is the site for land acquisition known?				Not applicable
3. Is the ownership status and current usage of land to be acquired known?				Not applicable
4. Will easement be utilized within an existing Right of Way (ROW)?				Not applicable
5. Will there be loss of shelter and residential land due to land acquisition?				Not applicable
6. Will there be loss of agricultural and other productive assets due to land acquisition?				Not applicable
7. Will there be losses of crops, trees, and fixed assets due to land acquisition?				Not applicable
8. Will there be loss of businesses or enterprises due to land acquisition?				Not applicable
9. Will there be loss of income sources and means of livelihoods due to land acquisition?				Not applicable
<b>Involuntary restrictions on land use or on access to legally designated parks and protected areas</b>				
10. Will people lose access to natural resources, communal facilities and services?		✓		
11. If land use is changed, will it have an adverse impact on social and economic activities?		✓		
12. Will access to land and resources owned communally or by the state be restricted?		✓		
<b>Information on Displaced Persons</b>				
Any estimate of the likely number of persons that will be displaced by the Project? [ ] No [ ] Yes				
<b>Not Applicable</b>				
If yes, approximately how many? _____				
Are any of them poor, female-heads of households, or vulnerable to poverty risks? [ ] No [ ] Yes				
<b>Not Applicable</b>				
Are any displaced persons from indigenous or ethnic minority groups [ ] No [ ] Yes				
<b>Not Applicable</b>				

Note: The project team may attach additional information on the project, as necessary.





APPENDIX 6: INDIGENOUS PEOPLE CATEGORISATION FORM

Date: 30.11.2015

<b>Project Data</b>	
Country/Project No./Project Title	INDIA/ LOAN No: 3223-IND/INFRASTRUCTURE DEVELOPMENT INVESTMENT PROGRAM FOR TOURISM-PUNJAB
Subproject title	PATIALA HERITAGE CONSERVATION AND TOURISM DEVELOPMENT PROJECT QUILA MUBARAK AND NABHA FORT (PACKAGE NO.: PB/IDIPT/T3/06/05)
Project Executing Agency	GOVERNMENT OF PUNJAB THROUGH DEPARTMENT OF TOURISM (DOT)
Project Implementing Agency	PUNJAB HERITAGE AND TOURISM PROMOTION BOARD (PHTPB)
Modality	MULTITRANCHE FINANCING FACILITY (MFF)
<input type="checkbox"/> Project Loan <input type="checkbox"/> Program Loan <input type="checkbox"/> Financial Intermediary <input type="checkbox"/> General Corporate Finance <input type="checkbox"/> Sector Loan <input checked="" type="checkbox"/> MFF <input type="checkbox"/> Emergency Assistance <input type="checkbox"/> Grant <input type="checkbox"/> Other financing modalities:	
<b>IP Impact categorization</b> <input type="checkbox"/> New <input type="checkbox"/> Re-categorization <input checked="" type="checkbox"/> Previous Category	
<input type="checkbox"/> <b>Category A:</b> Significant IP impact	
<input type="checkbox"/> <b>Category B:</b> Non-significant IP impact	
<input checked="" type="checkbox"/> <b>Category C:</b> No IP impact	
<b>Subproject requires the broad community support of affected Indigenous Peoples communities</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Prepared by:</b>	
Social Development Specialist (Name, title, signature)	K.L. Malhotra
Date: 08.02.16	FCS, PMU
For Project Implementing Agency (Name, title, signature)	BASANTA RAJKUMAR
Date: 08.02.16	APD
For Project Executing Agency (Name, title, signature)	
Date: 08.02.16	

- Please attach subproject details, such SAR, DPR or a brief summary of subproject activities proposed

Addl. Project Director  
Infrastructure Development  
Investment Programme for Tourism  
Punjab

KEY CONCERNS (Please provide elaborations on the Remarks column)	YES	NO	NOT KNOWN	Remarks
<b>A. Indigenous Peoples Identification</b>				
1. Are there socio-cultural groups present in or use the project area who may be considered as "tribes" (hill tribes, scheduled tribes, tribal peoples), "minorities" (ethnic or national minorities), or "indigenous communities" in the project area?		✓		Patiala district where subproject exists, as such is not part of the notified Fifth Schedule area <sup>1</sup> .
2. Are there national or local laws or policies as well as anthropological researches/studies that consider these groups present in the project area as belonging to "ethnic minorities", scheduled tribes, tribal peoples, national minorities, or cultural communities?				Not applicable
3. Do such groups self-identify as being part of a distinct social and cultural group?				Not applicable
4. Do such groups maintain collective attachments to distinct habitats or ancestral territories and/or to the natural resources in these habitats and territories?				Not applicable
5. Do such groups maintain cultural, economic, social, and political institutions distinct from the dominant society and culture?				Not applicable
6. Do such groups speak a distinct language or dialect?				Not applicable
7. Has such groups been historically, socially and economically marginalized, disempowered, excluded, and/or discriminated against?				Not applicable
8. Are such groups represented as "Indigenous Peoples" or as "ethnic minorities" or "scheduled tribes" or "tribal populations" in any formal decision-making bodies at the national or local levels?				Not applicable
<b>B. Identification of Potential Impacts</b>				Not applicable
9. Will the project directly or indirectly benefit or target Indigenous Peoples?				Not applicable
10. Will the project directly or indirectly affect Indigenous Peoples' traditional socio-cultural and belief practices? (e.g. child-rearing, health, education, arts, and governance)				Not applicable
11. Will the project affect the livelihood systems of Indigenous Peoples? (e.g., food production system, natural resource management, crafts and trade, employment status)				Not applicable
12. Will the project be in an area (land or territory) occupied, owned, or used by Indigenous Peoples, and/or claimed as ancestral domain?				Not applicable
<b>C. Identification of Special Requirements</b> <i>Will the project activities include:</i>				Not applicable
13. Commercial development of the cultural resources and knowledge of Indigenous Peoples?				Not applicable

<sup>1</sup> Fifth Schedule under Article 244(1) of Constitution defines "Scheduled Areas" as such areas as the President may, by order declare to be Scheduled Areas after consultation with the Governor of that State. The criteria for declaring any area as a "Scheduled Area" under the Fifth Schedule are: (a) preponderance of tribal population, (b) compactness and reasonable size of the area, (c) a viable administrative entity such as a district, block or Tahsil, and (d) economic backwardness of the area as compared to the neighbouring areas.



KEY CONCERNS (Please provide elaborations on the Remarks column)	YES	NO	NOT KNOWN	Remarks
14. Physical displacement from traditional or customary lands?				Not applicable
15. Commercial development of natural resources (such as minerals, hydrocarbons, forests, water, hunting or fishing grounds) within customary lands under use that would impact the livelihoods or the cultural, ceremonial, spiritual uses that define the identity and community of Indigenous Peoples?				Not applicable
16. Establishing legal recognition of rights to lands and territories that are traditionally owned or customarily used, occupied or claimed by indigenous peoples?				Not applicable
17. Acquisition of lands that are traditionally owned or customarily used occupied or claimed by indigenous peoples?				Not applicable

**D. Anticipated project impacts on Indigenous Peoples**

Project component / Activity / output	Anticipated positive effect	Anticipated negative effect
LIST ALL PROJECT COMPONENTS / ACTIVITIES / OUTPUTS HERE	INDICATE EFFECTS TO IPS OR PUT N/A AS NECESSARY	
	Not applicable	Not applicable

Note: The project team may attach additional information on the project, as necessary.

