

Resettlement Plan

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**SRI: Greater Colombo Water and Wastewater
Management Improvement Investment Program
(Project 2 Component 1: Nonrevenue Water
Reduction in Colombo City)**

Prepared by the National Water Supply and Drainage Board, Government of Sri Lanka for the Asian Development Bank.

CURRENCY EQUIVALENTS

(as of 10 June 2013)

Currency Unit	–	Sri Lanka rupees (SLRs)
SLRs1.00	=	\$0.007915
\$1.00	=	SLRs. 126.35

ABBREVIATIONS

ADB	-	Asian Development Bank
CMC	-	Colombo Municipal Council
DNI	-	distribution network improvement
EMP	-	Environmental Management Plan
FGD	-	focus group discussions
GCWWMP	-	Greater Colombo Water and Wastewater Management Improvement Program
GN	-	Grama Niladhari
GRM	-	grievance redress mechanism
IR	-	Involuntary resettlement
lpcd	-	liters per capita per day
MASC	-	Management Advisory and Supervision Consultant
MWSD	-	Ministry of Water Supply and Drainage
NWSDB	-	National Water Supply and Drainage Board
NIRP	-	National Involuntary Resettlement Policy
NRW	-	Non Revenue Water
NGO	-	nongovernmental organization
PMU	-	Project Management Unit
PPTA	-	Project Preparatory Technical Assistance
PRDA	-	Provincial Road Development Authority
PRO	-	Public Relations Officer
PSC	-	Program Steering Committee
RDA	-	Road Development Authority
ROW	-	right of way
RP	-	Resettlement Plan
SPS	-	Safeguard Policy Statement

WEIGHTS AND MEASURES

Km	–	kilometer
m ²	–	square meter
Mm	–	millimeter
m ³	–	micrograms per cubic meter

NOTES

- (i) The fiscal year (FY) of the Government of India and its agencies begins on 1 April and ends on 31 March. “FY” before a calendar year denotes the year in which the fiscal year ends, e.g., FY2011 begins on 1 April 2011 and ends on 31 March 2012.
- (ii) In this report, "\$" refers to US dollars.

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EXECUTIVE SUMMARY

1. **Background.** The Greater Colombo Water and Wastewater Management Improvement Investment Program (the Investment Program) will complement the efforts of the Government of Sri Lanka to improve water supply and wastewater services to the residents of Greater Colombo. It will also assist the Government in introducing institutional and regulatory reforms in the sector.
2. **Program Description.** The Greater Colombo Water and Wastewater Management Improvement Program aims at delivering better urban water supply and sewerage services in an effective and efficient manner in Greater Colombo area. The impact of the Investment Program will be improved quality of life for the residents of Greater Colombo. The expected outcome will be improved water and wastewater service and management efficiency in Greater Colombo. The expected outputs are (i) rehabilitated water supply network and reduced non-revenue water (NRW) in Colombo City; (ii) improved wastewater services in Greater Colombo; (iii) institutionally strengthened, reformed and capacity built service providers; and (iv) Investment Program managed and implemented successfully. The investment program is to be implemented from 2013 to 2020.
3. **Project 2 Investments.** Under tranche 2 water supply project (project 2) in southern areas of Colombo city, the physical works planned are: (i) improved water supply system through laying of 282 km of pipes for rehabilitation and replacement of distribution system in the project 2 areas; (ii) replacement and transfer of 44,500 service connections with polyethylene pipes; (iii) replacement of 14,800 defective water meters. Installation of DMA with electromagnetic and ultrasonic flow meters; (iv) replacement of priority (high water usage) customer meters (15mm to 100mm) with Automatic Meter Reading (AMR) meters; (v) installation of new electromagnetic flow meters, valves, and special fittings for formation of district metered areas (DMAs); and (vi) construction of NRW training facilities and an area engineer's office. **Appendix 1** in the RP provides specific details on the components under project 2 in southern areas of Colombo city. The proposed project 2 is expected to result in: (i) rehabilitation of distribution network, which will result in substantial reduction in water losses in the project area; (ii) proper accounting for use of water and system losses by installing metered connections.
4. **Resettlement Plan.** This document is the Resettlement Plan (RP) prepared for the project 2 component – NRW reduction in Colombo city, based on a feasibility level study and will be updated based on detailed design during project implementation. This RP is prepared based on ADB's Safeguard Policy Statement 2009, and Government of Sri Lanka laws. ADB and NWSDB will review and clear the revised RP during detailed design, prior to commencement of works.
5. **Scope of Land Acquisition and Resettlement in project 2 (Colombo city).** There is no land acquisition under the proposed project 2 component for NRW reduction in southern Colombo city. Involuntary resettlement impacts are limited to potential temporary disruption to income during linear pipe laying works. Impacts of distribution network improvement / rehabilitation (282 km) are limited to (i) temporary disruption of on-street parking and business activities (display of wares on ROW), and (ii) temporary shifting of 6902 vendors and hawkers during construction, for a period of less than 7 days each. Government land has been identified for two proposed buildings, one belonging to NWSDB and another to Colombo Municipal Council (CMC).

6. **Categorisation.** Proposed project 2 in Colombo city is classified as Category B in accordance with ADB's Safeguard Policy Statement (SPS). ADB's SPS covers both temporary and permanent impacts to both titled and non-titled persons, and includes both physical and economic displacement.

7. **Resettlement Budget and Financing Plan.** The resettlement cost for project 2 is estimated at USD 52,990, of which USD 39,793 which will be met from counterpart (government) funds.

I. PROJECT DESCRIPTION

A. Introduction

1. The Greater Colombo Water and Wastewater Management Improvement Program (the Investment Program) aims at delivering better urban water supply and sewerage services in an effective and efficient manner in Greater Colombo area. The impact of the Investment Program will be improved quality of life for the residents of Greater Colombo. The expected outcome will be improved water and wastewater service and management efficiency in Greater Colombo. The investment program is to be implemented from 2013 to 2020.¹ The executing agency for water supply projects is the Ministry of Water Supply and Drainage (MWSD), while that for sewerage is the Ministry of Local Government and Provincial Council (MLGPC). The implementing agencies are National Water Supply and Drainage Board (NWSDB) for water supply projects, and Colombo Municipal Corporation as well as NWSDB for wastewater projects in their respective areas of jurisdiction in Greater Colombo. Project Management Units (PMUs) will be established in each implementing agency.

2. The Investment Program uses a Mutitranchise Financing Facility (MFF) and is to be delivered through four projects. The MFF and the PPTA for project 1 was approved by ADB in October 2012.

3. The Project 2 investments aim to deliver better urban water supply services in an effective and efficient manner by reducing NRW in Colombo City. The project will involve both physical network rehabilitation, and institutional and management enhancement to reduce the NRW. The proposed project is expected to have the following benefits: (i) rehabilitation of distribution network that will result in substantial reduction in water losses in the project area, from the current 49% losses to 20% losses; and (ii) proper accounting for use of water and system losses by installation of metered connections.

4. Project 2 Output 1 comprises three major components: Component 1, water supply system improvement and NRW reduction in the southern part of Colombo City;² and Component 2, rehabilitation of the Ambatale Treatment Plant and provision of new transmission pipeline. The third component located outside of Colombo city, that is a provision of water supply in 6 towns East of Colombo. This Resettlement Plan is prepared for Component 1 of project 2. For Components 2 and 3, separate RPs are prepared.

B. Proposed Project 2 Components

5. The potential involuntary resettlement impacts of the investments under Project 2 have been identified and assessed as part of the project preparatory process. An assessment using ADB's Involuntary Resettlement Categorisation Checklist for Water Supply was conducted and results of the assessment show that the project is unlikely to cause significant permanent adverse impacts. Thus, this Resettlement Plan (RP) has been prepared in accordance to ADB SPS's requirements for IR Category B project.

¹ The project will also contribute to achieving Millennium Development Goal 7, Target 10, which calls for halving, by 2015, the proportion of people without access to safe drinking water and improved sanitation.

² Project 2 covers Colombo-03, Colombo-04, Colombo-05, Colombo-06, Colombo-07 and Colombo-08, comprising localities/areas that are not covered under project 1.

6. Under Project 2, Output 1 and Component 1, the following types of physical works are envisaged: (i) improved water supply system through laying of 242 km of pipes for rehabilitation and replacement of distribution system in the project 2 areas; (ii) replacement and transfer of 44,500 service connections with polyethylene pipes; (iii) replacement of 14,800 defective water meters. Installation of DMA with electromagnetic and ultrasonic flow meters; (iv) replacement of priority (high water usage) customer meters (15mm to 100mm) with Automatic Meter Reading (AMR) meters; (v) installation of new electromagnetic flow meters, valves, and special fittings for formation of district metered areas (DMAs); and (vi) construction of NRW Training Division buildings and an Area Engineer's Office.

7. NWSDB, in consultation with stakeholders, has prioritized 15 Km² of area in South Colombo³ for project 2: Narahenpita, Cinnamon Garden, Bambalapitiya, Havelock Town and Wellawatte covered within the wards of Colombo 4, 5, 6 and parts of Colombo 3 (Colpetty), Colombo 7 and 8 (Cinnamon Gardens and Gothamipura), which were not covered under Project 1. Areas rehabilitated under Project 1 includes 22 km² area that falls within the wards of Colombo 1, 2, 9, 10, 11, 12, 13, 14, 15 and parts of Colombo 3, 7 and 8.

8. **Other components and building.** The proposed buildings for the Manpower Development and Training Division will be located in Telawala and the Area Engineer Office will be located at Nagaswatta Road junction.⁴

9. Updating of GIS for the pipe network, installation of new electromagnetic flow meters, valves and special fittings for formation of district metered areas (DMAs) and for the NRW monitoring and remote control system, institutional, operational and implementation capability building of NWSDB, establishment of leakage control units and delegation of asset management and city water supply operations to Regional Service Centre (RSC)-West and Central of NWSDB and a public awareness campaign are other project components that will not have any implications for involuntary resettlement.

10. Measures to avoid and minimize involuntary resettlement impacts include identification of government land (land leased by NWSDB from the Urban Development Authority at Telawala, and land owned by Colombo Municipal Council at Nagaswatta Road Junction) for the proposed buildings, in order to ensure that land acquisition and related IR impacts are avoided. On the basis of PPTA Report, anticipated impacts are temporary, and will have impacts on hawkers and vendors and residents during laying of networks. Traffic management during construction shall be undertaken as per available guidelines and best practice. Timely information will be provided to the public about potential negative impacts and mitigation measures including time taken to repair any damage to individual water connections during pipe replacement work, alternate arrangements for secure parking and grievance redress procedures, etc., prior to start of project implementation. Provision of alternate arrangements for essential affected facilities such as standposts for water supply and community toilets must be made to ensure less inconvenience to the public during the period of construction.

³ Colombo city extends over an area of 37 square kilometers and its existing water supply pipe network is close to 1,000 kilometers.

⁴ A dedicated NRW training yard is proposed under project 2 to enable effective management of NRW. Proposed new facilities on NWSDB land at Telawala include a training yard, hostel facilities (25 rooms) for trainees and a plumber workshop, with a total built-up area of 2000 sq m. Renovation of the existing training centre (1100 sq m) and auditorium (580 sq m) is also proposed; these will obviously not have any resettlement implications.

C. Objectives of Resettlement Plan

11. This Resettlement Plan (RP) is prepared for the project 2 component pertaining to NRW reduction in areas south of Colombo city as part of the Greater Colombo Water and Wastewater Management Improvement Program. It addresses the IR impacts of the proposed project and is consistent with the Resettlement Framework for the investment program and ADB's SPS 2009.

12. This RP has been prepared in accordance with ADB SPS requirements for IR Category B projects and to meet the following objectives:

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

II. SCOPE OF LAND ACQUISITION AND RESETTLEMENT

13. For physical works related to proposed improvements in areas in the southern part of Colombo city for NRW reduction or pipe laying works, de-scaling and relining works, replacement of spaghetti pipelines in tenement gardens, pipe reinforcement works, metering, provision of valves and special fittings under project 2. Involuntary resettlement impacts of this sub-component are limited to potential temporary losses to income during construction due to linear works in front of shops which may restrict access to businesses. The proposed new buildings for the Manpower Development and Training Division will be at NWSDB's existing site/facility at Telawala. NWSDB has identified a Colombo Municipal Council (CMC) / government-owned site at Nagaswatta Road Junction for the proposed area engineer's office. The regional setting of the project area is depicted in **Figure 1** and proposed water supply improvements under project 2 are depicted in **Figure 2**.

14. Temporary impacts of distribution network improvement will potentially be on mobile hawkers with push carts (~3,193 APs), vendors with moveable structures made of bamboo/wood and glass /metal sheet structures or movable equipment/tools of trade (~3709

APs). All such APs use the ROW for commercial purposes. In addition, temporary impacts on businesses using road ROW for display of wares (~7,466 businesses), temporary disruption of parking for vehicle owners in residential areas (~3,202 vehicle owners) and commercial areas (~9,719 vehicle operators), are anticipated. Potential temporary impacts include disruption in water supply during construction, impacts on access, disruption of traffic, impact on on-street parking, possible damage to individual house connections, and economic impacts on informal sector and/or registered vendors, security guards at parking lots etc. **Appendix 3** provides the methodology for transect walks and results. Estimated resettlement impacts, i.e., the number of affected persons based on extrapolations from the transect walks are presented in **Appendix 3. Table 3.2**. Affected hawkers and vendors will be assisted by contractors to move to the other side of the road and returning after construction is completed. Where they are not required to shift, access will be ensured by the contractor. The construction period will be minimized and is estimated to be less than 7 days per section of work.

Table 1: Summary of Resettlement Impacts

S. No.	Details	No. of APs
1	Permanent or temporary land acquisition (ha)	None ^a
2	Affected structures	None ^b
3	Parking disruption (residential areas) - No. of affected vehicle owners	3202
4	Parking disruption (commercial areas) - No. of vehicles	9719
5	Display disruption for businesses using road ROW for display of wares ^c	7466
6	Total temporarily affected hawkers and vendors	6902
6.1	Temporarily affected mobile hawkers	3193
6.2	Temporarily affected vendors with movable structures/equipment	3709
	Temporarily affected BPL APs	423
	Temporarily affected Female APs + BPL (multiple vulnerabilities)	329
	Temporarily affected elderly + BPL (multiple vulnerabilities)	329
7	Affected immovable businesses	None ^d
8	Temporarily affected employees of businesses	None

^a This is subject to receipt of permission by NWSDB from Colombo Municipal Council (CMC) to construct its proposed office building by sharing the CMC's site at Nagaswatta Road Junction. Should permission not granted, IR impacts will need to be reassessed.

^b Through transect walks and discussion with the project engineer reveal that full closure of roads will be required only for roads of 3 m width or less. All roads with commercial activity in Project 2 area have widths >3 m. Works ≤3 m wide roads in residential areas (in total, estimated to be 2273 m in length) must be undertaken at night to avoid access disruptions.

^c Display disruptions are not anticipated to affect livelihoods.

^d Transect walks and extensive reconnaissance surveys in the project area do not reveal the need for full closure of roads in commercial areas, hence, no major impacts on businesses and their employees are anticipated. Night works on roads in residential areas that are likely to require full closure (3 m wide or less) and provision of protected parking for affected vehicle owners will minimize impacts. Figure 3 and Table 3 provide details of roads that may require full closure.

15. The component requiring land includes the proposed building for the Area Engineer's Office. NWSDB has identified CMC/government land at Nagaswatta Road Junction and is in the process of obtaining permission to share the site with CMC. NWSDB plans to construct CMC's new office building on a part of the site in lieu of such permission. If permission is received for the identified site, private land acquisition will not be necessary. The preliminary scope of land acquisition and resettlement identified in this RP will be updated during detailed design.

16. Installation of valves and construction of valve chambers are not anticipated to require land acquisition as they will be undertaken within existing ROWs, however, they may cause temporary disruptions. Through implementation of the Environmental Management Plan (EMP), contractors are required to maintain access to shops to avoid and limit the disturbance to the extent possible, and mitigation measures incorporated into their contracts and monitored by the

construction supervision consultants.⁵ Temporary economic impacts to businesses along the distribution network improvement routes will be avoided and/or mitigated through night works,⁶ good traffic management planning and implementation,⁷ and maintaining access to shops during the construction period as outlined in the EMP.⁸ Temporarily affected mobile hawkers and vendors, including those with stalls and temporary structures or those with movable equipment/tools, will be assisted by contractors in moving to alternative locations during the brief period of construction and allowed to return once construction in the area is declared complete, usually within 7 days. However, in the event that there are income losses for persons with movable structures/equipment during shifting (anticipated to be for a maximum period of three days in most cases), compensation for lost income will be made for the time of disruption. Additional assistance will be provided to vulnerable APs. The contractors and NWSDB PMU, with the assistance of the project NGO in case of tenement gardens will be required to provide at least 30 days' advance notice, followed by a reminder 7 days and then 24 hours prior to construction.

Table 2: Summary of Land Acquisition and Resettlement Impacts by Contract Package

S. No.	Proposed Improvements	Length / No.	Unit	IR Impacts Status
1	Pipe laying works	282	Km	Temporary impacts during construction on vendors, parking, temporary disruption in water supply. Closure of <3m wide roads in residential areas; temporary access disruption.
2	Fixing of new sluice valves			No anticipated LA impacts; temporary disruptions possible during construction of valve chambers
	Fixing of tee connections from new network to existing branch system	2200	Sets	Temporary impacts during construction; temporary disruption in water supply
	Supply and installation of Fire Hydrants and Chambers	1,765	No.	Temporary impacts during construction
3	Transfer of service connections; replacement of old water meters	59,275	No.	No anticipated LA impacts; temporary disruption in water supply during transfer of service connections
4	Rehabilitation of Pump Houses	37	No.	Temporary impacts during construction; disruptions in water supply; access to pump operators' quarters.
5a	New construction and renovation of existing facilities at Manpower Development and Training Division, Telawala	-	-	No land acquisition anticipated; new construction and renovation proposed at NWSDB Training Division site
5b	Construction of Area Engineer's Office, Nagaswatta Road Junction	-	-	CMC land identified; permission required from CMC to construct; arrangements to be made for CMC workers to operate from other sites
5c	Renovation of meter testing facility, Polwatta	-	-	No land acquisition or IR impacts anticipated; facility exists on NWSDB land.

⁵ The Management Advisory and Supervision Consultant (MASC) will be responsible for construction supervision for water supply projects.

⁶ Night work is recommended in dense, commercial areas. Adequate lighting needs to be provided by the Contractor to avoid such damage/losses.

⁷ Traffic management plans will be developed by the Contractor (approved by the Management Advisory and Supervision Consultant) for road segments in collaboration with the Road Development Authority (RDA), Provincial Road Development Authority (PRDA) and Colombo Municipal Council (CMC) during the implementation period. In preparation of traffic management plan for implementation, it is necessary to follow the manuals prepared by RDA and CMC for Safety on Road Works.

⁸ To ensure disturbance is minimized to the extent possible, contractors will be required to expedite works in business areas, provide pedestrian planks across trenches, manage traffic flows, conduct works at night, etc.

Figure 1: Location map of Colombo and proposed Project 2 areas

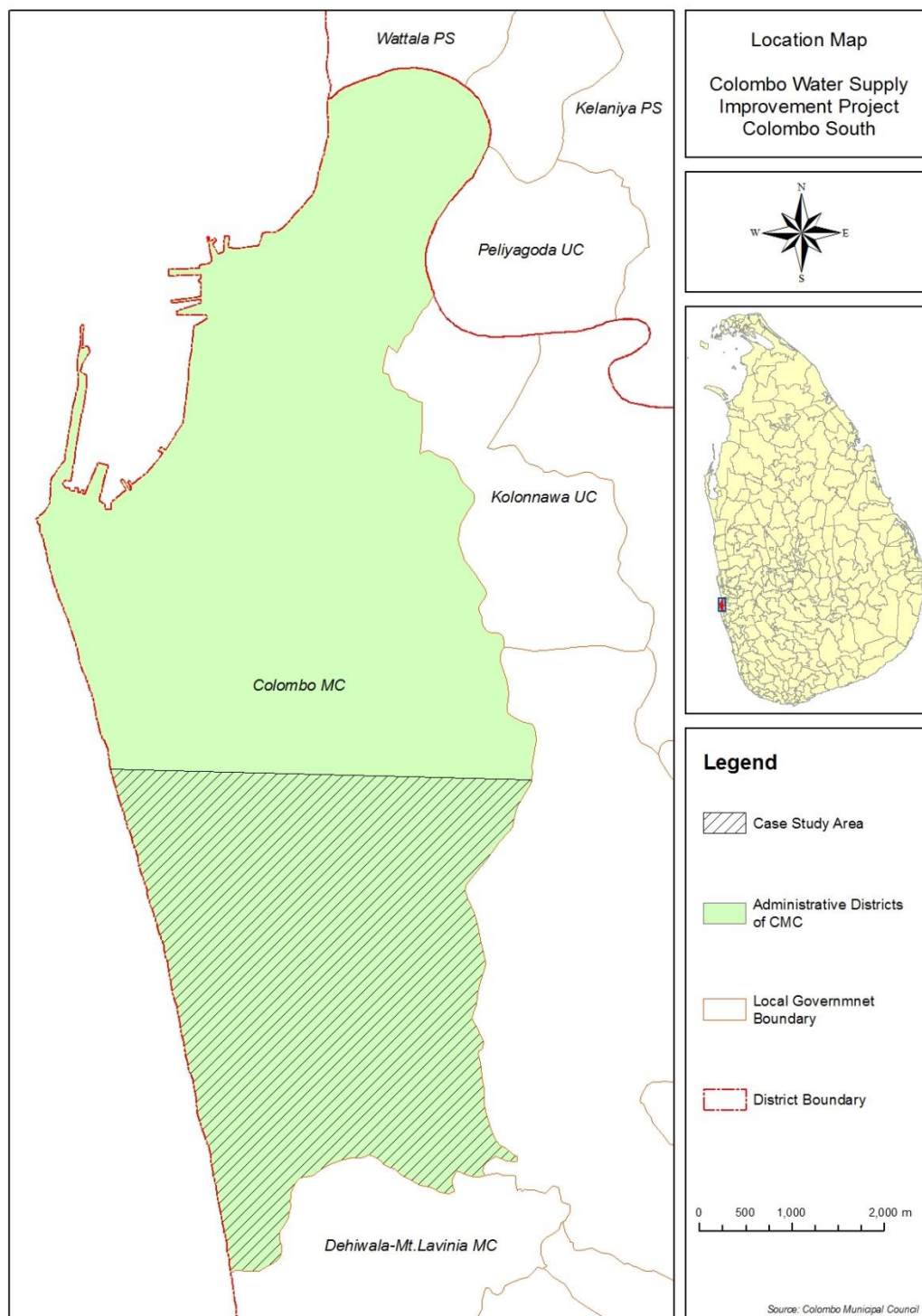


Figure 2: Map depicting proposed improvement to water supply network under project 2

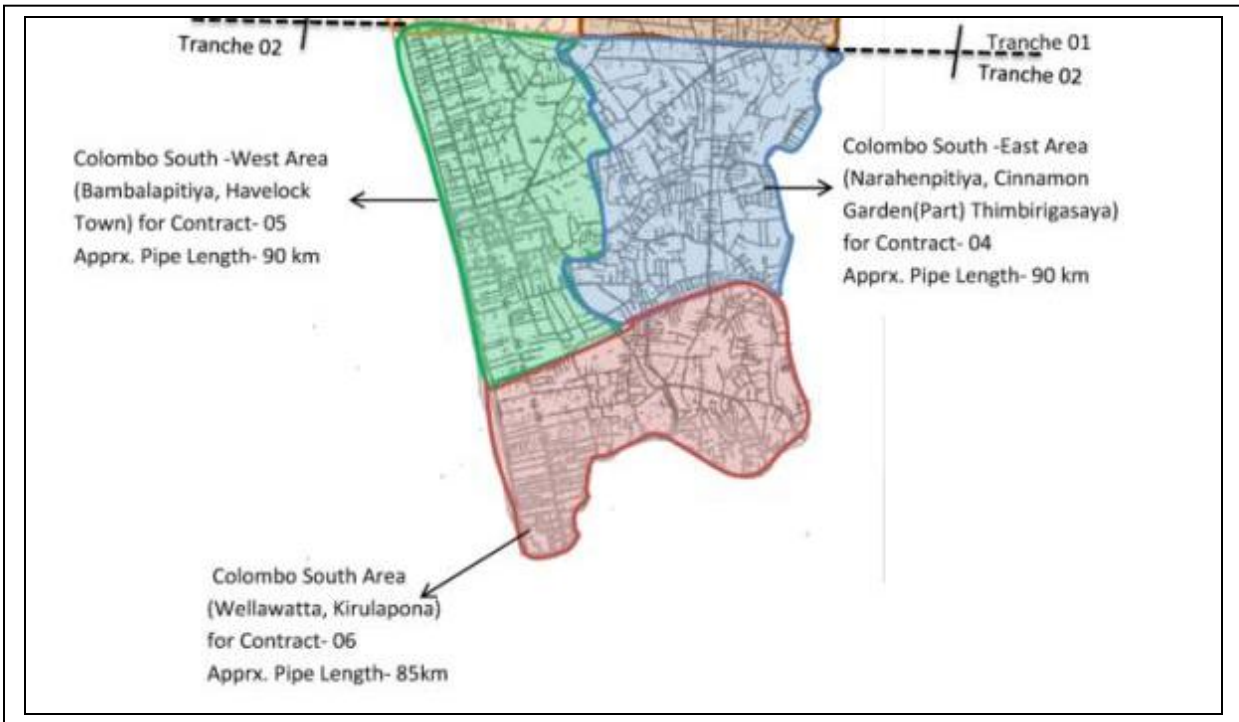


Figure 3: Map depicting potential roads for full closure in project 2 areas in South Colombo city

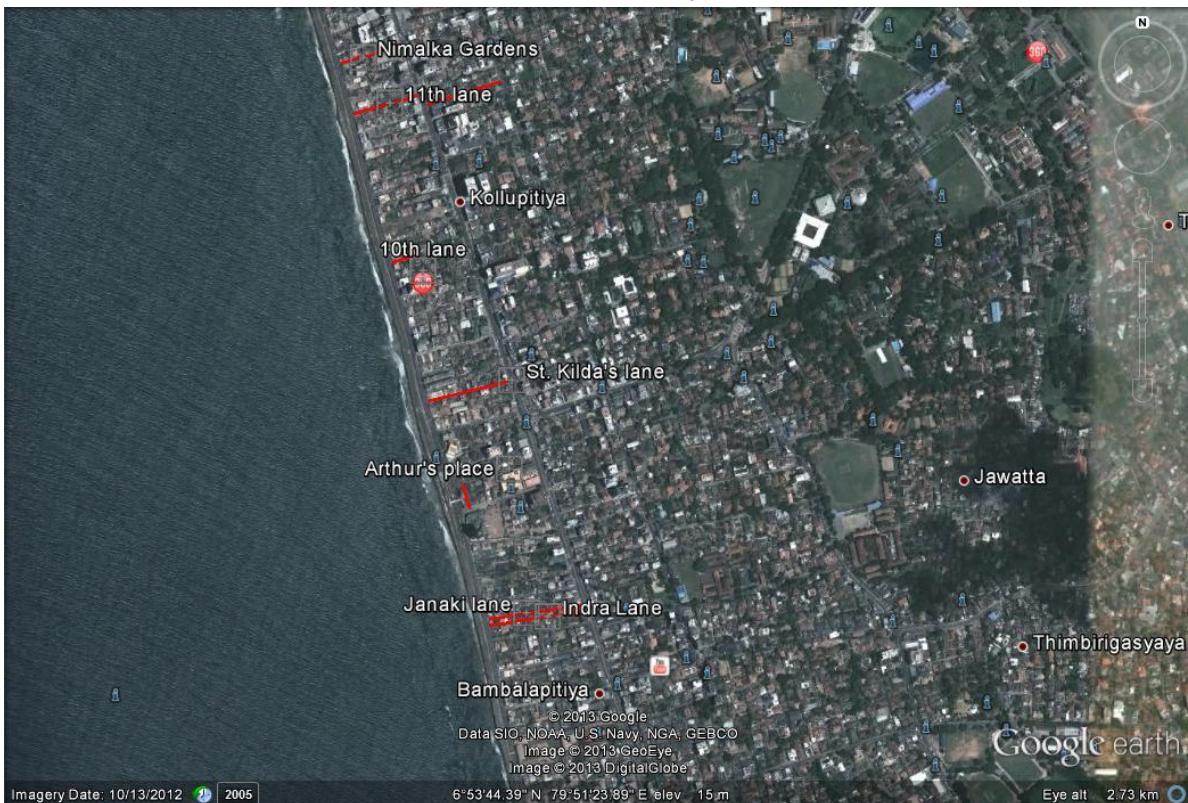


Table 3: Details of < 3m wide roads in project 2 area

S. No.	Road	Length (est.)
1	Nimalka gardens	175 m
2	11 th Lane	190 m
3	10 th lane	81 m
4	St. Kilda's lane	220 m
5	Arthur's place	63 m
6	Indra Lane	255 m
7	Janaki Lane	249 m
8	47 th lane	100 m
9	Frazer Avenue	263 m
10	Albert Place	457 m
11	Elliot place	220 m
	Total length	2273 m

17. The following mitigation measures are proposed to avoid and/or reduce the impacts to businesses during linear pipe works: (i) provision of advance notice to community, (ii) conducting awareness campaigns through a media partner and the project NGO, (iii) maintaining access by providing planks and leaving spaces to avoid disturbance to residents and businesses, (iv) managing traffic flows as per the traffic management plan prepared by the contractor in coordination with local authorities and communities, (v) conducting 65% works at night and 35% during the day, (vi) limiting the amount of time of open trenches and (vii) completing works quickly where large numbers of businesses are located, (viii) avoiding full street closure to the extent possible, (ix) providing employment opportunity to the affected persons (APs), giving priority to employment of vulnerable APs, (x) placing telephone hotlines in signs on visible areas, (xi) making the community fully aware of the grievance redress mechanism, (xii) providing contact information of the NWSDB PMU and NWSDB NRW and Area Engineer's offices, and (xiii) providing assistance to vendors and hawkers in shifting to alternative nearby locations.

III. SOCIOECONOMIC INFORMATION AND PROFILE

A. Profile of Affected Persons

18. To estimate the temporary impacts from an estimated 282 km of distribution network improvement in areas in South Colombo under the proposed project 2, four transect walks of 300 meter (m) each were conducted.⁹

19. Of the proposed components, laying of pipes for replacement or reinforcement of distribution system is anticipated to have temporary impacts on hawkers and vendors. Transect walks enable an estimation of potential impacts on 3709 hawkers and vendors with movable structures/equipment who work in high density areas in the proposed project 2 areas in south Colombo. The rapid survey of businesses undertaken as part of the transect walks reveal that 11.4% of affected persons comprise Below Poverty Line (BPL) people, and 9.5% comprise persons with multiple vulnerabilities (4.76% women who are also BPL, and 4.76% elderly who

⁹ Transect walks were conducted in four 300-meter sections namely Dematagoda Road, Veluvana Road, Reservoir Road and Church Street, representing high density commercial, high density residential, medium and low density roads respectively. In the absence of detailed designs, inputs were obtained from the project preparation engineer to assess the extent of impacts likely due to the proposed works. Refer Appendix 3 for the methodology/questionnaire used during transect walks and a summary of findings.

are also BPL) . Daily. Profits of affected persons were found to range from Rs. 200-3000, with an average daily profit of Rs. 872. Other potential temporary impacts include disruption in water supply during construction, impacts on access, disruption of traffic, impact on on-street parking, possible damage to individual house connections, and economic impacts on informal sector vendors, security guards at parking lots etc. No permanent land acquisition / displacement of population is envisaged due to this activity as the pipes (and valves) are proposed to be laid along existing road Rights of Way.

IV. INFORMATION DISCLOSURE, CONSULTATION, AND PARTICIPATION

A. Public Consultation

20. As part of the PPTA, extensive consultations were undertaken with key stakeholders in line with ADB's requirements pertaining to environment and social considerations. Tools used for consultation were stakeholder workshops and meetings, interviews, structured questionnaires, and Focus Group Discussions (FGD). During project preparation 5 Focus Group Discussions (FGD) were held with the community covering 42 participants, of which around 60% were women. Household surveys covered a sample of 361 households in project 2 areas of Colombo City, of which 53% were from tenement gardens. The FGDs and surveys helped identify the key concerns of stakeholders related to the project: whether metered standposts would be affordable and whether damaged roads, common facilities and properties, if any would be restored/rehabilitated. Business surveys were conducted in high, medium and low density streets of Colombo City, covering 54 business owners and employees and potential impacts and mitigation measures discussed. Meetings with NGOs were held and their ability and willingness to participate in community mobilization activities proposed under the project, discussed. Meetings with NWSDB staff from the NRW/Randiya Unit, which focuses on provision of individual connections to the poor, and the Public Relations Office of RSC-WC of NWSDB, which is responsible for information disclosure in the project area were also held. These consultations helped identify the felt needs/concerns of the communities related to the project, priorities of relevant stakeholders as well as assess local NGO capabilities. **Appendix 4** provides a summary of public consultations.

B. Information Disclosure

21. To provide for more transparency in planning and for further active involvement of displaced persons and other stakeholders, project information will be disseminated through disclosure of the translated versions of the resettlement planning documents in Sinhala and Tamil as well as English. The information will also be made available at public places including the offices of MWSD, NWSDB main office, NWSDB PMU office, NRW office, concerned Area Engineer's office, GND offices in the project 2 area and CMC and Divisional Commissioner's offices. Project sign boards will be put up at strategic locations in the project area and project information will be provided to all affected persons. **Appendix 5** provides a draft leaflet for project information disclosure. A copy of the Resettlement Plan will be disclosed on the ADB, NWSDB and project related websites and will also be available from the NWSDB PMU on request.

C. Continued Consultation and Participation

22. The NWSDB PMU will extend and expand the consultation and disclosure process during the detailed design stage and the construction period. A media agency will be recruited to ensure public awareness during project implementation. An NGO will be recruited for

community mobilisation formation of user groups in tenement gardens, scaling up of the Randiya programme of NWSDB aimed at motivation of low income communities to adopt individual connections or metered public standposts and monitoring of the Gender Action Plan. The NGO will ensure that key messages of the awareness campaign including information on potential benefits such as employment and participation opportunities in the project reach the poorest and most vulnerable households.

23. A consultation and participation plan is prepared for the project; ongoing consultation activities will be coordinated by the NWSDB PMU, Management Advisory and Supervision Consultant (MASC) and project NGO to ensure that the communities are fully aware of project activities at all stages of construction. Community groups such as user groups and Traders' Associations will be consulted and made aware of the civil works and project activities prior to construction.

V. GRIEVANCE REDRESS MECHANISM

24. A project-specific grievance redress mechanism (GRM) will be established to receive, evaluate and facilitate the resolution of AP's concerns, complaints and grievances about the social and environmental performance at the level of the project. The GRM will aim to provide a time-bound and transparent mechanism to voice and resolve social and environmental concerns linked to the project.

25. **Common GRM.** A common GRM will be in place for social, environmental or any other grievances related to the project; the RP and IEE will follow the grievance redress mechanism described below, which is developed in consultation with key stakeholders. The GRM will provide an accessible and trusted platform for receiving and facilitating resolution of affected persons' grievances related to the project. The multi-tier GRM for the project is outlined below, each tier having time-bound schedules and with responsible persons identified to address grievances and seek appropriate persons' advice at each stage, as required.

26. The city-wide Public Awareness Campaign will ensure that awareness on grievance redress procedures is generated through the campaign, using electronic, radio and print media. The implementing NGO will ensure that poor and vulnerable households are made aware of grievance redress procedures and entitlements, and will help ensure that their grievances are addressed.

27. APs will have the flexibility of conveying grievances/suggestions by dropping grievance redress/suggestion forms in complaints/suggestion boxes or through telephone hotlines at accessible locations, e-mail, post, or writing in a complaints register in the NWSDB Area Engineer's Office (**Appendix 6** has the Sample Grievance Registration Form).¹⁰ Careful documentation of the name of the complainant, date of receipt of the complaint, address/contact details of the person, location of the problem area and how the problem was resolved, will be undertaken. The NWSDB PMU Social Development/Safeguards Officer will be responsible for timely grievance redressal on environmental and social safeguards issues and responsible for registration of grievances, related disclosure and communication with the aggrieved party.¹¹

¹⁰ Those dropping complaints/suggestions in the complaint box must be provided a reference number for the complaint to enable follow-up and ensure that the grievance is registered and redressed.

¹¹ NWSDB will have a PMU and PIU.

28. **Grievance Redress Process.** In case of grievances that are immediate and urgent in the perception of the complainant, the contractor and supervision personnel from the NWSDB PMU/MASC on site will provide the most easily accessible contact for quick resolution of grievances. Contact phone numbers and names of the PMU Social Development/Safeguards Officer, MASC safeguards specialists,¹² and contractor site engineer will be posted at all constructions sites in visible locations. In tenement gardens, the point of contact will be the contractor/supervision personnel or the project NGO personnel that will be involved in community mobilization and awareness generation among such communities. All grievances (including those made verbally to project personnel and those dropped in the suggestion box) need to be logged and their resolution noted. The contractors and supervision personnel of PMU/MASC and/or the project NGO can immediately resolve issues on site in consultation with each other and will be required to do so within 7 days of receipt of a complaint/grievance. If required, the advice of the Area Engineer and/or the concerned Grama Niladhari (GN) officer as well as advice/assistance of NWSDB PMU Social Development/Safeguards Officer and MASC safeguards specialists will be sought, for resolution of the issue by any one or all of them jointly.

29. All grievances that cannot be redressed within seven days at field level will be jointly reviewed by PMU Social Development/Safeguards Officer and MASC safeguards specialists, who will attempt to resolve them within 15 days, enlisting the assistance of the local representative of CEA and other concerned stakeholders, as required.

30. The Project Director will refer major issues to the Grievance Redress Committee (GRC), which will resolve them within 30 days, and very major issues that are beyond the jurisdictional authority of the GRC or those that have the potential to cause/aggravate social divides/conflicts or cause environmental damage, directly to the Program Steering Committee (PSC). Grievances which the GRC is unable to resolve within 30 days will also be referred to the PSC. All paperwork (details of grievances) needs to be completed by the PMU Social Development/Safeguards Officer, facilitated by the project Public Relations Officer, and circulated to the respective GRC and PSC members, at least a week in advance of the scheduled meetings. All decisions taken by the GRC and PSC will be communicated to the APs by the project Public Relations Officer.

31. Despite the project GRM, an aggrieved person shall have access to the country's legal system at any stage, and accessing the country's legal system can run parallel to accessing the GRM and is not dependent on the negative outcome of the GRM.

32. **Composition of GRC and PSC.** The Grievance Redress Committee (GRC) for the project will have the following as members: Divisional Secretary as Chairperson, Project Director, NWSDB PMU Social Development/Safeguards Officer as the Convener, Public Relations Officer (NWSDB PMU), Director of the project NGO, concerned NWSDB Deputy General Manager (DGM) for the Western Central Region and Assistant General Manager (AGM) in charge of NRW, the Area Engineer, NWSDB, representatives of APs, Community Based Organizations (CBOs), and eminent citizens. The GRC must have at least two women members.

33. The local representative of CEA and representatives of Road Development Authority (RDA), Provincial Road Development Authority (PRDA), Colombo Municipal Council (CMC) and

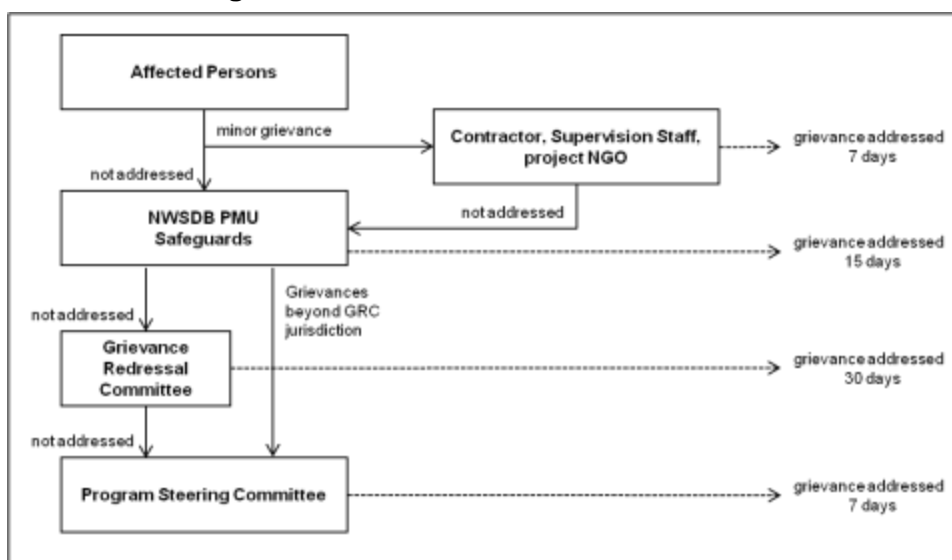
¹² MASC Environment Specialist and Resettlement Specialist.

concerned GN Officers may be invited to GRC meetings as and when required. Presence of at least five members including one AP/civil society representative is necessary for resolutions to be passed.

34. The Program Steering Committee for its responsibilities related to grievance redress will have the following as members: Ministry of Finance and Planning (MOFP), with the Secretary to Treasury (ST) as the Chairperson, the Secretary of the MWSD, the Secretary of MLGPC and senior officials from Department of External Resources (DER) and Department of National Planning (DNP), NWSDB and CMC. Representatives of concerned government ministries such as Ministry of Land and Land Development, Health etc. may be invited to participate as and when required.

35. **Record-keeping.** Records will be kept by the NWSDB PMU of all grievances received including contact details of complainant, date the complaint was received, nature of grievance, agreed corrective actions and the date these were effected, and final outcome. The number of grievances recorded and resolved and the outcomes will be displayed/disclosed in the offices of the NWSDB PMU, NWSDB's NRW Office, Area Engineer's Office and web, as well as reported in monitoring reports submitted to ADB on semi-annual basis.

Figure 4: Grievance Redress Process



36. **Periodic Review and Documentation of Lessons Learned.** The Social Development / Safeguards Officer will periodically review the functioning of the GRM and record information on the effectiveness of the mechanism, especially on the project's ability to prevent and address grievances. Lessons learnt shall be shared with the CEA and Ministry of Land Development as required under the National Involuntary Resettlement Policy (NIRP), 2001.

37. **Costs.** All costs involved in resolving the complaints (meetings, consultations, communication and reporting / information dissemination) related to water supply projects will be borne by the NWSDB PMU. Grievance redress costs (essentially meeting costs, local travel, communication and documentation/record-keeping costs) are indicated in this RP. These costs are part of NWSDB PMU cost estimates.

VI. POLICY AND LEGAL FRAMEWORK

38. **ADB Safeguards Policy Statement (2009).** The three important elements of the ADB's Safeguards Policy Statement (SPS) are (i) compensation to replace lost assets, livelihood, and income; (ii) assistance for relocation, including provision of relocation sites with appropriate facilities and services; and (iii) assistance for rehabilitation to achieve at least the same standard of living with the project as without it. In addition, the absence of legal title to land should not be a bar to compensation. ADB SPS requires compensation prior to actual income loss. In cases where the contractors know which streets will be closed and for how long, compensation is to be paid out to the affected businesses prior to construction.

39. **Government of Sri Lanka Laws and Policies.** As there is no land acquisition, the Land Acquisition Act (LAA), 1950 is not applicable for the project.¹³ The Government of Sri Lanka's National Involuntary Resettlement Policy (NIRP), 2001 addresses IR impacts not covered by the LAA and will be applicable. However, the application of the NIRP to the Project based on its scope, which applies "to all development-induced land acquisition or recovery possession by the State" and its definition of involuntary resettlement as "unavoidable displacement of people arising from development projects that creates the need for rebuilding their livelihoods, incomes and asset bases in another location" does not provide necessary guidance on compensation for temporary impacts during construction, which are the largest envisaged impacts due to the project. **Appendix 7** provides a comparison of NIRP and ADB SPS policy principles and provides a gap analysis.

40. The Entitlement Matrix for the project is designed keeping in mind the key principles of the NIRP and additional principles from ADB's SPS 2009 which are not clearly covered by NIRP: (1) Early screening to identify impacts and risks and determine the scope of resettlement planning through a population record or census that serves as an eligibility cut-off date, preferably at project identification stage; (2) Need for 'meaningful consultations' with vulnerable and disadvantaged APs; (3) explicitly recognise the rights of APs without legal title; (4) include a description of how the disclosure process is to be undertaken; and (5) include full resettlement costs in the presentation of project costs and benefits.¹⁴

¹³The Land Acquisition Act (LAA), 1950, which has been amended from time to time, governs acquisition of land for public purposes in Sri Lanka. The LAA provides compensation for land, structures and crops.

¹⁴ NIRP principles include: (1) involuntary resettlement should be avoided or reduced as much as possible by reviewing alternatives to the project as well as alternatives within the project; (2) where involuntary resettlement is unavoidable, affected people should be assisted to re-establish themselves and improve their quality of life; (3) gender equality and equity should be ensured; (4) APs to be fully involved in selection of relocation sites; (5) replacement land should be an option for compensation in case of loss of land; (6) compensation for loss of land, structures, other assets and income should be based on full replacement cost, including transaction costs; (7) resettlement should be planned and implemented with full participation of provincial and local authorities; (8) affected persons to be integrated into host communities using participatory measures; (9) CPRs and community and public services should be provided to APs, (10) resettlement should be planned as a development activity for the APs; (11) APs who do not have documented title to land should receive just treatment; (12) Vulnerable groups should be identified and given appropriate assistance to substantially improve their living standards; and (12) project executing agencies should bear the full costs of compensation and resettlement.

VII. ENTITLEMENTS, ASSISTANCE AND BENEFITS

A. Eligibility

41. Detailed Measurement Surveys (DMS) and Inventory of Losses Surveys after detailed designs are completed will determine the total number of temporarily affected persons and enable an inventory of losses.¹⁵ Eligibility for compensation is limited by a cut-off date as set for the project at the start of the DMS of APs prior to commencement of civil works in sections ready for construction. The MASC will conduct DMS and inventory of loss survey of APs along the relevant sections where transect walks reveal any impacts (**Appendix 3**). The date of DMS survey will serve as the cut-off date for eligibility.

42. Hawkers or businesses who settle in the affected areas after the cut-off date will not be eligible for compensation. They will, however be given sufficient advance notice (at least 30 days), and assisted to vacate premises and dismantle affected structures prior to project implementation. Contractors will provide shifting assistance to hawkers / vendors requiring help.

B. Entitlements

43. The entitlement matrix (**Table 4**) summarizes the types of possible losses and corresponding entitlements in accordance with ADB policies, based on the principle of 'replacement value'. In addition to the estimated potential temporary impacts, the entitlement matrix safeguards unforeseen damages to structures that may take place during construction and any temporary losses to shops and businesses that may occur as a result of full closure of roads that may be necessary/known during construction as well as other unforeseen impacts.

44. Procedures for assistance and compensation to affected persons. The following steps are envisaged:

- (i) **Step 1.** Conduct public awareness and information dissemination prior to construction works (through PRO, Awareness Generation and Media Consultants (AGMC) and NGO)
- (ii) **Step 2.** The contractor(s) to identify roads which will experience full / partial closure and/or disruptions in parking/display of wares/traffic and the estimated period of closure/disruption.
- (iii) **Step 3:** The MASC Resettlement Specialist will then (a) conduct a transect walk jointly with the NWSDB PMU Social Development and Safeguards Officer (SDSO) and contractor; and in case of tenement gardens, will involve the project NGO, to identify potential impacts based on detailed designs and final alignments; (b) conduct a detailed measurement and inventory of losses survey and identify shops/businesses and daily income along sections where impacts / disruptions are likely, (c) update the Resettlement Plan (identifying potential losses), and (d) send the updated Resettlement Plan to ADB for review and approval after detailed designs and surveys are complete.

¹⁵ The Detailed Measurement Survey (DMS) will establish the number of affected persons (AP)/businesses along each proposed pipe/road stretch with potential impacts. It will collect only essential information for determining entitlements. A rapid survey will be conducted using an instrument similar to the one used for business surveys during transect walks at the PPTA stage (refer Appendix 3 for a survey form template for the DMS). The DMS will gather personal information on the AP, type of business, type of structure, number of persons employed, income and profits per day, vulnerability, if any of the owner or employees, and will record the type of distress likely.

- (iv) **Step 4:** The NWSDB PMU Social Development/Safeguards Officer will distribute identity cards to affected persons, including those facing income losses and those requiring assistance, and vulnerable APs.
- (v) **Step 5:** Affected persons can then access the compensation / assistance / allowances provided from PMU.
- (vi) **Step 6:** NWSDB PMU to pay compensation/assistance/allowances prior to displacement in sections ready for construction (as required). Project Director to closely monitor these activities.
- (vii) **Step 7:** NWSDB PMU to keep accounts, record of affected persons, amounts paid, and receipts record for accounting purposes.

C. Vendor Assistance

45. Vendors requiring temporary shifting assistance during construction period will be notified in advance and assisted to shift to alternative locations to continue their trade with limited disruption. They will be allowed to return to their original location after construction is declared complete. Vendor assistance will involve the following steps:

- (i) **Step 1.** Identification of impacted vendors through detailed measurement and inventory of losses surveys based on detailed design, by Resettlement Specialist of MASC.
- (ii) **Step 2.** Notify vendors at least 30 days in advance, followed by a reminder 7 days and again, 24 hours in advance. Consult with local Vendor Associations, if they exist.
- (iii) **Step 3.** Identify alternative locations nearby for affected vendors to continue business.
- (iv) **Step 4.** Assistance by contractor to shift to new location. If income disruption expected during this time, compensation of lost income to be paid by NWSDB PMU.
- (v) **Step 5.** Assistance by contractor to return to original location after construction works complete.

D. Project Benefits

46. Project 2 will support the delivery of improved water supply service to about 205,278 people living in southern areas of Colombo City. Access to improved water supply is expected to improve the health status of households (especially children and the elderly) and reduce medical expenditure on water and vector-borne diseases.¹⁶ The project will support NWSDB to expand water services in its service area where temporarily affected businesses and residents get long-term benefits. The project is estimated to benefit approximately 2,050 very poor people, and about 16,300 low income group households comprising approximately 67,700 people or 33% of the total population living within the project 2 area.¹⁷ The project will also employ local people (with different skill levels) during and after implementation.

¹⁶ Baseline Survey results reveal that incidence of water-borne disease is 8.5 per 1000 population.

¹⁷ The baseline survey conducted for the PPTA indicates that 1% of the population comprises very poor households with income less than Rs. 5000 per month: 0.4% are Below Poverty Line (BPL) households with incomes below the 2013 official poverty line of Rs. 3797 for Colombo, while 0.6% are presently above poverty line. Households in both categories are vulnerable. About 4.4% of the sample comprises low income households, with income ranging between Rs. 5000-10,000.

E. Vulnerable APs

47. In case of any income losses, vulnerable APs shall be provided additional 25% compensation over and above actual income loss or minimum wage rate, whichever is higher.¹⁸ Vulnerable households shall be given priority for employment as project-related unskilled labour during and after implementation.¹⁹ There will be equal pay for equal work for men and women for all unskilled labour under the project.

48. Post project implementation, tariff structuring shall ensure identification and protection of vulnerable households through affordable lifeline tariffs at less than 5% of average monthly household income for the lowest income group.

¹⁸ Affected persons (AP) from woman-headed households, Below Poverty Line households (Samruddhi beneficiaries) or households with very low income, households where head of household works as a casual/daily wage labour, household residing in a temporary/makeshift or semi-permanent house, and households where an elderly person is Chief Wage Earner, are identified as vulnerable in the socio-economic context of project 2 areas of Colombo City. In addition, APs from households headed by disabled persons, if found during DMS, will also be considered vulnerable.

¹⁹ Baseline socio-economic surveys reveal that 3.1% of presently unconnected households have low affordability levels coupled with high vulnerability and will be unable to bear connection/user charges for individual connections, and a large proportion of these may require subsidies for access to metered standposts as well. Another ~50% of unconnected sample households have low affordability levels, coupled with moderate or low vulnerability. The surveys reveal the presence of 20% woman-headed households in project 2 areas in Colombo city, and 25% of households receiving Samruddhi benefits/households officially recognized as BPL households with extremely low affordability levels, who would need special protection measures as well. At an overall level, 7% of sample households reported receiving Samruddhi benefits. (Baseline Survey, GCWWMIP, 2012)

Table 4: Entitlement Matrix

S No.	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsibility
1	Temporary disruption of livelihood		(i) Legal titleholders, licenced vendors (ii) tenants, leaseholders; and (iii) persons with non-recognisable claims (non-licenced hawkers, vendors, employees of shops etc.)	<p>Assistance to mobile vendors/hawkers to temporarily shift for continued economic activity.^a</p> <ul style="list-style-type: none"> For construction activities involving unavoidable livelihood disruption / income loss, compensation for lost income at replacement value or a transitional allowance for the period of disruption whichever is greater.^b 	<p>30 days advance notice regarding construction activities, including duration and type of disruption, followed by reminders 7 days and 24 hours in advance. Contractor's actions to ensure there is no income/access loss consistent with the IEE.^c Mobile hawkers and vendors will be assisted by contractor in moving to alternative locations during the period of construction. Alternative temporary sites to continue economic activity to be identified. The date of the census survey shall serve as the cut-off date. Shop owners will be encouraged to maintain any employees if shifted. If employees are not kept as a result of a shift, then they will be entitled to compensation for lost income as per the RP.</p>	<p>MASC RS / NWSDB PMU SDO will determine income lost.</p> <p>Contractor will perform actions to minimize income/access loss. Contractor will be responsible for notices and reminders. MASC RS and EMS to monitor contractor action.</p>
2	Temporary loss of secure parking space	Loss of private parking space or access to secure parking lots	Residents and business owners losing access to private parking space, and vehicle owners losing access to secure parking lots in road	Where Contractor's actions cannot address the loss, APs will be provided secure parking space (sufficiently cordoned and provided with security guards).	<p>30 days advance notice regarding construction activities, including duration and type of disruption, followed by reminders 7 days and 24 hours in advance. Identification of adequate space for an alternate</p>	<p>NWSDB PMU ES and Contractor will identify secure parking space. MASC RS will support NWSDB PMU SDO in identifying APs through survey and PMU SDO will monitor issuance of ID cards.</p>

S No.	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsibility
			sections that will be closed during construction.		parking facility. APs will be determined by the PMU through survey and will be provided with identity cards which will allow access to the temporary parking facility. The temporary parking facility will clearly identify ID numbers eligible to park, based on the road section where construction is being undertaken.	
3	Damage caused to government or private property and assets during construction	Partial or total damage to permanent structures	(i) Legal titleholders, (ii) tenants, leaseholders; and (iii) persons with non-recognisable claims (informal settlers)	Replacement cost of restoring to original or better condition.	Extreme care should be taken by the contractors to avoid damaging any properties or assets during construction. Compensation for the losses will be the responsibility of the Contractor, as a part of the contract.	Contractor responsible for compensation; NWSDB PMU SDSO to monitor. MASC RS and project NGO (in case of tenement gardens) to assist PMU SDSO.
4	Temporary loss of structures in right of way	Temporary or semi-permanent structures or stalls and other assets	(i) Legal titleholders, licenced vendors (ii) tenants, leaseholders; and (iii) persons with non-recognisable claims (informal settlers, non-licenced hawkers, vendors etc.)	Replacement value of the structure and other assets (or part of the structure and other assets, if remainder is viable). 30 days advance notice, followed by reminders 1 week and 24 hours in advance; Shifting assistance from and back to the location; Right to salvage materials from structure and other assets; Additional compensation for vulnerable households.	Temporary shifting for 5-7 days during period of construction. Vulnerable households will be identified during the census.	Extent of impacts to be verified by MASC RS, PMU SDSO and Contractor's Safeguards Supervisor (SS) through a Detailed Measurement Survey (100% survey of AHs/businesses) to determine assistance, NWSDB PMU SDSO and contractor SS will identify alternative site; contractor will help in shifting. Contractor will be responsible for timely reminders.
5	Temporary disruption in water supply service	Reduced water supply hours	Residents and business owners	Alternative sources of water should be made available during the construction period.	The time lag between the construction of new system and transfer from the old system should be	Contractor /PMU

S No.	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsibility
					minimized.	
6	Damage to water supply connections during pipe replacement/ rehabilitation. ^d	Damaged water connection pipes to property	Residents and business owners	Immediate replacement and restoration of connection.	Care should be taken by the contractors to avoid damage to connections during construction. Cost of replacement of connection will be borne by the contractor.	Contractor to restore or replace affected connections. NWSDB PMU to monitor.
7	Loss of/access to community structures and facilities	Community structures including service roads, inner roads, places of worship, playgrounds footpaths/trails, culverts, water points/connections, toilets, etc.	Local community	Restoration of affected community buildings and structures to at least previous condition, or replacement or restoration of access to similar facilities in areas identified in consultation with affected communities and relevant authorities.	Extreme care should be taken by the contractors to avoid damage to any properties during construction. Compensation for the losses will be borne by the contractor.	Contractor to restore or replace affected community structures and facilities and co-ordinate with other government agencies for restoration of utilities. NWSDB PMU to monitor and facilitate co-ordination with other government agencies.
8	Impacts on vulnerable APs ^e	All impacts	Vulnerable APs	Livelihood. In case of income losses, vulnerable households to be provided additional 25% compensation over and above actual loss or minimum wage rate, whichever is higher. Vulnerable households will be given priority in project construction employment (unskilled labour).	Vulnerable households will be identified during the census.	MASC RS will assist the NWSDB PMU SDO to verify the extent of impacts through DMS surveys / 100% surveys of AHs and businesses to determine assistance, verify and identify vulnerable households and provide all information related to project-related employment opportunities. MASC RS will also determine need for social preparation activities to enable full and meaningful participation of vulnerable APs in project activities at community/local level.
9	Any other loss not identified	-	(i) Legal titleholders, (ii) tenants, leaseholders; and	Unanticipated involuntary impacts will be documented and mitigated based on principles in the Resettlement Framework prepared	-	MASC RS will assist the NWSDB PMU SDO to ascertain the nature and extent of such loss and finalize the entitlements in line with the

S No.	Type of Loss	Application	Definition of Entitled Person	Compensation Policy	Implementation Issues	Responsibility
			(iii) persons with non-recognisable claims (informal settlers, hawkers, vendors etc.)	for the project.		principles in the Resettlement Framework prepared for the project.

^a For example assistance to shift to the other side of the road where there is no construction.

^b All businesses identified in the project-impacted areas (sections ready for construction) on the cut-off date will be entitled to compensation for their lost income based on the tax record or, in its absence, comparable rates from registered businesses of the same type with tax records, or for shops not qualifying under these categories (hawkers, vendors, etc.), the option of using the actual income based on survey followed by a verification of the income data based on comparable incomes in the project area.

^c This includes: leaving spaces for access between mounds of soil, providing walkways and metal sheets to maintain access across trenches for people and vehicles where required, increased workforces to finish work in areas with impacts on access, timing of works to reduce disruption during business hours, phased construction schedule and working one segment at a time and one side of the road at a time.

^d Experience with previous projects indicates that damage to water connections/utilities mostly occurs when night works are undertaken. However, night works are recommended with adequate lighting for high density road stretches with a large number of shops/businesses, including informal businesses and/or high density residential development and those with heavy traffic during the day, to avoid/minimise access disruptions and associated livelihood losses.

^e Woman-headed households, Below Poverty Line households or households with very low income, households where chief wage earner works as a casual labour or is elderly, and household residing in a temporary or semi-permanent house, are identified as vulnerable households in the socio-economic context of project 2 areas of Colombo City.

VIII. INCOME RESTORATION AND REHABILITATION

49. Incomes of affected persons will be compensated based on replacement value of income losses or a transitional allowance for the period of disruption, whichever is greater, as detailed in the entitlement matrix. Transect walks and business surveys reveal that a majority (~55-60% sample businesses on selected transects) earn an average daily profit or salary of USD 3.3 per day.²⁰ Considering the period of disruption to be three persondays per head on average, the unit rate of USD 10 per person and additional compensation of USD 2.5 for vulnerable persons is arrived at. Preferential employment in project-related work will be offered to local people, with priority to vulnerable persons.

50. APs will be provided 30 days advance notice, followed by a reminder 1 week before construction and again, 1 day before construction to ensure none or minimal disruption in livelihood. If required, they will also be assisted to temporarily shift for continued economic activity; for example, they will be assisted to shift to the other side of the road where there is no construction and then assisted to shift back, post-construction. Ensuring there is no income or access loss during sub-project construction is the responsibility of contractors. Consistent with the Environmental Management Plan, contractors will ensure access is maintained by making sure that space is left for access between mounds of soil, walkways and metal sheets provided to maintain access across trenches for people and vehicles where required, increased workforce is available to finish work in areas with impacts on access, timing of works is such that it reduces disruption during business hours and periods of peak business activities e.g. festivals, phased construction schedule is followed and work undertaken on one segment at a time and one side of a road at a time. Sixty five percent night time works and 35% day time works are proposed to avoid/minimise disturbance to businesses and traffic. Compensation and assistance to APs must be provided prior to start of civil works.

IX. RESETTLEMENT BUDGET AND FINANCING PLAN

51. The resettlement cost estimate for project 2 (**Table 5**) includes provisional sums for potential income losses to vendors and additional allowances (25% over and above actual income losses or minimum wage rate, whichever is higher) for vulnerable APs. These costs will be borne by counterpart funds.

52. Mitigation measures for households and businesses affected by temporary disruptions such as information disclosure, public consultations, parking disruptions and businesses that will be unable to display their wares on existing ROWs alone, personnel costs, cost of training safeguards personnel of NWSDB PMU, Contractor and NGO, survey costs (as required), and contingencies to cover damages to government /private property, if any are covered under other budget heads (**Table 6**).

²⁰ Minimum wage rate in Sri Lanka for unskilled workers is approximately USD 2.4 per day. The business surveys reveal that reported profit/salary per day varies across different types of vendors. For the purpose of computation of unit rate at this stage, the average daily profit/salary reported by a majority of vendors on representative transects was considered; this average was found to be higher than the prescribed minimum wage rate for unskilled workers in Sri Lanka and was therefore found acceptable.

Table 5: Indicative Cost for RP Implementation

Resettlement Costs	No.	Unit cost (USD)	Total (USD)	Remarks
RP updation (excluding personnel cost for PMU and MASC)				Personnel cost to be included in PMU and MASC budget. MASC Resettlement Specialist's inputs budgeted for 18 months @ USD 5500 per month. Of the total inputs, 2 months may be considered for RP updation..
Surveys of APs and consultations during RP updation		Lumpsum	6,000	
Consultations with APs during construction (related to IR issues)			-	USD 6500 budgeted under Consultation and Participation Plan (CPP) for consultation with APs; total budget of USD 36,450 for consultations
Provisional sum for potential income losses for vendors	3709	10	37,090	Refer Chapter VII for details of unit cost computation
Provisional sum for additional allowances for vulnerable APs	1080	2.5	2,700	Additional allowances of 25% for vulnerable APs are considered.
Grievance redress (GRM meeting costs, local travel, documentation, record-keeping, disclosure)		Lumpsum	7,200	PMU cost
Total			52,990	
Contingencies (physical and price)		10%	5299	Included in overall project cost

Table 6: Sources of funds for Resettlement Plan Implementation

Component	Description	Number	Source of Funds
Disruption Minimisation Measures			
Pre construction information: flyers, signages, TV/radio clips	Information on likely disruptions, period of disruption, grievance redress processes and points of contact, time taken for grievance redress etc.	As required	Covered under Awareness Campaign cost
Public consultations and information disclosure	Consultations during pre-construction and construction phase.	As required	Covered under implementation of Consultation and Participation Plan for project
Parking security (cordon for parking area and security personnel)	Mitigation of parking disruptions caused to households and businesses through provision of secure parking spaces	As required	Covered under Contractor's budget for RP implementation
Assistance for shifting of wares, if required by affected shopkeepers and businesses displaying wares on ROWs	Mitigation of disruption caused in disallowing display of wares on ROW during construction period	As required	Covered under Contractor's budget for RP implementation
Implementation Costs			
PMU Safeguards personnel costs	To oversee/undertake RP implementation	60 personmonths	To be borne by government
MASC Resettlement Specialist costs	To support/advise PMU in RP implementation	48 personmonths	Covered under MASC budget
Contractor Social Safeguards personnel costs	RP updation at detailed design stage	48 personmonths	Covered under Contractor's budget
Grievance Redress	Redressal of grievances	As required	Included in PMU costs

Component	Description	Number	Source of Funds
Committee sessions			
Providing access to commercial establishments and properties; traffic management measures	Providing access, in case of access disruptions, to affected properties. Safety signboards, delineators, traffic regulation equipments, flagman, temporary diversions, etc	As required	Covered under Contractor's cost
Training			
Orientation of PMU, contractor and NGO safeguards personnel	Orientation on safeguards implementation, gender and vulnerability sensitisation	As required	Covered under MASC training budget
Training in resettlement implementation and monitoring for PMU, Contractor and NGO personnel	Behavioural training, project safeguards policy, entitlements, compensation, mitigation measures	Two intensive sessions	Covered under MASC training budget
Surveys			
Detailed Measurement Surveys/Census of Businesses and Inventory of Loss Surveys, as required	Before start of construction works	Wherever required throughout project area	Covered under MASC budget
Monitoring surveys of APs	To check on entitlements received and satisfaction levels, during and after RP implementation	Wherever required throughout project area	Covered under MASC costs
Restoration Costs			
Restoration costs for damage during construction, if any	Damage caused to private or government property during construction	Wherever required	Covered under third party insurance of Contractors/Contractors' budgets
Compensation for income loss			
Compensation for loss of livelihood/replacement of lost income	Temporary impacts on hawkers and vendors during construction	As required	Counterpart finance
Additional compensation to vulnerable APs for income losses	Temporary impacts during construction	As required	Counterpart finance

X. INSTITUTIONAL ARRANGEMENTS

53. **Executing and Implementing Agencies.** The executing agency (EA) for water supply projects is the Ministry of Water Supply and Drainage (MWSD) and the EA for sewerage is the Ministry of Local Government and Provincial Council (MLGPC). The implementing agencies are NWSDB and CMC respectively. Project Management Units (PMUs) will be established within each of the two implementing agencies.

54. **The Program Steering Committee (PSC).** At the central level, a program steering committee (PSC) will be established at the Ministry of Finance and Planning (MOFP), with the Secretary to Treasury (ST) as the chairperson, the Secretary of MWSD, the Secretary of MLGPC and senior officials from the Department of External Resources (DER) and Department of National Planning (DNP), the NWSDB, and CMC, as members. The PSC will be the apex decision making body for the Investment Program. The PSC will meet quarterly, review progress, provide policy guidance, resolve inter-agency issues that impede Program progress

and advice on necessary action, particularly with respect to scope and cost, and the reform agenda of the Investment Program, and facilitate inter-agency coordination. The PSC will be responsible for: (i) providing sanctions and approvals under the Investment Program; (ii) making all important decisions on the Investment Program implementation; and (iii) ensuring timely Investment Program implementation.

55. For water supply investments, MWSD will be the executing agency and NWSDB will be the implementing agency. The NWSDB PMU in the RSC WC has been established and headed by a full-time project director. The NWSDB PMU will be responsible for: (i) preparation and implementation of the Investment Program; (ii) management of loan consultants; (iii) disbursement of funds and recover loan repayments; and (iv) conduct overall Investment Program monitoring and evaluation, including preparation of necessary Investment Program reports, with the help of loan consultants.

56. The NWSDB PMU will also be responsible for implementing and monitoring safeguards compliance activities, public relations activities, gender mainstreaming activities, and community participation activities. The NWSDB PMU will have a Social Development and Safeguards Officer, who will be responsible for safeguards functions. The responsibility of the NWSDB PMU SDSO is to: (i) ensure the Resettlement Plan is updated by the MASC Resettlement Specialist based on detailed designs; (ii) engage in ongoing meaningful consultations with stakeholders and affected persons particularly through implementation of the consultation and participation plan; (iii) participate in joint field visits with the MASC RS and Contractor/NGO personnel to identify potential impacts; (iv) implement the RP with support from consultant; (v) provide timely payments to affected persons before displacement occurs in sections ready for construction; (vi) ensure all grievances are addressed and when necessary activate the Grievance Redress Committee; (vii) take corrective actions where necessary, (viii) conduct monitoring of the resettlement process to ensure smooth implementation, (ix) consolidate monthly reports by Resettlement Specialist in MASC and submit semi-annual monitoring reports to ADB; and (x) ensure timely disclosure of the RP. The monitoring reports should record the progress of resettlement activities and any compliance issues, grievances, and corrective actions taken.

57. **Management Advisory and Supervision Consultant.** A Management Advisory and Supervision Consultant will be engaged to work closely with and advise the NWSDB PMU, to build capacity on safeguards and to be involved in project supervision of social and environmental safeguards implementation. The MASC will have two safeguards related staff, an Environmental Management Specialist and a Resettlement Specialist (RS). The MASC RS will: (i) Assist the PMU SDSO in coordinating all social safeguards issues and ensuring that the project complies with Government and ADB social safeguards policies; (ii) Update the draft RP based on detailed designs and submit to NWSDB PMU and ADB for review and clearance prior to construction; (iii) Organize orientation and training for MWSD, NWSDB officials involved in project implementation on ADB / Sri Lankan policy, and RP preparation process; (iv) Organize training of contractors preparing them on RP implementation and mitigation measures; (v) Undertake field inspections on sections ready for construction with NWSDB PMU SDSO, Contractor's Safeguards Supervisor, and project NGO for roads in tenement gardens, to determine nature of potential impacts / necessity for Detailed Measurement Surveys (DMS). Conduct DMS surveys prior to displacement in sections ready for construction, determine number of APs/vulnerable APs and coordinate valuation and finalization of compensation with the NWSDB PMU SDSO; (vi) Oversee implementation of the RP by the Contractors to ensure that it is consistent with Government and ADB policies, as agreed in the Resettlement Plan for the project by the Government and ADB; (vii) Work in close coordination with/provide guidance to the project nongovernmental organization on safeguards related work in tenement gardens;

(viii) Support the NWSDB PMU in grievance redress in a timely manner as per the RP; (ix) Undertake internal monitoring of RP implementation; review monthly progress reports on social safeguards by contractors; oversee monitoring surveys of APs and submit monthly social safeguards monitoring reports to the NWSDB PMU. Provide necessary guidance to the NWSDB PMU SDSO in monitoring and reporting on social safeguards to ADB. **Appendix 8** provides the outline terms of reference for the MASC Resettlement Specialist.

58. **Contractor.** The Contractor will have a Social Safeguards Supervisor to (i) coordinate with MASC on updating the RP based on detailed designs, and (iii) and ensure implementation of RP during civil works.

59. **NGO.** The project NGO, which will be responsible for formation of water user groups in tenement gardens, will also help the NWSDB PMU/MASC ensure that poor and vulnerable affected persons (APs) in tenement gardens are identified and receive benefits of the project and any entitlements. The NGO will collect and analyse data as required to help the MASC/PMU monitor impacts on the poor and vulnerable. The NGO will put forth grievances of APs/vulnerable groups in tenement gardens to the NWSDB PMU/MASC and GRC, generate awareness about opportunities for employment in project related activities, rights and entitlements, grievance redress process among APs /vulnerable groups, and help them to make informed choices; assist the PMU in providing assistance to APs in tenement gardens, if required/applicable; participate in public meetings and consultations as and when required. In addition to the above tasks, the NGO shall: (i) document lessons learnt each year, identify follow-up actions and campaigns to ensure sustainability of Water User Groups formed; (ii) follow-up on WASH program; (iii) follow-up on key messages of awareness campaign among tenement garden communities; and (iv) analyse and report on gender impacts of project interventions. The success of NGO inputs will largely depend on their liaison with APs and other concerned government agencies.

60. Organisational procedures/institutional roles and responsibilities for safeguards implementation and steps/activities involved in delivery of entitlements are described in **Table 7** and **Figure 5**.

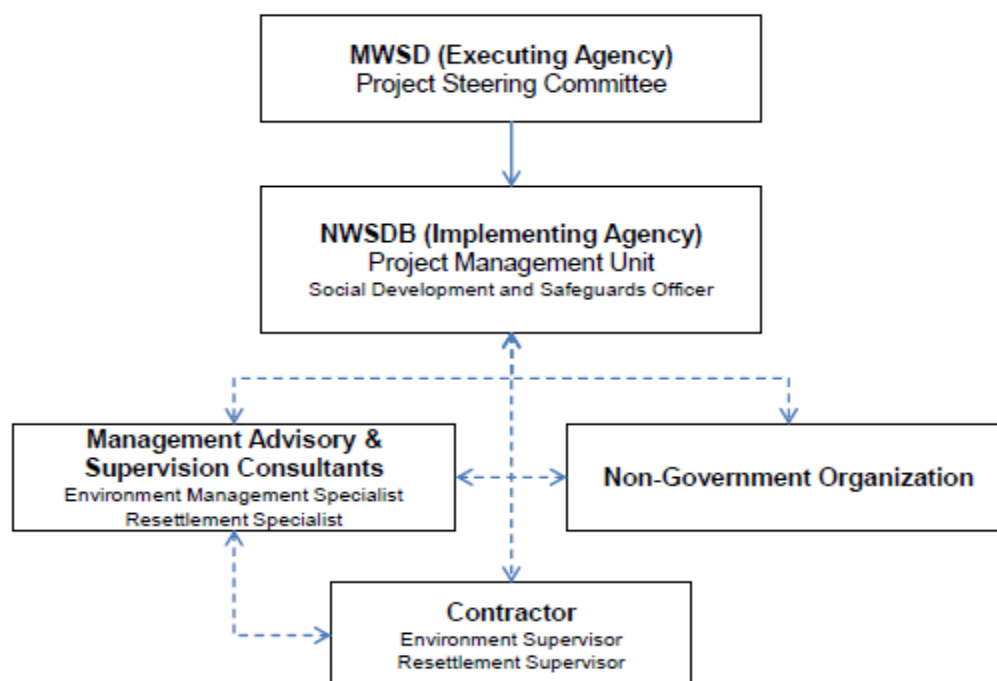
Table 7: Institutional Roles and Responsibilities for Safeguards Implementation

Activities	Agency Responsible
Identification of roads for full or partial closure, existing utilities, road conditions, based on detailed design	NWSDB PMU Management Advisory and Supervision Consultant
Transect walks through identified road stretches for full or partial closure, to identify potential impacts	Management Advisory and Supervision Consultant Contractor NGO (in case of road in tenement garden)
Design/implementation of Detailed Measurement Survey (DMS) ^a on roads for full / partial closure where potential impacts identified; Identification of poor and vulnerable APs	Management Advisory and Supervision Consultant
Conducting focus group discussions/meetings/consultations/workshops during DMS survey	Management Advisory and Supervision Consultant
Computation of entitlements	Management Advisory and Supervision Consultant NWSDB PMU

Activities	Agency Responsible
Categorization of APs for finalizing entitlements	Management Advisory and Supervision Consultant NGO NWSDB PMU
Finalizing entitlements and rehabilitation packages for all APs	NWSDB PMU Management Advisory and Supervision Consultant
Update RP based on detailed design, field inspections and surveys	Management Advisory and Supervision Consultant
Review of updated RP/IEE and send to ADB for approval prior to construction	NWSDB PMU
Clearance and disclosure of updated safeguard documents on website	ADB NWSDB
Disclosure of proposed project, social/environmental impacts, proposed entitlements / mitigation measures in local languages	NWSDB Media agency
Disclosure of grievance redress mechanism/process	NWSDB PMU Media agency Non-government Organization
Disclosure of final entitlements and rehabilitation packages	NWSDB PMU Management Advisory and Supervision Consultant NGO
Delivery of entitlements/award of cheques	NWSDB PMU
Implementation of mitigation and rehabilitation measures	NWSDB PMU Management Advisory and Supervision Consultant Contractor
Consultations with APs during rehabilitation activities	Management Advisory and Supervision Consultant Contractor NGO
Grievance redressal	NWSDB PMU Grievance Redressal Committee Management Advisory and Supervision Consultant NGO Contractor
Internal monitoring	NWSDB PMU Management Advisory and Supervision Consultant

^a Detailed Measurement Survey to be carried out during detailed design, to record and quantify resettlement impacts and entitled persons.

Figure 5: Safeguards Implementation Arrangement



A. Capacity Building

61. The MASC Resettlement Specialist will be responsible for development of a training program based on a capacity assessment of target participants (NWSDB PMU, NWSDB staff, Contractor(s) and project NGO) and for implementation of the training program to build capabilities on resettlement policy, planning, mitigation measures and safeguards. These will be conducted by the MASC RS with external resources as required. Typical modules will be (i) sensitisation to social safeguards, gender and vulnerability issues, (ii) introduction to social safeguards policy, planning and implementation issues, monitoring methods and tools; (iii) review of RP; (iv) monitoring and reporting on RP implementation.

62. NWSDB PMU and the Management Advisory and Supervision Consultant will also organize an induction course for the training of contractors preparing them on RP preparation, implementation including ADB policy, social safeguards monitoring requirements related to mitigation measures. The suggested outline of the training program is presented in **Table 8**.

Table 8: Indicative Capacity Building and Training Program

Description	Contents	Schedule	Participants
Program 1 Orientation Workshop	Module 1 – Orientation ADB Safeguard Policy Statement Sri Lankan policy Module 2 – Social/Environmental Assessment and Resettlement Planning/IEE Process ADB policy and process, identification of impacts and mitigation measures, RP/IEE preparation, implementation, and monitoring requirements. Incorporation of safeguards into project design and contracts	1 day	MWSD and NWSDB officials involved in project implementation NWSDB PMU
Program 2 Workshop for Contractors and Supervisory staff	IR/environmental issues during construction Implementation of RP/IEE Monitoring of RP/IEE implementation Reporting Requirements	1 day	NWSDB PMU Contractors
Program 3 Experiences and Best Practices Sharing	Experiences on RP/IEE implementation – Issues and Challenges - Best Practices followed	1 day on a regular period to be determined by PMU and Management Advisory Group	NWSDB PMU Management Advisory and Supervision Consultant Contractors Non-government Organization Central Environmental Authority and Ministry of Land Development representatives

Note: The above sessions will cover both environmental and social safeguards.

XI. IMPLEMENTATION SCHEDULE

63. The project is to be implemented over a period of 4 years. The detailed design stage is expected to commence in 2013 and the construction period will cover 36 months. The RP implementation schedule is shown in Figure 6.

Figure 6: Implementation Schedule

Figure 6: Implementation Schedule

Activities	Year 0												Year 1				Year 2				Year 3				
	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Establish PMU including Safeguards Officer																									
Engage MASC with safeguards personnel																									
Appoint Contractor with safeguards personnel																									
Appoint NGO																									
Safeguards training and capacity building																									
Conduct Detailed Measurement Surveys/business surveys**																									
Identification of Vulnerable APs for involvement/employment																									
Update draft RP to reflect DMS/business survey																									
Consultations and disclosure																									
Review and approval (PMU and ADB)																									
Issuance of ID cards, as required																									
Issuance of notice to APs, as required																									
Compensation prior to start of construction and assistance as required, including to vulnerable APs *																									
Start of civil works																									
Internal monitoring, including surveys of APs on entitlements, satisfaction surveys																									
Repair/reconstruction of affected facilities, structures, connections, utilities if any														Immediately, in co-ordination with other departments, as required											

Note: M=month, Q=quarter. Schedules are indicative and will be finalised during detailed design. The RP will be updated based on final detailed design and DMS/business surveys. Disclosure of final RP to be

** Since DMS / business surveys will be based on detailed design, a time lag is shown in the schedule above, for completion of detailed design.

*Compensation to be given prior to start of construction. Assistance to be continuous.

XII. MONITORING AND REPORTING

64. RP implementation will be closely monitored to provide the NWSDB PMU with an effective basis for assessing resettlement progress and identifying potential difficulties and problems. Monitoring will be undertaken by the MASC and PMU. Monitoring will involve administrative monitoring to ensure that implementation is on schedule and problems are dealt with on a timely basis; socio-economic monitoring during and after any resettlement impact utilizing baseline information established through the detailed measurement survey of APs undertaken during project sub-preparation, and overall monitoring. Monthly progress reports will be prepared by MASC, reporting status of RP implementation. The EA will submit semi-annual monitoring reports to ADB for review and post all safeguard monitoring reports on ADB's website. A sample monitoring template is given in **Appendix 9**.

APPENDIX 1: PROJECT 2 INVESTMENTS (CIVIL WORKS) AND IR IMPACTS STATUS

Package	Description	Location	Length (km)	Capacity/Size	Unit	IR Impacts Status
1	Supply and laying of PVC pipes for replacement and reinforcement of distribution network	Colombo (South)	10.04	225	mm (night works)	Temporary impacts during construction on vendors and parking. Closure of ≤ 3 m wide roads in residential areas; temporary impacts on access to residences.
			4.33	225	mm (day works)	
			34.07	160	mm (night works)	
			15.65	160	mm (day works)	
			98.34	110	mm (night works)	
			45.41	110	mm (day works)	
	Descaling and relining or replacement of larger dia. CI pipes	Colombo (South)	15.97			
	Spaghetti Lines Replacement	Colombo (South)	25.53	90	mm (night works)	
			13.75	90	mm (day works)	
	DI Pipes Reinforcement	Colombo (South)	0.90	800	mm (night works)	
			0.49	800	mm (day works)	
			2.66	600	mm (night works)	
			1.43	600	mm (day works)	
			0.85	450	mm (night works)	
			0.46	450	mm (day works)	
			1.99	400	mm (night works)	
			1.07	400	mm (day works)	
			0.19	350	mm (night works)	
			0.10	350	mm (day works)	
			4.85	300	mm (night works)	
			2.61	300	mm (day works)	
			0.61	250	mm (night works)	
			0.33	250	mm (day works)	
2	Supply and fixing of new sluice valves to the distribution pipes	Colombo (South)				No anticipated LA impacts. Temporary impacts and disruptions possible during construction of valve chambers.
	200 mm (8")			260	no.	
	150 mm (6")			500	no.	
	100 mm (4")			750	no.	
	80 mm (3")			500	no.	
	Allow for replacement of defective gate valves in the area					
	Supply and fixing of new large sluice valves including chambers (30" - 12")					
	Supply and replacement of existing Air Valves (dia.80mm Double Orifice Air Valve with Isolation cock) including Air Valve Chamber			55	Set	
	Supply and fixing of Air Valves for the proposed pipe network (dia. 25mm Single Orifice Air Valve with Isolation Cock) including Construction of Air Valve Chamber			80	Set	
	Supply and fixing of Scour Valves for the proposed pipe network (including DI pipe fittings, specials and			50	Set	

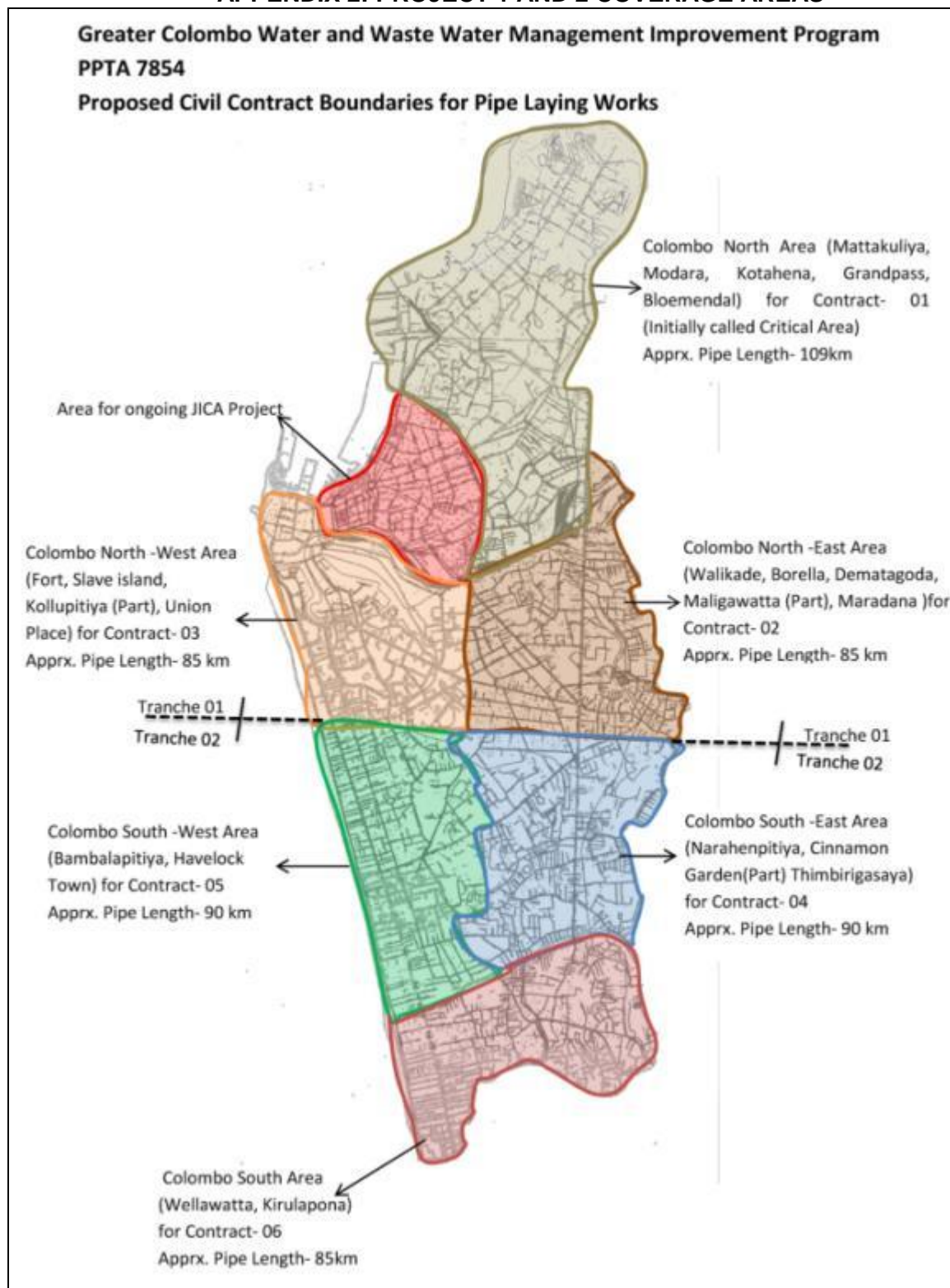
Package	Description	Location	Length (km)	Capacity/Size	Unit	IR Impacts Status
	Construction of overflow Chamber) Provisional Qty					
	Supply and construction of surface boxes for sluice valves below 300mm dia.			2,010	no.	
	Supply and installation of pressure reducing valves (PRVs) for Pressure Management			4	no.	
	Supply and fixing of necessary Tee connections from the new network to existing branch system	Colombo (South)				Temporary impacts during construction; temporary disruption in water supply
	To 225 mm main			100	Set	
	To 160 mm main			600	Set	
	To 110 mm main			800	Set	
	To 90mm existing PVC mains and common mains			400	Set	
	To 63mm existing PVC mains			300	Set	
	Allow connections from existing trunk mains to the proposed pipe network as identified (including supply valves, fixing with all DI fittings and specials)					
	Supply and installation of Fire Hydrants and Chambers	Colombo (South)		1,765	nos.	Temporary impacts during construction
3	Metering of Tenement Garden Connections	Colombo (South)				No anticipated LA impacts; temporary disruption in water supply during transfer of service connections. Project will extend benefits and subsidies of Randiya Scheme to households in tenement gardens to ensure inclusion
	Transfer of Service Connections			44,456	nos.	
	Replacement of old, problematic water meters with reliable meters out of 25% of total conn in selected area.			14,819	nos.	

Package	Rehabilitation of Pump Houses	Location	No. of Pumps	Current Pumping Hours	Approximate Age	IR impacts status
4	St. Sebastian Pump House	Technical Junction Colombo-10	2	24 hrs	30 years	Temporary Impacts during construction including disruption in water supply, access to pump operators' quarters
	Hulsdorf Pump House	Technical Junction Colombo-10	1	24 hrs	40 Years	
	Mahavidyala Mw. Pump House	At Maharooft Tank Premises Colombo 13	3	16 hrs	20 years	
	Nagaswatta Pump House	Kirulapone Colombo 05	2	12 hrs	20 years	
	Anderson Flats Housing Scheme	Anderson Flats Kirulapone Col-05	4	18 hrs	20 years	

	Torinton Flats Housing Scheme	Torinton Housing Scheme Colombo 07	14	8 hrs	20 years	
	Andarawatta Flats Housing Scheme	Andarawatta Flats Housing Scheme Colombo 05	2	12 hrs	10 years	
	Sooriyamalpura Housing Scheme	Sooriyamalpura Colombo 12	5	12 hrs	10 years	
	Soyza Flats Housing Scheme	Soyza Flats Colombo 02 (Slaveisland)	4	12 hrs	20 years	

Package	Construction of Buildings	Location	Area (sq m)	IR Impacts Status
5 (a)	Manpower Development and Training Division	Telawala		
	Renovation of training centre Construction of pipe fitters/plumbers training unit/workshop Construction of NRW simulation yard (underground yard) Renovation of auditorium Construction of trainee hostel (25 rooms)	Telawala Telawala Telawala Telawala Telawala	1100 200 1000 580 800	No land acquisition anticipated as all new construction and renovation proposed at NWSDB's existing Training Division site
5 (b)	Construction of Area Engineers Office	Nagaswatta Road Junction	800	CMC land identified; permission required from CMC to construct; arrangements to be made for CMC workers to operate from other sites
5 (c)	Renovation of meter testing facility	Polwatta	40	No land acquisition or IR impacts anticipated; facility exists on NWSDB land.

APPENDIX 2: PROJECT 1 AND 2 COVERAGE AREAS



APPENDIX 3: METHODOLOGY FOR ESTIMATION OF IMPACTS

1. Transect walks were undertaken for estimation of temporary impacts in representative road sections in areas where water supply and sewerage pipelines and slum improvement is proposed. Transect walks were conducted using a standard format for recording details at 10m intervals and a checklist to gather socio-economic details on Affected Persons.
2. Transect walks were conducted by the survey team along with NWSDB engineers along proposed pipeline lengths in roads with high density and commercial landuse, high density and residential landuse, medium density and mixed landuse and low density areas, covering a length of 300 m in each. Based on the data gathered from transect walks and confirmation with program preparation engineers and concerned officials, the extent of temporary impacts were estimated/projected for the entire stretch of pipeline.
3. The following information was captured through transect walks: number of temporarily affected persons, their livelihoods, whether vulnerable (BPL/IP/female-headed/disabled/elderly), whether structures affected, whether income sources affected, etc. The same format (3.1) may be used for a survey of businesses to determine income loss during Detailed Measurement Survey. (Table 3.2 reports the results of the transect walks undertaken in project 2 component 1 area in Colombo city.) For any other type of loss, the sample format for Inventory of Loss Survey (3.3) may be used.

Checklist for Transect Walks - Socio-Economic Survey of Affected Businesses/Sample Form for Survey of Businesses under Detailed Measurement Survey

Date of Survey	Serial No.				
Name of road	Address/Location:				
Name of affected person					
Father/Mother's name					
Type of business/hawker					
Status	Owner	Tenant			
	If owner: Titled	Non-titled			
	Mobile	Permanent			
Description of structure					
Since when operating in that location					
Frequency of operation in a week	Daily	2-3 days/week	1 day/week	Half day	Full day
Person(s) employed if any	No.				
Maintenance / Rent	Rs. per annum or month, specify				
Investment (recurring)	Rs./ month				
Average profit per day	Rs.				
Salaries paid to employees (total/month)	Rs./month				
Highest profits recorded in	Hours (AM/PM) _____ Weekend/Weekday (specify days) _____ Festival season (specify) _____				
Will employee(s) be affected	Yes/No				
Whether any affected person is	BPL / WHH / disabled / backward community / IP / elderly / child worker / daily wage earner				
No. of dependents of owner					
No. of dependents of employees					
Whether road RoW used for	Parking/Display of wares/Storage/Other purpose, specify				
Type(s) of distress likely					
Views/Concerns					

Note: BPL=below poverty line; WHH=woman headed household / Chief Wage Earner is a woman; IP=indigenous peoples; RoW=right of way.

Summary of Socio-Economic Information on Affected Persons from Transect Walks

Street Type	Road width	No. of APs	Daily Profit/ Salary Range (Rs.)	Average Daily Profits/ Salaries (Rs.)	Types of businesses *	Remarks
High Density (commercial) Dematagoda Road-	7m		200-5000	917	vegetable /fruit/ coconut/ meat/fish sellers	Vegetable/fruit sellers had temporary structures in the market place, within a space/roof provided by government. Only mobile hawkers and vendors with temporary structures abutting RoWs (with none or little gap) may be affected. The temporary structures (wood / bamboo / asbestos / metal) can be easily shifted. Parking by customers and commercial vehicle operators outside shops and businesses observed. If work can be done at night, road can remain fully open during the day. Formal businesses are not likely to be affected as access can be maintained. A majority of permanent shops remain open 6 days a week, while the temporary stalls are open 7 days a week. Average income varies by type of business/wares. A majority (about 55% vendors) on average, earn profits of Rs. 425 per day, though the overall average is higher at Rs. 917..
Temporarily affected vendors with movable structures/equipment		8				
Temporarily affected mobile hawkers		6				
BPL – single vulnerability (SV)		1				
WHH (SV)		0				
Elderly + BPL -multiple vulnerabilities (MV)		0				
High Density (residential)- Veluvana Road	Varies bet-ween 4.5 m– 8 m		500-1000	766	Fruit & vegetable sellers	Only mobile hawkers on road/pipeline ROW. Several formal sector shops and businesses line the road. Display of wares on road RoW by a few shops. Access to shops/formal businesses and residences can be easily maintained. A majority (about 60% vendors) on average, earn profits of Rs. 400 per day, though the overall average is higher at Rs. 766.
Temporarily affected hawkers with movable structures/equipment		1				
Temporarily affected mobile hawkers		2				
BPL (SV)						
WHH (SV)						
WHH+BPL (MV)		1				
Elderly+BPL (MV)		1				
Medium Density – mixed use Reservoir Road	5m		NA	NA	-	Only permanent shops present; these will not be affected as road width >3m, hence it should be possible to maintain access if work undertaken at daytime. Access to shops, businesses, residences can easily be maintained by contractor by following IEE provisions. Display of wares by a few shops on road ROW observed. Parking will not be affected.
Temporarily affected hawkers with movable structures/ Equipment		0				
Temporarily affected mobile hawkers		0				
BPL		0				
WHH		0				
Low Density – Church Street	8m	0	NA	NA	-	No hawkers and vendors on road/existing pipeline ROW. Access can easily be maintained by contractor by following IEE provisions. Parking will not be affected.
Temporarily affected hawkers with movable structures/equipment		0				
Temporarily affected mobile hawkers		0				
BPL		0				
WHH		0				

NA=not applicable.

Sample Form for Inventory of Losses
Questionnaire No.:

Name of the Enumerator: _____
Field Supervisor: _____

Date: _____
Time: _____

1.0 GENERAL IDENTIFICATION:

1.1	Name of road	1.4	Address
1.2	GN Division:	1.5	Structure No.:
1.3	Location/PIN CODE:	1.6	Owner/Squatter/Encroacher

2.0 HOUSEHOLD IDENTIFICATION:

2.1	Name of the head of the Household:		
2.2	Name of the Respondent:		
2.3	Relationship of the respondent with the head of the household: (Code)		
2.4	Type of loss	Structure only	Land only
		Orchard/Tree	Other assets

3.0 SOCIO-ECONOMIC PROFILE

3.1 Whether BPL / woman headed* household? (Tick) BPL Woman-headed Other

(Note: woman headed household=Chief Wage Earner is a woman)

3.2 Average household expenditure per month (Rs.) _____

4.0 Details of affected structure

Sl. No	Details	Materials used			Length in mts.	Breadth (m)	Height(m)	Valuation
		Roof	Wall	Floor				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
1	Room 1							
2	Room 2							
3	Room 3							
4	Room 4							
5	Room 5							
6	Room 6							
7	Room 7							
8	Room 8							
	Total of rooms							
9	verandah							
10	Kitchen							
	Store							
11								
12	Toilet							
14	cowshed							
15	compound wall							
16	Others/							
	Total Area							

Materials used (Col 3,4,5)

- | | | | |
|--------------------|------------|------------------|------------------|
| 1. Tin/Zinc sheets | 2. Mud | 3. Brick Masonry | 4. Stone Masonry |
| 5. RCC | 6. Stone | 7. Wood Shingles | 8. Concrete |
| 9. Thatched | 10. Timber | 11. Masonry | 12. Stone/Bricks |

5.0 Summary of affected structure

5.1 Do you have legal rights/documents of this affected structure? 1 - Yes 2 - No

5.2 If yes, name the docs in support of your ownership _____

5.3 Is there any tenant in this affected structure? 1 - Yes 2 - No

5.4 If 'Yes' number of tenants: _____

5.5 What is the market value of this affected structure as on today?

5.6 How much house tax are you paying? (Last tax paid) (FY) _____

Use of structure	Type of Structure 1=permanent 2=semi permanent 3=temporary	No. of storeys	No. of rooms	Size	Whether in use 1= In use 2=Vacant/ abandoned	General condition 1=good 2=bad 3=poor	Age of structure	Owner ship
Residential								
Commercial								
Resi.-cum commercial								
Work shed /HH Industry								
Cattle shed								
Kiosks								

APPENDIX 4: SUMMARY OF PUBLIC CONSULTATIONS

	GN Division	Date	Venue	No. of Participants			Key Safeguard Issues Discussed	Overall Concerns Expressed Related to the Project	Specific Concerns Of People Who are Presently Dependent on Non-NWSDB Sources	Suggestions from People for the Project	Willingness to Participate in Project
				M	F	T					
1	Represented several GNDs in Elvitigala Flats and Narahenpita	20.Jan. 2013	Sariputta Viharaya, Narahenpita	6	4	10	<p>There will be no impact on community life. If there are minor temporary impacts, people are ready to bear these impacts.</p> <p>There is no Resettlement and land acquisition due to this project.</p> <p>Obstruction of drainages and culvers might be occurred during the project activities and proper mechanism for diverting the drainage water is helpful.</p> <p>Since this area is centrally located traffic impact due to the construction activities might be severe than other areas, hence traffic management plan at the construction period is required.</p> <p>All the meters and water supply systems should be rechecked for the leakages.</p>	<p>All the participants had the idea that this project as a time need and no objections for the project activities.</p> <p>Some people asked whether the water bill rates increases due to this project and they realized that the water bill is not increase due to this project other than government's regular increment of the water charges.</p>	<p>All the participants were depended on the NWSDB water sources</p>	<p>It is required a proper coordination between the contactors and the authorities who belongs the road, to immediate and proper damage recovery. Otherwise the road system will damage severely due to this project.</p> <p>Placing of alternative water sources for emergency use (i.e: water bourses).</p> <p>Immediate damage recovery for the roads and monitoring the damage recovery process.</p>	<p>Participation in terms of labour is quite tricky but people will help in the community awareness activities</p>
2	Wellawatta South	19.Jan. 2013	In front of the a house in Rajaguru Sri Subhuthi Road	3	9	12	<p>There will be impact on community life during the project implementation since this community is living much closer to the road. (unauthorized dwellings)</p>	<p>The respondents realized that this project is a time need.</p>	<p>The participants were willing to have exclusive water supply connection to their houses and the</p>	<p>The respondents sought a soft mechanism to have water supply connection for</p>	<p>Some of the respondents willing to participate as daily paid workers at the</p>

	GN Division	Date	Venue	No. of Participants			Key Safeguard Issues Discussed	Overall Concerns Expressed Related to the Project	Specific Concerns Of People Who are Presently Dependent on Non-NWSDB Sources	Suggestions from People for the Project	Willingness to Participate in Project
				M	F	T					
							<p>There are about 65 unauthorized houses and they only have four toilets and 4 common water posts. Hence they required a alternative water supply during the project construction works since they do not have water storing facilities at their premises.</p> <p>Damaged roads should be repaired by NWSDB or CMC. If a property damages due to the construction work that should be replaced with original manner.</p> <p>All the meters and water supply systems should be rechecked for the leakages.</p> <p>A proper constriction mechanism should be employ in order to have a efficient damage recovery to the roads which have recently constructed with a heavy investment by the government.</p>		problems are their houses are unauthorized and they cannot afford for a large sum of money to pay initial instalment at once.	the houses that are unauthorized.	project construction period.
3	Saranapalah imi Mawatha, Colombo 07	19.Jan. 2013	At a Participant's house, Colombo 07	4	2	6	Damaged roads should be repaired by NWSDB or CMC. If a property damages due to the construction work that should be replaced with original manner.	All the percipients agreed for the project but they asked to carry out project activities with minimum disturbance to the	All the participants were depended on the NWSDB water sources	The respondents have the concern about save the drinkable water by having industrial water	Respondents are willing to participate for the project by information dissemination

	GN Division	Date	Venue	No. of Participants			Key Safeguard Issues Discussed	Overall Concerns Expressed Related to the Project	Specific Concerns Of People Who are Presently Dependent on Non-NWSDB Sources	Suggestions from People for the Project	Willingness to Participate in Project
				M	F	T					
							<p>All the meters and water supply systems should be rechecked for the leakages.</p> <p>A proper constriction mechanism should be employ in order to have a efficient damage recovery to the roads which have recently constructed with a heavy investment by the government.</p>	<p>community life.</p> <p>No critical issues regarding the project were expressed.</p>		<p>supply for other uses such as bathing and gardening.</p>	.
4	Kirulapone	20.Jan. 2013	At a Participant's house, Colombo 05	2	6	8	<p>Other than replacement of existing steel pipe network, other laid pipes also required recheck for potential leakages.</p> <p>A proper replacement of newly constructed road is a prime requirement along with the project activities.</p>	<p>No objection for the project activities but the participants sought a minimum disturbance for the traffic and social life and properties.</p>	<p>All the participants were depended on the NWSDB water sources</p>	<p>Carry out major construction works in night time.</p>	<p>Respondents are willing to participate for the project by information dissemination with the local community.</p>
5	Bambalapitiya	19.Jan. 2013	Bambalapitiya	2	4	6	<p>There will be impact on day today activities during the project implementation as the community is living closer to the road network. (Flats type houses)</p> <p>There are about 500 houses belongs to this GND and more than 99% people have got toilet and other sanitation facilities. There are few common stand posts with meters and few common</p>	<p>At this moment most of the people don't realize the necessity of this project as most of the people not experiencing the problems related to water supply and the quality aspects. But, people are really keen if they can get a good/efficient supply of water.</p> <p>It was a great concern</p>	<p>The participants were willing to have exclusive water supply connection to their houses and they cannot afford for a large sum of money to pay initial instalment at once.</p>	<p>The respondents sought a soft mechanism to have water supply connection to the houses.</p>	<p>There are people who willing to participate as daily paid workers at the project construction period.</p>

	GN Division	Date	Venue	No. of Participants			Key Safeguard Issues Discussed	Overall Concerns Expressed Related to the Project	Specific Concerns Of People Who are Presently Dependent on Non-NWSDB Sources	Suggestions from People for the Project	Willingness to Participate in Project
				M	F	T					
							toilets. Hence they required an alternative water supply during the project construction works since they do not have water storing facilities at their premises.	whether the water bill will be increased due to project intervention.			

APPENDIX 5: DRAFT LEAFLET FOR PROJECT INFORMATION DISCLOSURE

A. Background

1. The Colombo Water Supply Service Improvement Project (CWSSIP) is a part of ADB funded Greater Colombo Water and Wastewater Management Improvement Program (GCWWMIP). GCWWMIP comprises four tranches or projects, of which two projects under CWSSIP are for water services improvement. CWSSIP aims at delivering better urban water supply services in an effective and efficient manner by reducing the Non-Revenue Water (NRW) mainly in Colombo City. Project 1 has already been formulated and this leaflet presents information on project 2. CWSSIP will involve physical network rehabilitation, institutional and management capacity enhancement to reduce NRW. GCWWMIP is to be implemented over the period 2013 to 2020.

B. Project description

2. Under Project 2 in southern areas of Colombo city, the physical works planned are: (i) improved water supply system through laying of 282 km of pipes for rehabilitation and replacement of distribution system in the project 2 areas; (ii) replacement and transfer of 44,500 service connections with polyethylene pipes; (iii) replacement of 14,800 defective water meters. Installation of DMA with electromagnetic and ultrasonic flow meters; (iv) replacement of priority (high water usage) customer meters (15mm to 100mm) with Automatic Meter Reading (AMR) meters; (v) installation of new electromagnetic flow meters, valves, and special fittings for formation of district metered areas (DMAs); and (vi) construction of NRW training facilities and an area engineer's office. The proposed project 2 is expected to result in: (i) rehabilitation of distribution network, which will result in substantial reduction in water losses in the project area; (ii) proper accounting for use of water and system losses by installing metered connections.

C. Resettlement Plan: Policy and Principles

3. A Resettlement Plan (RP) has been prepared for project 2 - NRW reduction in southern Colombo city, based on ADB's Safeguard Policy Statement 2009, and Government of Sri Lanka's National Involuntary Resettlement Policy 2001.

D. Involuntary Resettlement impact

4. There is no land acquisition under project 2. Involuntary resettlement impacts are limited to potential temporary disruption to income during linear pipe laying works. Many impacts will be avoided by construction during non-business hours and careful alignment selection. Impacts of distribution network improvement / rehabilitation (282 km) are limited to (i) temporary disruption of on-street parking and business activities (display of wares on ROW), and (ii) temporary shifting of 6902 vendors and hawkers during construction, for a period of less than 7 days each. Full closure of roads in commercial areas is not anticipated. Government land has been identified for two proposed buildings, one belonging to NWSDB and another to Colombo Municipal Council (CMC), from which permission is awaited for a proposed land sharing arrangement.). APs will be provided 30 days' advance notice to ensure none or minimal disruption in livelihood, followed by reminders 7 days in advance and 24 hours in advance of execution of works.

E. Entitlement

5. The project provides for compensation of all potential losses including potential income losses for vendors at replacement value. Hawkers and vendors having temporary loss of income during the construction period will be compensated for income loss prior to displacement. Compensation for income loss of hawkers and vendors will be as per Government of Sri Lanka's prescribed minimum wage rate for Colombo for the applicable worker category. Vulnerable APs (BPL/IP/female-headed/disabled/elderly) shall be provided additional compensation of 25%. The date of the census survey will serve as the cut-off date for identification of entitled persons. A budgetary provision of USD 52,990 for RP implementation is made, including provisional sums of USD 37,090 for compensation of lost income and USD 2700 for additional assistance to vulnerable APs.

F. Institutional Arrangement

6. For proposed water supply improvements in southern Colombo under Project 2, the Ministry of Water Supply and Drainage (MWSD) will be the executing agency and the National Water Supply and Drainage Board (NWSDB) will be the implementing agency. NWSDB has established a Project Management Unit (PMU) which will have a Social Development and Safeguards Officer with responsibility for safeguards functions. A Management Advisory and Supervision Consultant (MASC) will be engaged to work closely with the NWSDB PMU. MASC will have a Resettlement Specialist (RS) and an Environmental Management Specialist. The Contractor for project 2 will have a Social Safeguards Supervisor to coordinate with MASC to ensure implementation of RP during civil works. The project NGO will assist APs/vulnerable groups in tenement gardens to put forth grievances and access information on opportunities for employment in project related activities, rights and entitlements and the grievance redress process, and make informed choices.

G. Grievance Redress Mechanism (GRM)

7. To resolve all project related grievances and complaints a common social and environmental grievance redress mechanism will be in place. Common and simple grievances will be sorted out at project site level by the Contractor's Resettlement Supervisor, supervision staff of PMU and project NGO within 7 days. More serious complaints will be sent to the SDSO, PMU to be resolved in 15 days. Any unresolved grievances will be forwarded to the Grievance Redress Committee GRC. Complaints and grievances which are not addressed by Grievance Redress committee (GRC) within 30 days will be sent to the Program Steering Committee (SC) to be resolved within 7 days. Despite the project GRM, an aggrieved person shall have access to the country's legal system at any stage.

APPENDIX 6: SAMPLE GRIEVANCE REDRESS FORM

(To be available in Sinhala, Tamil and English)

The _____ Project welcomes complaints, suggestions, queries and comments regarding project implementation. We encourage persons with grievance to provide their name and contact information to enable us to get in touch with you for clarification and feedback. Should you choose to include your personal details but want that information to remain confidential, please inform us by writing/typing ***(CONFIDENTIAL)*** above your name. Thank you.

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

FOR OFFICIAL USE ONLY

Registered by: (Name of Official registering grievance)	
Mode of communication: Note/Letter E-mail Verbal/Telephonic	
Reviewed by: (Names/Positions of Official(s) reviewing grievance)	
Action Taken:	
Whether Action Taken Disclosed:	Yes No
Means of Disclosure:	

APPENDIX 7: COMPARISON OF ADB SAFEGUARDS POLICY STATEMENT (SPS), 2009 AND NATIONAL INVOLUNTARY RESETTLEMENT POLICY (NIRP), 2001

Sl. No.	ADB's SPS (2009)	Sri Lanka NIRP, 2001	Remarks (Differences and Gaps between ADB SPS and NIRP and Action Taken in the RP to Bridge the Gap)
1.	Involuntary resettlement should be avoided wherever possible and minimised by exploring project and design alternatives	Involuntary resettlement should be avoided or reduced as much as possible by reviewing alternatives to the project as well as alternatives within the project.	No difference between ADB Policy and NIRP on this principle.
2.	Early screening to identify IR impacts and risks; Survey/census of displaced persons including gender analysis to be conducted to determine scope of resettlement planning	A comprehensive Resettlement Action Plan is required if 20 or more families are affected. If less than 20 families are affected, the policy still applies but a plan can be prepared to a lesser level of detail. Gender equality and equity should be ensured and adhered to.	NIRP does not explicitly specify the process/methodology (e.g. early screening or surveys) for scoping or identification of IR impacts and risks including those on women and other vulnerable persons, unlike ADB policy. However, it does require the scope of land acquisition and resettlement (number of affected families) to be identified. The RP at project preparatory stage undertakes early screening and identification of IR impacts including those on vulnerable persons, using tools like transect walks, sample surveys of businesses and baseline surveys of households. It specifies that the updated RP to be prepared prior to project implementation shall require census surveys for temporary losses.
3.	Carry out meaningful consultation with affected persons (AP) - with special emphasis on vulnerable APs, host communities and NGOs to ensure their participation in planning, implementation and monitoring of resettlement program. Establish a grievance redress mechanism to receive and facilitate resolution of APs' concerns. Undertake 'social preparation' wherever impacts and risks are highly sensitive.	<u>Policy principles:</u> Affected persons should be fully involved in selection of relocation sites, livelihood compensation and development options at the earliest opportunity. Resettlement should be planned and implemented with full participation of the provincial and local authorities. To assist those affected to be economically and socially integrated into the host communities, participatory measures should be designed and implemented. A stated <u>policy objective</u> relates to grievance redressal: "To make all affected people aware of processes available for redress of grievances that are easily accessible and immediately responsive."	NIRP does not mention the need for 'meaningful consultation' with vulnerable APs and NGOs. The Resettlement Plan for the project is based on a consultation process with the all stakeholders (affected persons including women and other vulnerable persons, NWSDB, local community, NGOs etc.). It specifies that consultation shall be a continuous process at all stages of the project cycle such as design stage, implementation and post implementation phase including monitoring phase. The Resettlement Plan has special provisions for grievance redress procedures which include formation of a Grievance Redress Committee in line with ADB policy principles and NIRP policy objectives.

Sl. No.	ADB's SPS (2009)	Sri Lanka NIRP, 2001	Remarks (Differences and Gaps between ADB SPS and NIRP and Action Taken in the RP to Bridge the Gap)
4.	Improve or at least restore the livelihoods of all displaced persons in real terms relative to pre-project levels	<u>Policy objectives:</u> The livelihoods of the displaced persons should be re-established and the standard of living improved no impoverishment of people shall result as a consequence of compulsory land acquisition for development purposes by the State.	No difference between ADB Policy and NIRP objectives on this aspect.
5.	Improve standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards	Resettlement should be planned as a development activity for the affected people. Vulnerable groups should be identified and given appropriate assistance to substantially improve their living standards.	No difference between ADB Policy and NIRP on this principle.
6.	Develop procedures in transparent and equitable manner if land acquisition is through negotiated settlement to ensure same or better livelihood status of AP	Policy objectives highlight the need for a "consultative, transparent and accountable IR process with a time frame agreed to by the Project Executing Agency and the APs" and that "the livelihoods of displaced persons should be re-established and the standard of living improved."	NIRP makes no mention of 'land acquisition through negotiated settlement. In case of project 2, no land acquisition or displacement is envisaged hence, the issues of negotiated settlement or livelihoods of displaced people do not apply.
7.	Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets.	Affected people who do not have documented title to land should receive fair and just treatment.	The NIRP broadly concurs with ADB on the issue, though less explicitly. The process for verification of impacts and establishing the eligibility of different categories of APs (including non-titled APs) is outlined in the RF and RP for project 2. The Entitlement Matrix provides for compensation to all affected persons whether physically or economically displaced irrespective of their legal status. The date of the DMS survey will be considered as the cut-off date and affected persons listed on the cut-off-date will be eligible for assistance.
8.	Prepare RP elaborating on displaced persons' entitlements, income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget and time-bound implementation schedule	<u>Institutional Responsibilities</u> The Project Executing Agencies (PEAs) will be responsible for complying with all the requirements for planning and implementing resettlement according to the NIRP. The PEAs that have significant resettlement in their projects will establish Resettlement Units with adequately trained staff. <u>Monitoring and Evaluation</u> A system of internal monitoring should be established by PEAs to monitor implementation of Resettlement Action Plans, including budget, schedule and delivery of entitlements, consultation, grievances and benefits.	NIRP and ADB policy do not differ on this, though NIRP mentions these under different heads. The RP for project 2 is prepared in accordance with ADB's SPS 2009, which provides clear guidelines on the structure/outline of a resettlement plan. RPs for future projects will be similarly prepared.

Sl. No.	ADB's SPS (2009)	Sri Lanka NIRP, 2001	Remarks (Differences and Gaps between ADB SPS and NIRP and Action Taken in the RP to Bridge the Gap)
		A further system of external monitoring and evaluation by an independent party should be established to assess the overall outcome of resettlement activities.	
9.	Disclose the draft resettlement plan (RP) before project appraisal, including documentation of the consultation in an accessible place and a form and language(s) understandable to affected persons and other stakeholders. Disclose final RP to APs and other stakeholders.	The Central Environmental Authority (CEA) will review and approve the Resettlement Action Plans prepared by the PEAs, and "make plans publicly available".	Though NIRP states that plans are to be made available to the public, it does not go into specifics of how such disclosure is to be undertaken. GCWWMIP RP for project 2 ensures that the resettlement plan along with the necessary eligibility and entitlement will be disclosed to the affected persons in the local languages (Sinhala, Tamil and English) in the project locations and NRW and Area Engineer's offices of NWSDB. The same resettlement plan will also be disclosed in the Executing Agency's (NWSDB's) website and in the website of ADB. Similar procedures would need to be followed in RPs prepared for future projects under MFF.
10.	Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits.	Project Executing Agencies should bear the full costs of compensation and resettlement.	NIRP does not mention a cost benefit analysis based on a consideration of full resettlement costs.
11.	Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the RP under close supervision.	Replacement land should be an option for compensation in the case of loss of land; in the absence of replacement land cash compensation should be an option for all APs. Compensation for loss of land, structures, other assets and income should be based on full replacement cost and should be paid promptly. This should include transaction costs. Refer S. No. 8 for NIRP provisions related to internal monitoring and supervision of resettlement.	NIRP does not mention that compensation and entitlements are to be paid or provided <i>before</i> physical or economic displacement. The RF for the investment program and the RP for project 2 provide for a DMS survey which helps create a database on income and livelihood losses; they also provide for compensation as per the Entitlement Matrix (EM) for both physically and economically affected persons, prior to displacement. The RF and RP for project 2 define the institutional structure for implementation and monitoring of resettlement.
12.	Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons and whether objectives are achieved by taking into account baseline	Refer S. No. 8 for NIRP provisions related to internal monitoring and external monitoring and evaluation. In addition, NIRP states: Monitoring and evaluation reports should be reviewed by PEA, CEA and Ministry of Land Development (MLD) and action taken to make improvements where indicated. Affected persons and other stakeholders should be consulted in monitoring and evaluation.	Unlike ADB policy, NIRP does not mention the need for public disclosure of monitoring reports. However, NIRP mentions a requirement for external monitoring, which is required only for Category A projects as per ADB SPS 2009. ^a The RF for the Investment Program and the RP for project 2 has detailed provision for a monitoring system. The Executing Agency through the PMU will be responsible for proper monitoring of resettlement plan implementation and internal monitoring.

Sl. No.	ADB's SPS (2009)	Sri Lanka NIRP, 2001	Remarks (Differences and Gaps between ADB SPS and NIRP and Action Taken in the RP to Bridge the Gap)
	conditions and results of resettlement monitoring. Disclose monitoring reports.		Verification by an external expert is not provided for in case of the RP for project 2, a Category B project; however it will be required in case of any significant impacts identified in future projects. The RP details the process of continuous monitoring and reporting of resettlement activities.

^a ADB Policy on Involuntary Resettlement, 1995 required an external monitor, but SPS 2009 simplifies monitoring procedures by having more stringent systems in place only for Category A projects.

APPENDIX 8: OUTLINE TOR FOR RESETTLEMENT SPECIALIST (MASC)

1. The MASC Resettlement Specialist will have a Master's degree in Sociology/ Economics/related field with minimum 7 years' experience. Past experience related to social safe guards/resettlement planning in externally funded projects is required:

- (i) Assist the NWSDB PMU Social Development / Safeguards Officer (SDSO) in coordinating all social safeguards issues and ensuring that the project complies with Government and ADB social safeguards policies;
- (ii) Update the draft RP based on detailed designs and submit to NWSDB PMU and ADB for review and clearance prior to construction.
- (iii) Organize an orientation workshop for the MWSD and NWSDB officials involved in project implementation on ADB Safeguards Policy Statement, 2009, Sri Lankan policy (National Involuntary Resettlement Policy, 2001), and RP preparation process;
- (iv) Organize an induction course for the training of contractors preparing them on RP implementation, requirements related to mitigation measures, and on immediate actions to be taken to remedy unexpected negative social impacts or ineffective mitigation measures, if any during implementation.
- (v) Undertake joint transect walks on sections ready for construction with NWSDB PMU SDSO, Contractor's Safeguards Supervisor; and project NGO for roads in tenement gardens, to determine nature of potential impacts / necessity for Detailed Measurement Surveys (DMS). Conduct DMS and Inventory of Loss surveys prior to displacement in sections ready for construction, determine/finalise number of APs/vulnerable APs in consultation with NWSDB PMU SDSO and project NGO, and coordinate valuation and finalization of compensation with the NWSDB PMU SDSO.
- (vi) Oversee implementation of RP by the Contractors to ensure that it is consistent with Government and ADB policies, as agreed in the Resettlement Plan for the project by the Government and ADB. This will include overseeing implementation of proposed rehabilitation measures, consultations with APs during rehabilitation activities, and grievance redressal.
- (vii) Work in close coordination with/provide guidance to the project nongovernmental organization on safeguards related work in tenement gardens, including awareness generation on entitlements, compensation, mitigation measures, and grievance redressal.
- (viii) Support the NWSDB PMU in addressing any grievances brought about through the Grievance Redress Mechanism in a timely manner as per the RP.

APPENDIX 9: SAMPLE MONITORING TEMPLATE

1. A semi-annual monitoring report shall be prepared on Resettlement Plan implementation and submitted to ADB by the PMU. It will include: (1) **the list of APs**, with compensation, if any due to each and details of compensation paid with signed receipts annexed to the report, socio-economic status and satisfaction levels of APs with the RP implementation process, compensation and mitigation measures; (2) **the list of vulnerable APs** and additional compensation / special protection measures planned/implemented for them; socio-economic status and satisfaction levels of vulnerable APs with the RP implementation process, compensation and mitigation measures; (3) **list of affected common facilities** affected, plan to restore access and/or actions taken to restore access to the same or facilities of equal quality elsewhere; (4) **list of roads for closure** and actions planned / taken to minimise disturbance; (5) **details of consultations held with APs** (with number of participants by gender, issues raised, conclusion / agreement reached, actions required/taken; (6) **details of grievances** registered, redressed, outstanding complaints, minutes of GRM meetings held; (7) **details of information disclosure** and awareness generation activities, levels of awareness among target population and behaviour change, if any; and (8) **any other relevant information** showing RP implementation progress. The following checklist may be used for overall monitoring of RP implementation.

S. N.	Resettlement Plan Activities	Completed Y/N	Remarks
A. Pre Construction Activities and Resettlement Plan Activities			
1	Approval of final Resettlement Plan by ADB prior to contract award		
2	Disclosure of final Resettlement Plan on ADB and EA websites		
3	Circulation of summary RP in the three local languages to all stakeholders		
A. Resettlement Plan Implementation			
1	Grievance Redress Committee and telephone hotlines established		
2	Entitlements and grievance redress procedure disclosed		
3	Finalisation of list of APs, vulnerable APs and compensation/assistance/allowances due		
4	Finalisation of list of affected common facilities and roads for closure; mitigation measures proposed		
5	Affected persons received entitlements as per amounts and program specified in RP		
6	Payment of compensation, allowances and assistance (No. of APs)		
7	Additional assistance for vulnerable households given (No. of vulnerable APs)		
8	Livelihood arrangements provided to vulnerable APs		
9	Reinstallation of affected common facilities		
10	Grievances No. of grievances registered No. of grievances redressed Outstanding complaints Disclosure of grievance redress statistics		
11	Consultation, participation and disclosure as per Plan		
C. Monitoring			
1	Survey on socio-economic status of APs (including vulnerable APs) completed and compared with baseline survey results		
2	Survey on satisfaction levels of APs with RP implementation completed		
D. Labour			
1	Implementation of all statutory provisions on labor like health, safety, welfare, sanitation, and working conditions by Contractors		
2	Equal pay for equal work for men and women		

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