Uttarakhand Disaster Preparedness and Resilience Project (P179749)

Draft Labor Management Procedures (LMP)

November 2023

Ву

Uttarakhand State Disaster Management Authority Government of Uttarakhand

ABBREVIATIONS AND ACRONYMS

CBCM	Community Based Complaints Mechanism
ESMP	Construction Environmental and Social Management Plan
CoC	Code of Conduct
EHSG	Environmental Health and Safety Guidelines
EHS	Environmental Health and Safety
ESMP	Environmental and Social Management Plan
ESCP	Environmental and Social Commitment Plan
ESMF	Environmental and Social Management Framework
ESS	Environmental and Social Standards
FD	Forest Department
GBV	Gender Based Violence
GOI	Government of India
GOU	Government of Uttarakhand
GRM	Grievance Redress Mechanism
HIV	Human Immuno-deficiency Virus
ICC	Internal Complain Committee
LMP	Labor Management Procedures
LCC	Local Complaint Committee
M & E	Monitoring and Evaluation
NGOs	Non-Governmental Organizations
OHS	Occupational Health and Safety
PMU	Project Management Unit
PIU	Project Implementation Unit
PPE	Personal Protective Equipment
PSEA	Protection against Sexual Exploitation and Abuse
PWD	Public Works Department
RWD	Rural Works Department
SEA	Sexual Exploitation and Abuse
SH	Sexual Harassment
SOP	Standard Operating Procedure
USDMA	Uttarakhand State Disaster Management Authority
UFES	Uttarakhand Fire and Emergency Services
WB	World Bank

1. OVERVIEW OF LABOR USE IN U-PREPARE PROJECT

The U-PREPARE project will be implemented by the Uttarakhand State Disaster Management Authority (USDMA), established for the management of multilateral disaster risk management (DRM) projects. Labor needs for the development of the U-PREPARE project will include the staff for project management unit (PMU), project implementation units (PIUs), consultants and firms to undertake professional services for the preparation, development and implementation of the technical components and contractors to undertake civil works.

The USDMA has been designated as the Project Management Unit (PMU). The implementation structure successfully established under UDRP will be largely followed, ensuring the continuity of key staff and capacity of the PMU and PIUs.

Type of Workers

The project is expected to involve Direct Workers, Contracted Workers, and Primary Suppliers.

Direct Workers: will comprise project staff hired by the USDMA and implementing agencies [*Public Works Department (PWD), Rural Works Department (RWD), Forest Department, Uttarakhand Fire and Emergency Services (UFES),* as per requirement.

Contracted Workers: contracted workers will be employed as deemed appropriate by contractors and sub-contractors/consultants under the project as project activities involve construction and retrofitting works. The civil work will be undertaken by the civil contractor/ sub-contractor for construction of bridges, slope stabilization, SDRF training centres, fire stations, and forest fire stations. Further, daily-wagers from the community will be engaged, who will be working in pasture restoration, tree nursery establishment, construction of irrigation infrastructure to support forest fire management, production and soil and water management. Given the scale of civil works expected under the project, skilled, semi-skilled and unskilled workers will be hired by the contractors/consultants on a need basis/intermittently.

Primary Suppliers: The project may require the use of primary suppliers for the equipment and materials needed for civil works. The primary supply worker related provisions of ESS2 would apply to those primary suppliers with whom the project will have a significant and ongoing relationship with. However, the relevance of primary supply workers will be known once the scope of the DPRs for the investments are defined.

Where government civil servants are working in connection with the U-PREPARE project, whether full time or part time, they will remain subject to the terms and conditions of their existing public sector employment agreement or arrangement, unless there has been an effective legal transfer of their employment or engagement to the project.

2. ASSESSMENT OF KEY POTENTIAL LABOR RISKS

The labor risks of the project are mostly associated with the construction of bridges, slope stabilization, SDRF training centres, fire stations, and forest fire stations. In addition, risks can arise non-compliance of statutory rules and processes that govern the employment relationship between the employer and direct workers and from unsafe workplace.

These risks comprise:

Occupational, health and safety (OHS) risks during construction works: The key OHS risks during construction works include injuries due to accidents arising out of poor work conditions and unsafe practices e.g., working at heights, fall into deep excavations, injuries due to heavy machinery impacts, transportation of materials and slip, trips and falls due to spills and poor housekeeping in workplaces etc. In addition, exposure to hazardous chemicals and gases e.g., diesel exhausts, silica dust, and paints, corrosives and solvents etc. may also happen. Monitoring of compliances, awareness raising and training on OHS¹ need to be provided to workers prior to commencement of work, consistent with the national/state laws.

Labor influx: The exact number of skilled, semi-skilled and unskilled laborers required for the construction works is not yet clear and can only be determined once the detailed design/DPRs are prepared. Preliminary assessment indicates that demand for skilled workforce is largely unmet locally and are thus brought in from outside the state. Whereas for small and unskilled work, labor is mobilized locally, and some laborers are anticipated from other states such as Bihar, Uttar Pradesh, West Bengal, Chhattisgarh, Jharkhand, and Madhya Pradesh. Hence, risks associated with labor influx for this project are moderate. Social conflicts within and between communities, increased risk of spread of communicable diseases, and increased risk of illicit behavior and crime, including GBV cases can be adverse impacts. Labor influx may also pose infection risk from the community as well as to the community that also need to be managed through personal hygiene and workplace sanitation and hygienic practices during construction work. The contractor must ensure (a) Supervision and security at the campsites, so that public order is maintained; (b) Establish code of conduct for worker's interaction with the host community; (c) Provide own supply of water and electricity; (d) Ensure that local supply does not negatively impact the availability of resources for local communities and sourcing of local wildlife shall be prohibited; (e) Provide a fully equipped first aid kit; (f) Provide GBV/SEA/SH including HIV and other communicable diseases prevention training during induction and continuously during employment through health and safety talks; (g) Build awareness of and be ready to implement the Workers' Grievance Redress Mechanism.

Child & Forced labor: Based on expected project activities and the sector of work, the risk of child or forced labor is not significant. However, the project will put in place mitigation measures to prevent and prohibited child and forced labor in accordance with Indian laws. Workers below the age of 18 will not be hired to work in sub-projects. To confirm that workers

¹ Toolbox talks; response & reporting in case of accidents; periodic health checkup; awareness generation; GRM; community safety; etc.

are below the age of 18 years, workers will need to provide legally recognized documents such as Aadhaar or Birth Certificate.

SEA/SH: Risks of SEA/SH may arise under three circumstances: (a) risks of SEA/SH to community members, particularly women and children by contractors' workers during construction period; and (b) risks of workplace SH at all establishments by co-workers under the project. All employers including contractors will be required to ensure all workers (including those of sub-contractors) sign a code of conduct (CoC) to mitigate the risks of SEA/SH.Workers will receive awareness training on SEA/SH related issues. The project will identify service providers who are actively engaged in the prevention of GBV, SEA/SH and workplace-related sexual harassment for referral services in the project area. There are some risks associated with community health such as exposure of communities and beneficiaries to communicable diseases, and SEA/SH, however, these will be addressed through appropriate mitigation measures Detailed information will be available in the SEA/SH Risk Mitigation and Response Action Plan prepared for sub-projects with moderate to high SEA/SH risks.

Limited equal opportunities and discrimination with respect to recruitment, hiring, remuneration, termination of employment, working conditions, or terms of employment based on gender, age, disability, ethnicity, caste, or religion are other potential employment related risks.

Other occupational risks related to workers that may be hired for DRM operations under the project are:

- OHS risks during disaster and forest fire risks management that can encompass physical hazards (fall from height, cut injury, expiation, accidents, heat stroke, burn injury and handling of high pressurized firefighting equipment, exposure to high noise level and vibrations), inhalation of diesel fumes, exposure to various toxic and carcinogen chemical, toxic gases, fumes, dusts, etc.
- Physical Hazards due to Natural disaster risk such as slope failure, fall of rock boulders, flash floods, etc.
- Direct exposure to hazards due to non-availability of personnel protection equipment (PPE), improper use or unsuitable PPEs, and inadequate medical and stress check-up for early detection of diseases and mental disorder.
- Limited insurance coverage and access to other benefits to fire crews (contracted workers) and community first responders.
- Risks related to SEA/SH at the workplace, child & forced labor and unequal pay/wages for men and women workers.

Fire crews, watchers and other workers hired by the implementing agencies will remain subject to the terms and conditions of their existing public sector employment agreement or arrangement. ESS2 will not apply to such workers, except for the provisions of Para 17 to 19 (Protecting the Work Force) and Para 24 to 30 (Occupational Health and Safety) under World Bank ESS-2 on Labor and Working Conditions.

3. BRIEF OVERVIEW OF LABOR LEGISLATION: TERMS AND CONDITIONS

The guidance on the terms and conditions of employment/ engagement for all categories of workers is presented below:

Type of Worker	Terms and Condition
Direct Workers	The direct workers are governed by the employment terms and condition of Human Resource Policy of the USDMA which will be further defined by the PMU in the Terms of Reference and Contracts of personnel hired from the market based. The project will ensure that all direct workers have clear contracts and conditions of work, including terms of employment, wages, and entitlements, working hours, leave and benefits, mechanisms for handling grievances based on requirements under ESS2 and national/state labor laws. ²
Contracted workers	These will include (a) Construction and civil workers, their supervisors and managers hired by civil contractors; and (b) Consultancies hired for technical support such as preparation of DPRs, ESF instruments and third-party verification of results, or various studies. These contracts will be governed by all ESS2 requirements and applicable
	labor and employment laws/regulations set out in their contracts.
Primary Supply Workers	The project will need procurement of equipment and materials from suppliers for civil works. The primary suppliers of construction material to the project will be oriented to ensure that they do not engage children, forced or bonded labor and apply all measures to ensure workers safety, in line with provisions of ESS2.
Community Workers	The project is not expected to engage any community workers.

² The chapter on Legal and Policy Framework in the ESMF reviews all labor and employment laws relevant for this project. Some of the legislations related to equal opportunities and working conditions include Employees' Provident Funds and Miscellaneous Provisions Act, 1952; Payment of Gratuity Act, 1972; Employees' Compensation Act, 1923; Maternity Benefit Act, 1961; Employees' State Insurance Act, 1948; Workers Cess Act, 1996; Employees' Provident Funds and Miscellaneous Provisions Act, 1952; Building and Other Construction Workers' Welfare Cess Act, 1996; Payment of Wages Act, 1936, Minimum Wages Act, 1948, Payment of Bonus Act, 1965 and Equal Remuneration Act, 1976; Contract Labour (Regulation and Abolition) Act, 1970; Inter-State Migrant Workmen (Regulation of Employment and Conditions of Service) Act, 1979; Child Labour (Prohibition and Regulation) Act 1986; among others. Further, central government recently enacted the four Labour Codes, namely, the Code on Wages, 2019; the Industrial Relations Code, 2020 (IR Code); the Code on Social Security, 2020 (SS Code) and the Occupational Safety, Health and Working Conditions Code, 2020 (OSH Code). The GoU has pre-published the draft Rules of the Codes, inviting comments of all stakeholders. Once comments are sought and the Rules finalized, it will be placed before the Cabinet for approval and then laid before the legislature for enactment. These codes will be applicable to this project once enacted.

4. BRIEF OVERVIEW OF LABOR LEGISLATION: OCCUPATIONAL HEALTH AND SAFETY

The key occupational health and safety guidelines specific to dealing with construction workers is provided in the *Building and Other Construction Workers (Regulation of Employment and Condition of Services) Central Rules, 1998* and the *corresponding Uttarakhand Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Rules, 2005*. Whereas occupational health and safety requirements for project staff are embedded in *Occupational Safety, Health and Working Conditions Code, 2020* and *Draft Notification on Uttarakhand Occupational Safety Health & Working Conditions Rules, 2021*. Once enacted, the Code and 2021 Rules will be applicable to construction workers in the project as well. Further, to avoid or minimize community and workers' exposure to Covid-19 and similar outbreaks, relevant Standard Operating Procedures (SOPs) issued by the Government of India (GoI) and Government of Uttarakhand (GoU) will be followed.

5. **RESPONSIBLE STAFF**

The overall responsibility of LMP implementation rests with the USDMA. The USDMA is supported by environmental and social specialists housed in the PMU. Additionally, focal persons for environmental and social (E&S) risks management will be appointed at the PIU level. Both the specialists and E&S focal persons will be responsible for the following:

- Ensure that civil works contractors comply with the LMP, and also adhere to occupational health and safety measures.
- Ensure the responsibilities of the contractors are developed in line with the provisions of this LMP and the ESMF for OHS and certain environmental protection provisions e.g., hazardous and other wastes and emissions management.
- Monitor to verify that contractors are meeting labor and OHS obligations toward contracted (and sub-contracted) workers on a real-time basis.
- Monitor construction sites to ensure that all OHS provisions at construction facilities are being implemented e.g., PPE availability, immunization status of functionaries and safe work practices, etc.
- Monitor incidents and accidents including SEA/SH injuries, illnesses, and accidental spills, etc.
- Monitor and implement training on LMP and OHS for all direct and contracted workers.
- Ensure that the grievance redress mechanism is established for workers and implemented, and workers are informed of its purpose and how to use it.
- Ensure the system for regular monitoring and reporting on labor and ESHS performance is functioning efficiently.
- Develop and monitor implementation of the Code of Conduct applicable to all workers.
- Adopt a Human Resource (HR) policy which outlines all statutory rules and processes which govern the employment relationship between the employer and direct workers.

The Contractors for civil works will be responsible for the following:

- Comply with the requirements of the national and state legislations, labor management procedures, including those by their sub-contractors.
- Maintain records of recruitment and employment process of contracted workers.
- Clearly communicating the job description and employment conditions to the workers.
- Follow a real-time system for regular review and reporting on labor, and ESHS performance.

The standard clauses for inclusion in civil works contracts include (but not limited to):

- General obligations of the contractor with respect to maintaining the health and safety of the workers.
- Preparation and implementation of a site-specific C-ESMP for managing construction related occupational health and safety.
- Ensuring no child labor and/or forced-bonded labor for any works.
- Equal pay/wage for men and women workers, including registration and insurance.
- All workers engaged at construction site to be provided with the required Personal Protection Equipment (PPE) and regular health check-ups etc.
- Construction sites to be provided with adequate barricading and safety signages.
- Providing health and safety training/orientation to all workers and staffs.
- Steps necessary to prevent worker harassment or discrimination, including sexual exploitation and abuse, sexual harassment (SEA/SH), gender-based violence (GBV).
- Basic facilities at worksites such as segregated toilets, canteen, drinking water, creche facilities (if required), etc.
- Establishing Grievance Redress Mechanism (GRM) for workers for any complaint/grievance received from workers and ensuring workers' awareness about GRM.

Additionally, the following measures need to be adopted by implementing agencies for workers that may be hired for DRM operations under the project:

- Ensure workers receive appropriate training on procedures they need to follow, including fire drills.
- Ensure correct equipment for putting a fire (general or forest fire) out quickly are provided.
- Ensure workers are provided with the required Personal Protection Equipment (PPE) and regular health check-ups, etc. as per the requisite laws and regulations.
- Disseminate knowledge of preventive measures related to worker harassment or discrimination, including sexual exploitation and abuse, sexual harassment (SEA/SH), gender-based violence (GBV).
- Provide access to basic facilities at worksites such as segregated toilets, drinking water, meals, creche (if required), etc.
- Ensure workers' awareness about grievance redressal processes available within their departments.

- Ensure equal opportunities and non- discrimination with respect to recruitment, hiring, remuneration, termination of employment, working conditions, or terms of employment consistent with the national/state laws.
- Ensure no child labor and/or forced-bonded labor are engaged for any works.

6. POLICIES AND PROCEDURES

Policy and Procedure for Direct Workers: The following procedures would be applicable for direct workers i.e., project staff of PMU and implementing agencies:

In the office:

- For this project, the minimum age will be 18 years. This rule will apply for both national and international workers.
- Fire detection and firefighting equipment will be available at all project offices. Emergency evacuation plan will be established for all project offices and staff will be made aware of the plan and periodic training exercises that needs to be implemented.
- Equal training opportunity will be available to all staff working in the project without discrimination, based on gender or otherwise, as specified in the employment conditions.
- Orientation training to be provided on (a) safety and health in construction worksites including emergency procedures; (b) usage of Personal Protective Equipment during site visits; (c) safety of women from any sexual exploitation and abuse (SEA) and sexual harassment (SH); and (d) mechanism to access redressal services.
- Equal remuneration, childcare, flexible work hours, creche facilities, segregated toilets, drinking water and other amenities in all offices as mandated by law.

In addition, an HR policy will be developed for USDMA which will highlight the set of rules for hiring, promotion, work process, leave, termination, work environments, compensation, performance appraisal, safety, parental benefits, and many other vital functions applicable for all employees. Further, it will include an "Equal Opportunities Policy", "Policy on Prevention of Sexual Harassment" ³ and "Code of Conduct" that outlines the need for safe and secure working environment for all employees.

Policy and Procedure for Contract Workers for Civil Work: The key procedure at the construction site includes as follows:

- Equal pay/wage for men and women labors.
- No child labor and/or forced labor at construction site for all works
- All laborers to be provided with photo ID cards for accessing the construction site.
- Personal Protection Equipment (PPE) safety helmet and shoes, secured harness when working at heights, electrical gloves, eye protection for welding etc., for all workers without which entry to the construction site shall not be allowed.

³ As per the requirement of the *Rights of Persons with Disabilities Act, 2016* and the *Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013*

- Steps necessary to prevent SEA/SH and any discrimination based on religious, political and/or sexual orientation.
- Facilities to be provided at the labor camp (if setup):
 - Hygienic living conditions and safe drinking water
 - o Segregated toilets for male and female workers
 - o Creche facilities
 - Use of fireproof wiring and good quality electricals
 - Cooking gas and/or electric/induction plate for each labor household
 - Monthly/weekly health checkup to be organized at the camp for all labors/family.
 - Awareness campaign for social distancing and general health and hygiene.
 - Posters and signages at/around the site, with images and text in local languages relating to personal safety, hygiene and on COVID-19 symptoms and guidelines.
 - Security measures to be provided at the camps which may include fencing, locks, alarms, pass card systems, badge, and pass system, access points, safe transport of personnel as appropriate.
 - Emergency response plan including availability of assembly points and mock drills.
- The measures proposed in a site-specific C-ESMP for managing construction related workplace occupational health and safety.

The ESMF includes OHS management/ mitigation provisions. The OHS measures take into account the national/state laws and other Good International Industry Practices (GIIP). The OHS specifications will also be included in the procurement documents and contracts with contractors and consulting firms. The ESMF factors OHS requirements for contract workers that will be involved in civil works such as safety trainings, gender, and SEA/SH sensitization.

Civil works contractors' workers will be managed by the contractors and their terms and conditions must be consistent with the WB ESF (ESS2), GoI/GoU laws and regulations. The provisions and codes of conduct outlined in the C-ESMP will provide the minimum standards required for workers under civil works contracts (including sub-contractors). E.g., OHS, GBV/SEA and SH and general worker behavior are managed through the C-ESMPs.

Procedure related to minor incidents and accidents: Minor incidents will be reported directly to PMU on monthly basis and will be reflected in quarterly reports, and serious accidents and incidents will be reported immediately and will be flagged to the World Bank within stipulated timeframe given in the ESCP. Enquiry, medical examination, and compensation for injuries will be determined as per the Employee Compensation Act, 1923. Given that most labor related risks and impacts results from actions of contractors, mitigation measures will be largely implemented by contractors. The PMU will incorporate General and Specific Conditions into bidding documents and contracts, including measures in relation to SEA/SH prevention and risk mitigation and on codes of conduct, so that contractors are aware of their obligations and are contractually obligated to comply with them.

Sexual exploitation and abuse and sexual harassment (SEA/SH): A Code of Conduct (CoC) applicable to (a) project staff at PMU and implementing agencies, (b) construction workers,

and (c) other project employees will be adopted and adhered to. The CoC will commit all personnel to acceptable standards of behavior. The CoC will include sanctions for non-compliance, including termination or even revoking of the contract. It should be written in plain language and signed by each worker. A copy of the CoC will be displayed in a location (construction sites) easily accessible to the community in the local language. (See Annex II for CoC template)

Personnel will also receive awareness training on GBV/SEA/SH. The project's GRM will also include a channel to allow SEA/SH-related grievances to be received and addressed. The nature of the complaint will be recorded and referenced to relevant service provider as per the sub-project SEA/SH Action Plan while maintaining the complainants' confidentiality. All establishments (employing more than 10 employees) are mandated by the Sexual Harassment at the Workplace (Prevention, Prohibition and Redressal) Act, 2013 (POSH Act) to form an Internal Complaints Committee (ICC) to address workplace related SEA/SH complaints. Thus, all employers including contractors as per the Act must ensure that the contact information of ICC is displayed in the office and that regular trainings/orientation programs are organized for staff and ICC members. A context-specific, survivor-centric, Inclusive, and non-discriminatory approach will be used to address the risk of SEA/SH procedures and applied to manage the SEA/SH related grievance process. The SEA/SH related processes will be overseen by the Social Specialists within the PMU and monitored on the ground by the focal persons on environmental and social risk management.

7. AGE OF EMPLOYMENT

In accordance with the Constitution of India, no child below the age of fourteen years shall be engaged in any hazardous employment. Employment of children under 18 years of age will be strictly prohibited. Contractors will be required to verify and identify the minimum age of all workers through government identification documents, like birth certificate, ration card, Aadhar card and other national identification cards, passport and if in doubt clinical, anthropometric measurements will be taken to ascertain their age.

8. TERMS AND CONDITIONS OF EMPLOYMENT

The terms of employment of the direct project workers will be as per prevailing market rates based on expertise and experience. It would be ensured that all direct workers are provided clear terms of reference and contracts outlining their roles, responsibilities, and conditions of work and in all cases the principles of non-discrimination and equal opportunity apply.

The terms of employment of the contracted workers at construction sites will be based on the terms of contract governed by 'The Building and Other Constructions Workers (Regulation of Employment and Conditions of Service) Act, 1996' and other labor laws and provisions of ESS2 for contracted workers.

9. GRIEVANCE MECHANISM FOR LABOR ENGAGED IN CONSTRUCTION WORK

The main objective of a Grievance Redress Mechanism (GRM) is to resolve complaints and grievances in a timely, effective, and efficient manner that satisfies all parties involved. A construction-site specific Grievance Mechanism will be setup by the contractor/ sub-contractor. It shall include site-specific grievance focal person assigned by the contractor who will file the grievances and appeals on behalf of the contracted workers. If the issue cannot be resolved at the contractor's level within 7 working days, then it will be escalated to the Principal Employer. The work of the grievance focal person will be closely monitored by the PWD or RWD engineers/implementing agencies at the field level and periodically reviewed by the E&S focal persons in the PIUs and social development specialists in the PMU.

The grievance focal person will register the grievances in a formal manner in a register or in electronic format to be easily tracked for its resolution. The GRM will include the process of screening, investigation, resolution of grievances, documentation, and reporting of grievances as the steps mentioned below.

Step 0: Raising and registering the grievances using various mechanism including through written or verbal complaints and registered in grievance logbook at the construction site.

Step 1: Grievance raised is screened by the grievance focal person and based on its severity/ jurisdiction forwarded to respective contractor/ sub-contractor for redressing

Step 2: Grievance discussed at the grievance focal person / respective contractor/ subcontractor level, and addressed

Step 3: If not addressed in stipulated period it is escalated to the Principal Employer.

Step 4: Once addressed, feedback is given/ sent to the complainant and complaint closed upon verification from the complainant

Step 5: If not satisfied, appeal to the other public authorities.

Once all possible redress has been proposed and if the complainant is still not satisfied then they should be advised of their right to legal recourse. Monthly report on the grievances received at each of the sub-project will be submitted to the PMU.

All contractors (employing more than 10 employees) are mandated under the POSH Act to set up an Internal Complaints Committee (ICC) in their organization to address complaints of sexual harassment. A complainant facing sexual harassment working in an organization that has less than 10 employees, can file a complaint to the Local Complaints Committee (LCC) setup in each district by the district administration.

10. CONTRACTOR MANAGEMENT

The compliance and documentation processes, an integral part of contractor management, can be viewed in three categories:

• Establishment compliances: These are one-time compliances required at the commencement or establishment of any process related to labor in the project;

- Periodic compliances: These are compliances which recur periodically through the life of the project, and;
- Episodic compliances: These are compliances which are only triggered by the occurrence of an event, e.g., accident at the worksite.

The Principal Employer (PMU) will oversee the implementation of contract as per the terms and clauses mentioned in the contract. The Environmental Specialist and Social Specialists at the PMU along with the E&S focal persons at the PIU level will manage and monitor the E&S performance of contractors in relation to contracted workers, focusing on compliance by contractors with their contractual agreements (obligations, representations, and warranties) including the labor management procedures. This may include periodic ESHS audits, inspections, and/or spot checks of the sub-project locations and camp sites (if created) as well as of labor management records and reports compiled by the contractors.

Contractors' labor management records and reports that may be reviewed for ESHS audits, inspections and/ or spot checks would include representative samples of employment contracts or arrangements between third-parties and contracted workers, records relating to grievances received and their resolution, reports relating to safety inspections, including fatalities and incidents and implementation of corrective actions, records relating to incidents of non-compliance with national law and the LMP, and records of drills/ training provided for contracted workers to explain occupational health and safety risks and preventive measures.

Real-time monitoring through software solution has been deployed by the PMU for escalation and flagging of non-compliance of labor laws, generation of reports for PMU, and a single point for record-keeping and convenient access. The PMU will ensure adequate trainings are provided to the contractors on the software, and that the same is installed and used by the contractors for reporting. Additionally, a checklist given in Annex 2 will be used during inspections, and/or spot checks of the sub-project locations and camp sites. Monthly reports will be prepared and shared with the PMU, which will be reflected in the quarterly reports. Incident reports will be prepared as well if circumstances require it. More details on reporting requirements are provided in the Environmental and Social Commitment Plan (ESCP).

Annex-1

Worker's Code of Conduct

This Code of Conduct applies to all staff, laborers, and other employees at the worksite or other places where the works are being carried out. It also applies to the personnel of each sub-contractor and any other personnel assisting in the execution of the project. All such persons are referred to as "Contractor's Personnel" and subject to this CoC. This code of conduct identifies the behaviour required from all contractor personnel. The project workplace must be an environment where unsafe, offensive, abusive or violent behaviour will not be tolerated and where all persons should feel comfortable raising issues or concerns without fear of retaliation.

Required Conduct

Contractor's personnel shall-

- 1. Carry out his/her duties competently and diligently.
- 2. Comply with this code of conduct and all applicable laws, regulations, and other requirements, including requirements to protect the health, safety, and well-being of other contractor's personnel and any other person.
- 3. Maintain a safe working environment including by:
 - a) Ensuring that workplaces, machinery, equipment, and process under each person's control are safe and without risk to health
 - b) Wearing required personal protective equipment
 - c) Using appropriate measures relating to chemical, physical and biological substances, and agents; and
 - d) Following applicable emergency operating procedures.
- 4. Report work situations that he/she believes are not safe or healthy and remove himself/ herself from a work situation which he/she reasonably believes presents an imminent and serious danger to his/her life or health.
- 5. Treat other people with respect, and not discriminate against specific groups such as women, people with disabilities, migrant workers, or children.
- 6. Not engage in sexual harassment, which means unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature with other Contractors or Employers Personnel
- 7. Not engage in sexual exploitation, which means any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially, or politically from the sexual exploitation of another.
- 8. Not engage in sexual abuse, which means that actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.
- 9. Complete relevant training courses that will be provided related to the environmental and social aspects of the contract, including on health and safety matters, sexual exploitation and abuse, and sexual harassment.
- 10. Report violations of this code of conduct; and
- 11. Not retaliate against any person who reports violations of this code of conduct.

Raising Concerns

If any person observes behavior that he/she believes may represent a violation of this code of conduct, or that otherwise concerns him/her, he/she raise the issue promptly to the (a) Personnel designated as a grievance redressal officer by the contractor, or the (b) Internal Complaints Committee (ICC) constituted by the contractor as mandated by Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013.

The person's identity will be kept confidential, unless reporting of allegations is mandated by the national/state law. Anonymous complaints or allegations may also be submitted and will be given all due and appropriate consideration. All reports of possible misconducts are seriously taken and will investigate and take appropriate action. There will be no retaliation against any person who raises a concern in good faith about any behaviour by this Code of Conduct. Such retaliation would be a violation of this code of conduct.

Consequences of violating the code of conduct

Any violation of this code of conduct by the contractor's personnel may result in serious consequences, up to and including termination and possible referral to legal authorities.

Annex-2

Employment, Health and Safety Conditions Monitoring Form (Checklist)

Instructions; Tick (v) if available, put a cross(X) if unavailable. Tick (v) if there's evidence, put a cross(X) if there's no evidence.

NO	Monthly Checklist: ESHS items	Available	Unavailable	Type of evidence	Comment
1	Current Employee List				
2	Valid Labor License				
3	Valid Labor Insurance				
4	Appointment letters of Office Staff				
5	Identity card of Labors along with their emergency contact number and person name and address details.				
6	Attendance Record of Labor and other Staff				
7	Wages Details of Labor and other Staff				
8	Inductions – all contractor staff				
9	Routine OHS talk – all staff				
	Reporting: Incidents accidents tracker/register.				
11	Grievance redress mechanism				
12	Rest Rooms with Raised Beds with proper ventilation and lighting.				
13	Sanitary facilities: toilets (separate for men and women), hand washing facilities, waste collection points.				
14	PPE (boots, gloves, helmets, masks, and additional equipment as required for specific tasks): branded & properly worn at all times.				
15	Awareness on SGBV and STD				
16	Valid First Aid Kit				
17	Valid Fire extinguishers				

18	The incident register		
19	Training on Health and Safety		
20	Training on Gender Sensitization		
21	Training on Labor Laws and Rights		

Annex-3

OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT PLAN

The Contractor will develop their Occupational Health and Safety Plan for the subproject for safety of all personnel working under the project and will be in line with the General Rules and Regulations on Occupational Health and Safety (OHS) in Building and Other Construction Workers (Regulation of Employment and Condition of Service) Act, 1996, Uttarakhand Building and Other Construction Workers (Regulation of Employment and Condition of Service) Rules, 2005 and World Bank Group's EHS guidelines⁴ on health and safety

1. SAFETY OF WORKERS

The Occupational Health and Safety program will aim to ensure that the workplace is safe and healthy by addressing the hazards and risks at the workplace; outlining the procedures and responsibilities for preventing, eliminating and minimizing the effects of those hazards and risks; identifying the emergency management plans for the workplace or workplaces; and, specifying how consultation, training and information are to be provided to employees at various workplaces.

1.1 OHS Risks and Hazards:

Some of the risks/hazards associated with the project construction phase include risk of increase of vector borne and other different diseases. Few of the major Occupational health and Safety risks due to different activities at different sites are as below:

S.No.	Activities	Type of Risk	Health & Safety Issues
1.	Operation of Batching Plant, material stockyards, gen set and other machineries	 Exposure to dust and gaseous emissions Accident Risks 	 Health Hazards, Respiratory Problems Injury/ fatalities
2.	Operation of vehicles	Accident Risks	 Injury/ fatalities
3.	Excavation and Earth works	Dust generation	Health Hazards, Respiratory Problems
4.	Concreting and masonry works & Abutment construction	 Exposure to concrete and cement 	Skin Problem, Respiratory Problems
5.	Paving works	Gaseous emission Heat generation	 Health hazards, Respiratory problems, Burning injury
6.	Bridge works	 Falling from height Accident risks 	 Physical Injury due to fall from height

Table 1: OHS Risks & Hazards During Bridges and Approaches Construction

⁴ Reference: https://www.ifc.org/en/insights-reports/2000/general-environmental-health-and-safety-guidelines

			 Injury due to fall c material from height
7.	Electrical works	Electrocution	• Electric shock and injury
8.	Welding	Eye injury	• Eye injury
10.	Operation of Camp site	 Unhygienic condition 	 Water borne diseases vector diseases, snak bites
11.	Waste generation	Health hazards	Health problems

Table 2: OHS Risks & Hazards During Slope Protection Works

S.No.	Activities	Type of Risk	Health & Safety Issues
1.	Trimming of uneven slopes for	Slope failure	Physical Injury/
	site preparation	Rockfall and Debris flows	fatalities
		falling of boulders,	Injury due to fall
		Slips, trips and falls	from height and
		Changing weather	rockfall,
		patterns can drastically	Health problem due
		change the conditions of a	to inhalation of dust
		slope	
2.	Rock Cutting/drilling for	Generation of stone dusts	Health problem
	preparation of construction		(Silicosis)
	material for protection walls		Physical Injury
3.	Tree Cutting on slopes	Slips, trips and falls	Physical Injury/
			fatalities
4.	Operation of Heavy	Falling of machineries due	Physical Injury/
	Machineries on slope	to unstable slope	fatalities
5.	Concrete mixture and heavy	Exposure to concrete and	Skin Problem,
	pumps	cement	Respiratory
			Problems
6.	Operation of Camp site	Unhygienic condition	Water borne
			diseases, vector
			diseases, snake bites
7.	Welding	Exposure to harmful	Eye injury
		radiation	

Table 3: OHS Risks & Hazards during Fire building/SDRF Building Works

S.No.	Activities	Type of Risk	Health & Safety Issues
1.	Concrete mixture and	Exposure to concrete	• Skin Problem,
	heavy pumps	and cement	Respiratory Problems
2.	Foundation works/column works	• Slips, trips and falls	• Physical Injury/ fatalities
3.	Operation of Camp site	 Airborne and material exposure Waste Disposal 	 Water borne diseases, vector diseases, snake bites

		Sanitation Issues	
4.	Operation of Machineries	 Improper Access Equipment related accidents risks 	Physical Injury/ fatalities
5.	Lentil	Scaffold collapseLadder fall	Physical Injury/ fatalities
6.	Electrical and Plumbing Works	ElectrocutionWater LeakageLadder fall	Electrical shock/injury
7.	Wooden works	• Generation of Saw dust	Respiratory problems,
8.	Usage of tools for preparation of doors, window, etc.	Risk to injury	Physical Injury
9.	Plastering	 Exposure to cement dust Fall of Material Scaffold collapse 	 Respiratory-lung infection, skin problems
10.	Steel Fabrication Works	Risk to injury	Physical Injury
11.	Painting	Exposure to lead based chemicals	 Skin problem, eye irritation, respiratory problems
12.	Waste generation	Unhygienic condition causing health hazard	Health problems

1.2 PPEs Requirement:

Risks to the health and safety of workers can be prevented by provision of Personal Protective Equipment (PPEs) to all workers. This will be included in the construction cost for the Contractor. Depending on the nature of work and the risks involved, contractors must provide without any cost to the workers, the following protective equipment:

- i. Helmet shall be provided to all workers, or visitors visiting the site, for protection of the head against impact or penetration of falling or flying objects.
- ii. Safety belt shall be provided to workers working at heights (more than 20 ft) such as roofing, painting, and plastering.
- iii. Safety boots shall be provided to all workers for protection of feet from impact or penetration of falling objects on feet.
- iv. Ear protecting devices shall be provided to all workers and will be used during the occurrence of extensive noise.
- v. Eye and face protection equipment shall be provided to all welders to protect againstsparks.
- vi. Respiratory protection devices shall be provided to all workers during occurrence of fumes, dusts, or toxic gas/vapor.
- vii. Safety nets shall be provided when workplaces are more than 25 feet (7.5 m)

above the ground or other surfaces where the use of ladders, scaffolds, catch platforms, temporary floors or safety belts is impractical.

- viii. Well-equipped First Aid Box with all essential first aid items will be kept and maintained atthe work site.
- ix. The Contractor will have arrangement with nearby doctor/ health centre for attending injured person due to accident.

The specific PPE requirements for each type of work are summarized below.

S.No.	Activities	Type of Risk	PPE Requirements
A. Bric	lges & Approaches		
1.	Operation of Batching Plant, material stockyards, gen set and other machineries	 Exposure to dust and gaseous emissions Accident Risks 	 Safety helmets, High visibility reflective safety jackets, Safety boot and Masks
2.	Operation of vehicles	 Accident Risks 	 Safety Helmet and High visibility reflective safety jackets
3.	Excavation and Earth works	Dust generation	 High visibility reflective safety jackets, Masks
4.	Concreting and masonry works and Abutment construction	 Exposure to concrete and cement 	 High visibility reflective safety jackets, Safety Boots, Mask
5.	Paving works	 Gaseous emission Heat generation 	 High visibility reflective safety jackets, Safety Boots, Mask
6.	Bridge works	 Falling from height Accident risks 	 High visibility reflective safety jackets, Safety helmet, safety belt (height greater than 6 ft.), safety boots
7.	Electrical works	Electrocution	 High visibility reflective safety jackets, Insulated Gloves
8.	Welding	Eye injury	 High visibility reflective safety jackets, Insulated Gloves, Eye protector
9.	Waste Handling	Health hazards	Gloves and Masks

Table 4: PPE Requirement for Bridges & Approaches Works

Table 5: PPE Requirement for Slope Protection Works

S.No. Activities	Type of Risk	PPE Requirements	
------------------	--------------	------------------	--

B. Slope Protection Works						
1.	Trimming of uneven slopes for site preparation	 Slope failure Rockfall and Debris flows falling of boulders, Slips, trips and falls Changing weather patterns can drastically change the conditions of a slope 	 Safety helmets, High visibility reflective safety jackets, Safety boot, climbing safety belt, Climbing harnesses, anchors, belay device, carabiner 			
2.	Rock Cutting/drilling for preparation of construction material for protection walls	Generation of stone dusts	 High visibility reflective safety jackets, Safety boot, Mask 			
3.	Tree Cutting on slopes	 Slips, trips and falls 	 High visibility reflective safety jackets, Safety boot, Mask 			
4.	Operation of Heavy Machineries on slope	 Falling of machineries due to unstable slope 	 High visibility reflective safety jackets, helmet, boot 			
5.	Concrete mixture and heavy pumps	Exposure to concrete and cement	 High visibility reflective safety jackets, Mask, helmet, safety boot, gloves 			
6.	Welding	Exposure to harmful radiation	 Safety Goggles, Insulated gloves 			

Table 6: PPE Requirement for Fire building/SDRF Building Works

S.No.	Activities	• Type of Risk	PPE Requirements			
C. Fire	C. Fire building/SDRF Building Works					
1.	Concrete mixture and heavy pumps	 Exposure to concrete and cement 	 High visibility reflective safety jackets, Mask, helmet, safety boot, gloves 			
2.	Foundation works/column works	 Slips, trips and falls 	 High visibility reflective safety jackets, helmet, safety boot, gloves 			
3.	Operation of Machineries	 Improper Access Equipment related accidents risks 	 High visibility reflective safety jackets, helmet, boot 			
4.	Lentil	Scaffold collapseLadder fall	 High visibility reflective safety jackets, helmet 			
5.	Electrical and Plumbing Works	ElectrocutionWater LeakageLadder fall	 High visibility reflective safety jackets, Insulated Gloves 			

6.	Wooden works	Generation of Saw dust	High visibility reflective safety jackets, Mask, Safety Goggle
7.	Usage of tools for preparation of doors, window, etc.	• Risk to injury	 High visibility reflective safety jackets, Mask, Safety Goggle
8.	Plastering	 Exposure to cement dust Fall of Material Scaffold collapse 	 High visibility reflective safety jackets, Safety Helmet, Boots
9.	Steel Fabrication Works	Risk to injury	 High visibility reflective safety jackets, Safety Helmet, Eye protector
10.	Painting	Exposure to lead based chemicals	 High visibility reflective safety jackets, Mask, gloves, Eye protector
11.	Waste generation	 Unhygienic condition causing health hazard 	 High visibility reflective safety jackets, Mask, gloves,

Other Measure to be provided during the construction works such as fall protection construction safety net, Proper Working Platform, Safe and Stable Access, Proper lighting arrangement, safe drinking water supply etc. All the OHS provision given in BOCW Act 1996 and Uttarakhand BOCW Rules, 2005 to followed for the required safety of the workforce at site.

1.3 Proposed Health Management Plan

Health management plan for people in the adjoining area of the project and workmen engaged in the project is prepared based on the information collected on the existing health status, prevailing disease and other information on the health and hygiene. The information was collected from the existing PHCs and District hospital and the health workers of the area.

There are adequate health facilities in the project affected area with primary health centres in eachblock and Community health centre.

i. Likely impacts on health due to the project

Possible impacts on health of the local resident and impacts on the workmen engaged in construction site place are detailed below.

ii. Health Impacts due to deterioration of the Work Place Ambient Air and Mitigation Measures

Due to the running of Construction Machineries and Heavy Vehicles, emissions like

SO2, Nox and dust emission due to movement of heavy vehicles and Earth Moving equipment will take place. The emissions may cause respiratory problems like asthma and other dieses.

Mitigation Measure:

- Wet excavation of exposed surfaces shall be adopted. Frequent water sprinkling shall be carried out in the project activity area.
- The heavy vehicles like trucks, excavators, diggers, scrappers, dozers etc. shall comply to specified BS standard like BS VI
- The vehicles are to be maintained routinely to avoid untoward emission
- Idle running vehicles and construction equipment should be avoided.
- All the construction vehicles will have valid PUC Certificate

iii. Anticipated Health impacts due to Water Pollution

- To accommodate the influx of labor force during construction make-shift arrangements shall be provided. The sanitation of the labor camp area is normally not kept hygienic and tidy. Thismay cause water born dieses like Typhoid, Cholera & Gastroenteritis etc.
- The localized stagnation of water in borrow pit areas is expected during construction which may spread bacteria related dieses if suitable preventive action is not taken

Mitigation Measures:

- Proper sanitation and hygiene facilities will be provided at camp site to avoid disease related to sewage pollutants.
- Antibacterial insecticides need be sprayed on accumulated water in borrow pits during rainy season
- PMUs and PIUs shall undertake various awareness program by organizing different camps where awareness on prevention and control of various diseases such as Malaria, Dengue, Cholera, Gastroenteritis, STD, AIDS, and Cancer etc. shall be focused.
- Temporary labor camps shall be provided with sewage facilities and the hygiene of the camp shall be looked onto.
- The laborers shall be providing with fuel gas for cooking gas
- Construction site will have health/first aid facility including adequate supply of sterilized dressing materials and appliances and suitable transport to take the injured person to the nearest hospital.
- Drinking Water used by the construction workers in the project or the people in the adjoiningarea whether form ground water

Controlling Water borne diseases

- Development of sanitation facilities in the project area
- Disposal of solid waste and sewage from various sources at appropriate sites located at suitable distance from drinking water sources. The sites can be selected in consultation with the local administration
- Provision of onsite chlorination facilities at appropriate locations in the area.
- Regular monitoring and surveillance of drinking water.

iv. Health Impacts due to improper Solid Waste Disposal:

Solid Wastes if not disposed off or dumped properly may cause air or water pollution which willaffect health and hygiene of the residents in the area.

Waste Management Plan

- People or labor staying during construction and operation phase of the project site may generate wastes from different sources. Wastes are the Primary problems during the construction phase of the project which may affect the human life as well as the constructionprocess and the environment.
- After completion of the project, the site will be covered with vegetation. Landscaping will be done in open areas with gentle gradient in the land surfaces so as to avoid soil erosion.
- Water drainage system for draining the surface runoff will be provided. Proper storage of the construction materials will be ensured.
- Waste collection site to be maintained for the collection of the construction waste. Constructionwaste will be dumped in the designated area.
- Paint brushes, roller, excess paints and containers of paints will be disposed off as per Hazardous waste management Rule 2016. Similarly, solid waste generated in the site due to human activities will collected and disposed properly.
- Construction and Demolition Waste shall be done as per Construction and demolition Waste Rules 2016.

v. Health Check-up Facilities:

A health care system will be maintained by the Contractor at construction camp for routine checkupof workers and avoidance of spread of any communicable disease. Periodical medical check-up willbe ensured for all the workers. The Contractor will tie up with local health centre for first-aid, medicalcheck-ups and treatment of workers and dealing with Epidemic conditions. However, the frequencyof medical check-ups may vary under some epidemic situation like COVID-19, malaria, dengue or any other as per directions and guidance issued by the Health Department/District Administration.

The Contractor will always be maintained readily available First Aid kit bearing all necessary first aid items at all the work sites including camp, plant site and other activity areas. The Contractor will engage trained first aider who will be always available at their site to response any injury or casesrequiring first aid.

The first aid box shall contain the following.

- 6 small sterilized dressings
- 3 medium size sterilized dressings
- 3 large size sterilized dressings
- 3 large sterilized burns dressings
- 1 (30 ml) bottle containing 2 % alcoholic solution of iodine

- 1 (30 ml) bottle containing salvolatile
- 1 snakebite lancet
- 1 (30g) bottle of potassium permanganate crystals
- 1 pair scissors
- Ointment for burns
- A bottle of suitable surgical antiseptic solution

The Contractor will strictly follow the Standard Operational Procedures (SOPs) issues by the Government of India and State Government from time to time for prevention of spread of COVID-19 epidemic. Contractor shall arrange periodic testing of his workforce against COVID 19 virus and create awareness among workers on minimizing chances of infection due to this virus.

Contractor shall also coordinate with the concerned officials of the district healthcare services responsible for COVID 19 Control and other epidemic diseases such as malaria, dengue, etc.

2. Institutional Arrangement for Implementation of OHS Plan

2.1 Safety Committee

The Contractor will form Safety Committee who will regularly monitor the EHS issues and incidences, analyses the incidences and act for corrective measures for avoiding such incidences in future.

2.2 EHS Training:

The Contractor will organize proper training on environment, health and safety issues related to different activities involve in the road construction activities. The Contractor will conduct induction training of EHS to all the workers prior to engagement in the construction activities. The Contractorwill do pep talks and tool box talks on day to day basis prior to start of the work briefing about thesafety and environmental risks involve in particular activities and measures to be taken during works.

2.3 HIV/ AIDS Awareness Training

The Contractor will organize training programme on HIV/AIDS and STDs for migrant labour and surrounding community on quarterly basis through approved agency. The Contractor will Coordinate with State AIDS control society to collect dissemination material. In general training should include:

- (i) Talk on the HIV/AIDS and STDs by the approved Agency briefing about these diseases, myths about that, preventive measures and treatment.
- (ii) Poster display, distribution of leaflets, banners etc.
- (iii) Distribution of condoms, establishment of Condoms
- (iv) Assistance in getting tested for HIV/AIDS and STDs.

The Contractor will ensure that the training is attended by not less than 90% of all workers includingmigrant and local labours employed by the main contractor or sub-contractors as well as willing persons from local community.

2.4 OHS Register:

The Contractor will maintain the OHS register maintaining the record of first-Aid, incidence report, near miss recordings, Safety Committee meeting, corrective action taken, medical reports, recordsof training, etc.