

# 2020

## Stakeholder Engagement Plan



Punjab Municipal  
Services Improvement  
Project (PMSIP)

March 2020



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## Abbreviations

CSO	Civil Society Organization
CGWB	Central Ground Water Board
CPCB/SPCB	Central / State Pollution Control Board
DC	District Commissioner
ESIA	Environmental and Social Impact Assessment
ESMF	Environment and Social Management Framework
ESS	Environment and Social Standard
EMP	Environment Management Plan
ESCP	Environment and Social Commitment Plan
FPIC	Free Prior and Informed Consultation
FGDs	Focus Group Discussions
GoI	Government of India
GoP	Government of Punjab
GRC	Grievances Redress Committee
GRM	Grievances Redress Management
GBV	Gender Based Violence
LMP	Labor Management Procedure
PAP	Project Affected Person
PIU	Project Implementation Unit
PMIDC	Punjab Municipal Infrastructure Development Corporation
PMU	Project Management Unit
RAP	Resettlement Action Plan
RoW	Right of Way
SEP	Stakeholder Engagement Plan
SHG	Self Help Group
SC	Schedule Caste
WB	The World Bank

## 1. BACKGROUND

### 1.1. Project Description

Punjab's four largest Municipal Corporations (MCs)/ULBs appear to be not only engines of economic growth, but also host over half of the urban population in the State. However, MCs and other ULBs in Punjab face serious challenges in responding to urbanization and suffer from institutional and governance shortcomings, including: ambiguous expenditure assignment (e.g. parastatal agencies fulfill many local mandates); inadequate public finance management (PFM) practices; inadequate resources and low transfers; poor management and low collection of own-source revenues; and poor strategic planning and management of infrastructure development. Substantial improvement on most of these fronts is required to enable cities responding to fast-growing needs for expanded and better services.

Water supply and sanitation (WSS) are State subjects in India, where typically, roles and responsibilities of different stakeholders are unclear and/or overlapping. State WSS Departments set policies on quality of service and cost recovery, supply grant funds to ULBs and act as regulators of the WSS services. While ULBs are responsible for WSS services as per the 74th Amendment Act 1992, infrastructure is often developed by State WSS Engineering Agencies and hands it over to ULBs who may or may not have the financial and technical capacity to manage them. Service Level Benchmarks (SLBs) show that coverage of house service connections average around 50 percent, non-revenue water at 33 percent and no city has continuous pressurized supplies. On average only 40 percent of operating costs are recovered from user fees. WSS operations in urban centers in Punjab are poor when compared to benchmarks; cost recovery is low; municipal corporations subsidize operating deficits while government finances capital expenditure; internal capacity, systems and procedures are weak.

Amritsar and Ludhiana Municipal Corporations currently supply ground water from over 800 tube wells in Amritsar and 1000 tube wells in Ludhiana. These tube wells are sometimes located close to drains and waste dumps; supply systems are decentralized with distribution lines connecting individual tube wells directly to nearby households, commercial establishments and other users, supplying water for over 10 hours a day and covering less than 5-15% of total supply area. A fixed tariff for water is charged; however, a large fraction of households are exempt. The current system is inefficient and allows for water wastage as households are not incentivized to save. As a result, cities experience over exploitation of ground water, excessive water supply at high cost, low cost recovery and high waste water generation.

Water quality is also a serious concern as 72% of samples tested by GoP's Department for Water Supply and Sanitation (DWSS) labs in Amritsar were found contaminated with Arsenic. In Ludhiana, DWSS tested water from 40 sources show that 30% samples are contaminated with arsenic, 14% with Selenium and 22% with nitrate. Since ground water exploitation started in the recent past, diseases from arsenic may take 5 to 20 years to appear and hence shifting to surface water is a priority for the GoP.

## 1.2. Project Components

**COMPONENT 1: STRENGTHENING URBAN AND WATER SUPPLY SERVICES MANAGEMENT:** This component will strengthen the systems and capacities of Amritsar Municipal Corporation (AMC) and Ludhiana Municipal Corporation (LMC) in a number of priority areas that enhance their capabilities in urban management and water supply service delivery.

1. **Sub-Component 1a: Strengthening water service management** This sub-component will support the following activities:

(i) Establishment of water and wastewater utilities in Amritsar and Ludhiana MCs. Traditionally, Punjab Water Supply and Sewage Board (PWSSB) had been responsible for implementing all water supply projects; and also operating the water supply system in select cities. In case of Amritsar and Ludhiana, both MCs are managing water and waste water services. The corporations are able to recover only 20-30% of operating costs and rest is being cross-subsidized. The project scope will include setting up a professionally managed water utility; building systems including financial management; hiring staff and building capacity of staff. Each ULB will set up a fully owned WSS utility as a Company with technical and administrative powers for setting and collecting tariff, securing subsidies for full cost recovery. Further, GoP and ULBs will delegate all functional, financial and operational powers to the Board of the Utility Company.

(ii) Technical assistance to strengthen capacities of the WSS utilities with respect to staffing, accountability, engineering, contract management, M&E, citizen outreach, billing and collection. Traditional constraints of public sector employment, such as lack incentives for performance; poor accountability; weak autonomy to execute job responsibilities; poor training and career development opportunities etc. apply to WSS function also. Under the project the following will be implemented to strengthen water services:

- **Organizational structure and staffing:** The project will provide technical assistance for executing a public-private partnership (PPP) in water supply management by entering into performance-based contracts with private operators for upgrading service levels and for operations and maintenance. The water company will have responsibilities for a) contract and performance management, b) long term planning of water and supply and sewage services, c) financial planning of WSS operations, d) customer feedback and interface and e) interface with statutory bodies. The company will have the freedom to recruit/contract a multi-disciplinary staff (including technical, financial, IT, customer service and safeguards).
- **Accountability and transparency:** WSS Standards will be published by the ULBs, based on the Service Level Benchmarks of GoI. The Board of Directors will develop a performance evaluation framework for the company based on WSS performance standards. ULBs may also link the subsidy provided to the company to performance standards. The company will customize and maintain online e-governance platform available in ULBs for customer grievance redressal and report status of citizen complaints to ULB regularly, conduct annual customer satisfaction survey and publish findings on ULB website. It will also publish periodic operational and performance

reports on coverage, quality of service, billing and collection, financial performance, customer feedback etc.

- **Revenue model and financial sustainability:** The company will have two sources of revenue, a) User charges for water supply and sewage and b) subsidy from ULBs for water supply and sewage. ULB will provide earmarked subsidies for WSS out of the GoP transfers to them and also pass on any WSS specific capital or revenue grant. Board of Directors will review the revenue requirements and recommend tariff structure and annual subsidy required. Further, ULB will authorize incremental block volumetric tariff for WSS with concessions for urban poor. ULBs share of GST collections received as Inter-Governmental Fiscal Transfers will be split and a portion transferred to WSS Company. This revision and setting of tariffs will be further supported following implementation of World Bank financed state-level Development Finance Framework (DPF) loan and its corresponding State-wide reform action on water tariff.

2. **Sub-Component 1b: Strengthening urban governance and finance.** This sub-component will strengthen the systems and capacities of AMC and LMC in several priority areas:

- i. Own source revenue enhancement: establishing norms, strengthening systems, improving capacities to strengthen local revenue collection
  - ii. Expenditure management and PFM improvements: strengthening systems, reforming workflow rules and arrangements, improving capacities on planning, budgeting, budget execution, financial management, controls and audit functions.
  - iii. Improve Asset Management and Capital Investment Planning (CIP) capabilities: The Punjab Municipal Corporation Act (GoP 1976) stipulates some fragments of asset management, such as ownership, acquisition and disposal of assets and liabilities but does not provide a legal framework for comprehensive asset management. Amritsar and Ludhiana MCs have limited experience with systems and procedures related to basic Asset Management (AM) or capital investment planning (CIP). Lack of detailed asset records, lack of complete and reliable asset registers hampers effective asset management. Strengthening capabilities to execute projects, developing and operationalizing capital investment planning and AM systems will improve AMC's and LMC's annual budgetary processes.
  - iv. Enhancing the efficiency of MC operations through targeted e-governance measures. PMIDC has taken up an ambitious task to drive e-governance (m-seva) across ULBs in the state offering digital services ranging from - web portals; ULB dashboards, WSS billing, collections; public grievance redressal; trade licenses; fire NOCs; human resource management; finance as part of the e-governance effort. However, adoption has been slow in large corporations such as Amritsar and Ludhiana where ULBs have their own e-governance modules. ULBs have requested customization of process of tax/charges collection through m-seva modules. The project will support AMC and LMC to migrate data, customize and build required capacity.
- **Strengthening capacity.** ULBs face the challenge of availability of trained staff to handle their citizen service demands. At both ULBs (Amritsar and Ludhiana) only about 50% of sanctioned posts are filled. Though there are initiatives for increasing revenue collections, lack of dedicated

staff is bringing up challenges. As both the ULBs move into m-seva domain, effective capacity building will be the single most factor contributing to successful implementation.

- **GIS and Unique ID (UID) integration.** AMC and LMC are aggressively pursuing UID integration along with physical plate installations in residences, with existing UIDs planned to be linked with the 10-digit m-seva unique property number. A common standard in implementation of GIS across water supply services, property taxation etc. is needed, considering the smart city needs of both ULBs. The Project will support AMC, LMC and PMIDC in the integration efforts.
- **Adding modules to existing m-seva e-governance efforts.** Along with property and water, there is a need to streamline trade license and advertising tax to enhance ULB revenues. Other modules such as Advertisement, Estate, asset management and works management will be considered under the project.

### **Potential Risks and Impacts related to the Component 1**

- Equity in water supply and economic access to water supply services for the economically weaker communities and urban poor in light of efforts to reduce non-revenue water and aim at full cost recovery.
- Risk of exclusion of vulnerable communities from the assessment of capacity/ willingness to pay water tariff
- Low current capacities of staff at municipal corporations to ensure inclusion and participation of the marginalized communities and women
- Weak existing social accountability frameworks within the municipal corporations/ implementing agencies and hence poor capacity to effectively use the accountability/ community monitoring tools planned under this component.

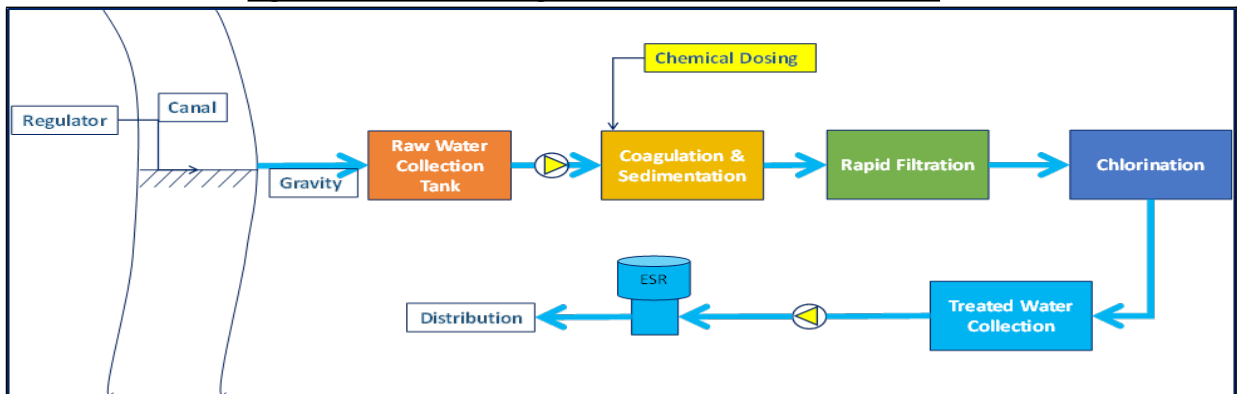
3. **COMPONENT 2: IMPROVING WATER SUPPLY INFRASTRUCTURE** The project will invest in a water treatment plant and core infrastructure (main clear water sump/tanks, transmission lines and overhead storage reservoirs (OHSRs) in both Amritsar and Ludhiana.

(iii) **Overall Design and Scope:** the strategy for improving the water services in Amritsar and Ludhiana is to switch to surface water and primarily draw from canals passing through the cities. The raw water drawn from these canals will be pumped to Water Treatment plants (WTP) constructed under the project. The treated water will be collected in clear water tanks within WTP premises and supplied through pumping to local service reservoirs connected via newly built bulk transmission network. The system would be constructed to deliver high per capita supply (over 150 lpcd) initially to and can remain supplying at a service level of 150 lpcd even for higher population growth rates up to the year 2055. The strategy is also to reduce consumer demand over time through appropriate tariffs to discourage wastage; implement good communication campaigns to change behaviour; and engage citizens on appropriate water use. Investments proposed under the project include raw water systems, water treatment, new service reservoirs and transmission of treated water to local reservoirs (new and old). The bulk treated water will be supplied via existing water distribution network which are currently very old but in usable condition. Hence, piped network replacement is



not proposed within the scope of the project. The cities will use various sources of funding to replace old leaking pipes progressively starting from high density old city areas to low density recently developed areas.

**Figure 1: Schematic design of Water Network Investments**



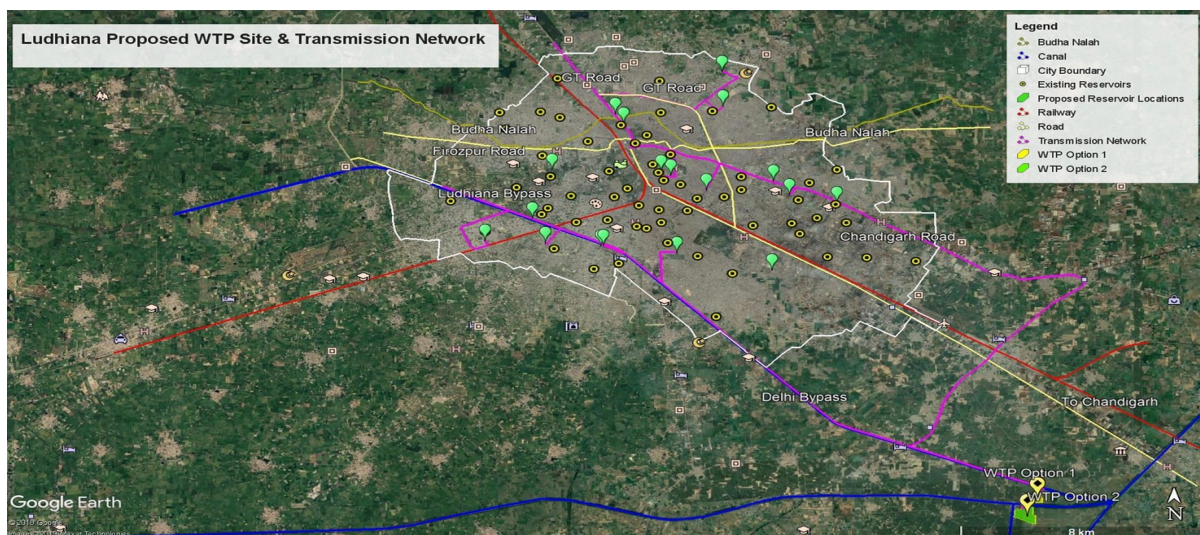
**Estimated Future Population and Water Demand of Cities**

Parameter	Unit	Ludhiana	Amritsar
<i>Projected Population</i>			
Population 2019	Lakhs	18.96	13.15
Population Base Year 2025	Lakhs	20.76	14.51
Population Intermediate Year 2040	Lakhs	25.14	18.15
Population Ultimate Year 2055	Lakhs	29.35	22.11
<i>Raw Water Demand</i>			
	MLD		
Base Year 2025	MLD	408	304
Intermediate Year 2040	MLD	495	375
Ultimate Year 2055	MLD	578	454
<i>Treated Water Demand</i>			
	MLD		
Base Year 2025	MLD	388	289
Intermediate Year 2040	MLD	470	356
Ultimate Year 2055	MLD	549	431

### Ludhiana City:

*Source:* The source of surface water supply will be Sirhind Canal which off-takes from Ropar Headworks on Sutlej River. The canal has an authorized capacity of 12620 cusecs and length of 59.44km with a cultivable command area of 13.59 lakh hectares. Expected abstraction of water allocation being requested is 300cusec. As such, the new water system will draw water from the Sirhind Canal (at the tail point). Sirhind is the main feeding canal to Sidwan canal close to the canal junction point where it splits into three branches located close to Rampur village.

*Investments Proposed:* A conventional water treatment plant of capacity 580mld (ultimate Demand of year 2055) is proposed on 50acres of land preferable close to the canal which has yet to be identified and acquired by LMC. The raw water tapping point is planned to be close to WTP which is designed to be a conventional treatment system comprising of aeration, coagulation, flocculation, sedimentation, rapid gravity filtration and chlorination for disinfection. However, since an operator is allowed to design, build and operate, it is likely that the system will use best and modern technologies. A total capacity of about 8200kw pumping systems are proposed for raw water and treated water pumping with full electronic controls to enable remote operations.

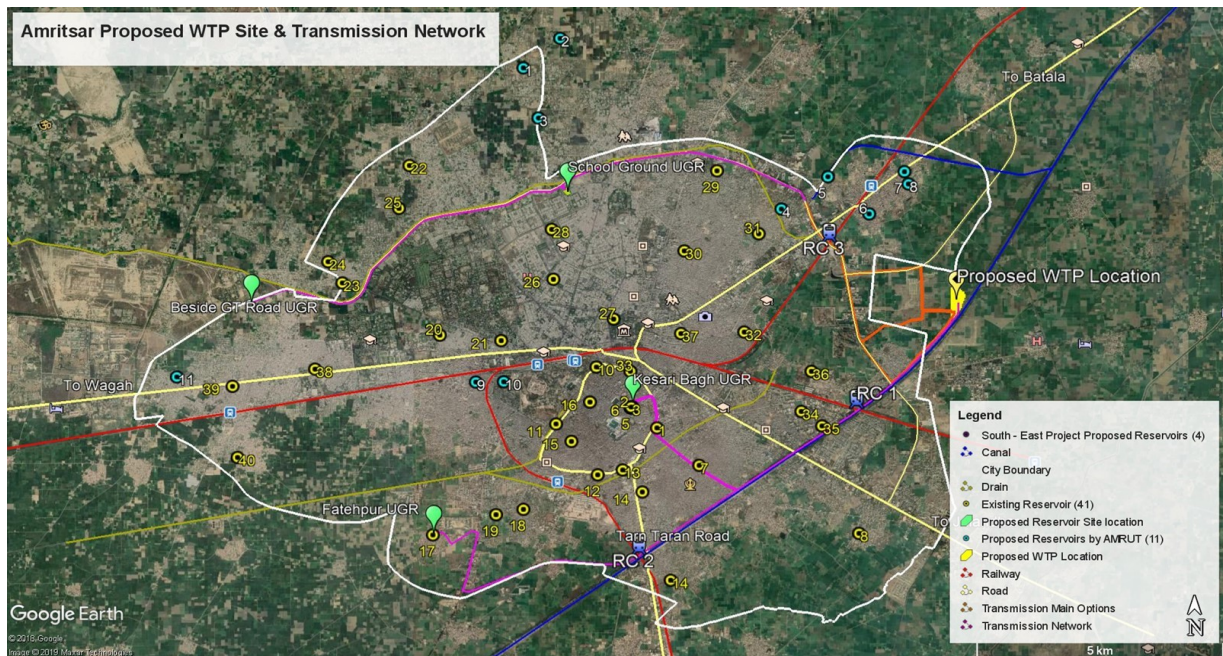


### Amritsar City:

*Source:* Upper Bari Doab Canal (UBDC) which has a cultivable command area of 5.73 lakh hectares and capacity of 11,200 cusecs, is proposed as the source. The irrigation department has provided a No Objection Certificate (NOC) to abstract a continuous supply of 200 cusecs of raw water from UBDC canal near Vallah village for this project. The UBDC system was remodelled during 2001-2005, to ensure full utilization of stored waters of river Ravi, as a result of commissioning of Ranjit Sagar Dam in the year 2000. The UBDC presently, has an authorized discharge of 9000 cusecs.

*Investments Proposed:* A water treatment plant of 431mld is proposed at a 40acre land identified by

the city and close to the UBDC canal. The plant is proposed with conventional treatment system comprising of aeration, coagulation, flocculation, sedimentation, rapid gravity filtration and chlorination for disinfection. However, since an operator is allowed to design, build and operate, it is likely that the system will use best and modern technologies. A total capacity of about 6000kw pumping systems are proposed for raw water and treated water pumping.



### **Potential Risks and Impacts related to the Component 2**

- Generation of waste construction materials and solid waste during construction of WTP and OHSRs, including construction impacts on health & safety
- Sludge/sediment production during WTPs /OHSR construction and operation
- Disruption of traffic, increase in traffic load, congestion on roads and impact on ROW, visual aesthetics, health-safety of populations in the area of impact during trenching and laying of transmission lines
- Impact on community health due to air pollutant and noise emission due to construction activity and increased traffic
- Downstream ecological and bio-diversity related impacts of diversion of canal for water supply services and upstream impacts on dam safety
- Impacts of acquisition of large private land parcels (40 & 50 acres of farmland respectively) for construction of WTPs on the land owners
- Land use and productivity related impacts on farmlands adjacent to the WTP sites (storage of top soil –dispersal of material by wind or runoff during monsoons).
- Economic impacts on tenants, agricultural labourers, migrants dependent on the land procured
- Impacts of civil works including large scale road cutting/trenching for laying transmission lines through dense localities- leading to temporary or permanent economic displacement of street vendors, hawkers, roadside establishments (loss of income)

- Impacts on squatters and encroachers occupying stretches of public land/RoW along the alignments
  - Possible impacts of influx of non-local labour at WTP sites where host communities have 'low absorptive capacities' and impacts arising from poor labour management
  - Damage to cultural assets and heritage due to extensive earthwork, excavation, trenching operations and other physical changes planned across the cities
- **COMPONENT 3: PROJECT MANAGEMENT** This component will support various project management activities related to operations of Project Management Unit, Project Implementation Units in the two MCs, including their project coordination and supervision, safeguards and fiduciary support and monitoring, M&E, communications and outreach, capacity building; communications and outreach activities covering key stakeholders, TA to strengthen social, environmental and fiduciary management in the two MCs.

**Potential Risks and Impacts related to the Component 3**

- Low existing capacities within implementing agencies for managing E& S issues emerging from project investments

**1.3. Purpose of the Stakeholder Engagement Plan**

PMSIP is under preparation and in accordance with World Bank's Environment and Social Framework (ESF) the Environmental and Social Management Assessment is currently underway. In compliance with its requirements under ESS10 on 'Stakeholder Engagement and Information Disclosure', this plan has been developed to guide the engagement of various project stakeholders, including affected persons with the project during its life cycle, spell the strategies and approaches that would be in place to ensure that all stakeholders are informed *a priori* about all proposed project activities and their impacts in a culturally appropriate manner and mechanisms that would be developed by the project to systematically seek their feedback.

ESS10 recognises that effective engagement with the stakeholder can significantly improve the project outcomes and their sustainability through better community acceptance and ownership, enhance the environmental and social sustainability of projects, and hence make a significant contribution to successful project implementation.

This SEP shall serve the following purpose:

- identify different categories of stakeholders in the context of this project and the likely risks and impacts posed to them;
- understand the requirements for engagement for each category of stakeholder under the project, including their information and engagement needs;
- provide a roadmap for stakeholder engagement, including the strategies and approaches to be adopted and their timing through the project cycle;



- provide guidance on the likely information disclosure and consultation strategies that the project could use based on a) their importance, b) the profile and needs of the targeted stakeholders- giving the stakeholders an opportunity to proactively participate and influence project planning/ design;
- establish formal grievance/resolution mechanisms for the stakeholders;
- define roles and responsibilities for implementation of the SEP, including the resource requirements; and
- recommend the reporting and monitoring measures to ensure effective implementation of the SEP.

## **2. National Requirements related to Stakeholder Engagement**

Apart from the requirements under ESS10, this SEP also fulfills the requirements for information disclosure and stakeholder consultation prescribed under 3 major legislations of the government of India. These are:

- Right to Information Act of 2005
- Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act of 2013
- Environmental Impact Assessment Notification (EIA) of 2006 (including all subsequent amendments) as notified by Ministry of Environment, Forests and Climate Change, GoI

The Right to Information Act, 2005 is a progressive rights-based accountability and transparency enforcement mechanism available to citizens which allows them to seek information related to government programs in personal or larger public interest and mandates the provision of this information within a stipulated timeframe. The Act is implemented in states through the office of the State Information Commissioners and Information officers designated for each public office. It makes the public offices and duty-bearers liable to providing correct and detailed information demanded by the citizen within designated timeframes, with mechanisms for appeals and sanctions if information provided is inadequate or incorrect.

Similarly, the Land Acquisition Act of 2013 (LARR 2013) also makes it imperative that in case of involuntary resettlement all project affected persons and families be duly consulted and engaged in the process of social impact assessment and the process mandatorily include community consultations to assess the nature and magnitude of impact. The Act also provides for seeking inputs and concurrence from the affected families, communities and Gram Sabha (village assembly) on the draft resettlement package prepared for them and incorporation of their suggestions and concerns in the final package.

The Environmental Protection Law also recognizes the right of citizens to live in a healthy environment -protected from any adverse environmental impacts and provides detailed protocols and guidance on environment management. It also provides citizens the right to environmental information as well as to participate in developing, adopting, and implementing decisions for managing environmental impacts. It also has provisions for public hearing during the process of project planning to ensure public discussion during project implementation and makes it obligatory for project authorities to incorporate suggestions received from the citizens.



### **3. Summary of Previous Stakeholder Engagement Activities**

As part of preparation 2 separate rounds of Stakeholder consultations were undertaken by PMIDC.

The first was social screening and consultations was done internally by the Smart City staff of the Amritsar and Ludhiana municipalities between August- October 2019, wherein the staff held consultations with the local community, took a transect walk along the potentially impacted areas to understand land requirements, presence of squatters, encroachers, get people's views on the proposed project, understand their views on any adverse social and environmental impacts and elicit necessary community participation in the program. These consultations covered one potential WTP and 17 OHSR sites apart from 6 additional consultation covering 50 stakeholders in Amritsar City and 12 OHSR/ UGSR sites in Ludhiana City covering 124 stakeholders

The second round of community consultations were done in January- February 2020 as part of the ESMF and ESMP preparation process by the consultant agency hired for preparation of the safeguards instruments.

These consultations aimed to obtain the views of direct & indirect stakeholders for sustainable and effective water supply services, find out the likely project impacts (positive and negative) during different stages of the project (before construction, during construction and after construction) and the associated environmental & social risks, as perceived by these stakeholders, and understand from them the possible measures required to minimize or manage those risks.

#### **3.1. Summary of Round -I Consultations (August- October 2019)**

Consultations around the potential sites for OHSRs/ ESRs in the 2 cities brought out the following:

- The participants who were also residents of the city appreciated the plan of the municipal corporation to switch from ground to surface water, in view of the rapid depletion of Ground water in the cities and the deterioration in water quality.
- They suggested that proper measures be taken to reduce disturbance to the residents due to dust and noise during the construction phase.
- Where OHSRs were proposed inside park premises, residents recommended common toilet facility for use by residents and outsiders, improved electricity and lighting in the park, proper plantations and improved greenery in the park and better infrastructure for children.
- Stakeholders around the WTP side suggested that the access road to their village/ habitation be improved, since it will get damaged during WTP construction. They requested that proper drinking water facility be provided to the local villagers along with proper drainage systems and also wanted employment for local residents during the construction and operational phase of the project

#### **3.2. Summary of Round -II Consultations (January- February 2020)**

In Amritsar city consultations were held at 5 locations with 129 stakeholders, which included Ward councilors, Mayor, NGOs, Youth, Resident welfare Associations, Local Community, street vendors/

Shopkeepers and Senior Citizens. The following were the concerns and measures suggested by them:

<b>Stakeholder Concerns</b>	<b>Suggested Measures</b>
Proper height of the OHSR needs to be maintained so that flow of water at good pressure is available to households	Ensure proper Height of the OHSR considering the locality
Availability & timing of water supply needs to ensure the requirements of the residents	Availability of 24x 7 water supply in the area will be good
Measures need to be in place to ensure environmental safety and no tampering of the OHSR	Safety measures should be in place along with some, security at the OHSR sites
Maintenance of greenery around the OHSR will be good	Plantation of trees around the OHSR will be a good step in this direction
Some parks identified for OHSR are the only parks in the locality which many people visit for walks and recreation	Suggestion on other locations, including government institutions available in the vicinity were made for OHSR
Debris from the vehicles used in the construction phase will cause dust pollution	Vehicles used for carrying the construction materials should be covered to minimize dust
Emergency and alternate back-up arrangements for the OHSRs	Provisions need to be in place like extra motors for emergency in case the main pumping mechanism at the OHSR fails
Existing pipelines are more than forty years old and in a poor condition, at some place the drinking water is getting contaminated with sewerage due to leakages	Instead of just augmentation and repair, totally new pipelines should be laid till the households for water supply

In Ludhiana city consultations were held at 8 locations with 77 stakeholders which included ward councillors, NGOs, youth, resident welfare associations, local community, street vendors/ Shopkeepers and Senior Citizens. The following were the concerns and measures suggested by them:

<b>Stakeholder Concerns</b>	<b>Suggested Measures</b>
There is interrupted water supply, Water supply pressure is low and current schemes have unreliable water lifting arrangements	Repair old OHSRs is required before initiating construction of new storage tanks; to maintain adequate water supply pressure, the corporation should ensure proper height of the OHSRs; Existing tubewell supply should not be disrupted so that it can work as a backup in case of failure of the new system; there should be proper arrangement for lifting water to the tanks including provision of extra motors in case of emergency.
Safety of OHSR needs to be addressed	There should be a boundary-wall around the OHSR for safety of reservoir & preventing unauthorized



	access
Environmental and safety measures need to be in place at the OHSRs	There should be a plan available for fire safety at location with high population density and areas with several micro- small enterprises as the risk of fire is very high in such areas
Greenery near the OHSR needs to be in place	Plantation of trees around the OHSR needs to be done
If 24x 7 water supply is plabbed then awareness about water conservation needs to be done around the OHSR	Slogans regarding water conservation and saving water need to be written around the boundary walls of the OHSRs
Location of the OHSR needs to be decided after consultation with residents and proper planning	Location of OHSRs should be checked and assessed before undertaking the construction of OHSRs
Daily work routine should not be hampered during the process of construction	Maximum care needs to be taken to minimize disruption to the daily routine of the residents and establishments
Debris from transportation of the construction material needs to be managed well	Vehicles used for carrying construction materials should be covered and properly handled
Some of the OHSRs are proposed in areas which are densely populated	Suggestions on identification of alternate sites instead of the ones chosen, which are more appropriate and that will have minimum adverse impact and cause least inconvenience to the local communities
The existing water tanks are in poor condition	The old OHSRs should be demolished before initiating construction of new ones as they pose danger to residents
At some locations before initiating construction ownership of land needs to be ensured- whether the city improvement trust owns it or the corporation	Approval for OHSR construction should be given only after ascertaining the ownership of the land
During the construction phase, measures should be in place so that pipelines are not damaged by tampering or digging for other civil works	OHSR body and pipelines should be made up of steel so that there is no problem in dismantling it
Measures should be in place such that all inconveniences caused during the construction phase are remedied immediately	Pipelines should be reconstructed and roads repaired at the earliest, immediately after the construction; park beautification should be undertaken  Convenience of residents of the area should be taken into consideration during the construction of OHSR & laying of pipelines.  Works along main roads should be done during night

	hours, so that traffic disruption is minimal
Development and employment opportunities to local stakeholders	During OHSR construction, O&M of water supply services, people from the locality should be provided employment

#### **4. Stakeholder Identification and Analysis of Engagement Requirements**

As per ESS10 depending on the nature and scope of the project and its potential risks and impacts, there are 3 categories of project stakeholders:

1. **Affected Parties:** individuals, groups, local communities, and other stakeholders that may be directly or indirectly affected by the project, positively or negatively.
2. **Other interested parties:** those interested in the project because of its location, its proximity to natural or other resources and may be local government officials, community leaders, and CSOs particularly those who work in or with impacted communities and may have a role in project preparation or be in a community affected by the project.
3. **Disadvantaged / vulnerable individuals or groups:** vulnerable individuals or groups who often do not have a voice to express their concerns or understand the likely project impacts.

In the context of this project, the potential project stakeholder individuals, groups, or communities that are likely to be affected by the project, may have an interest in project or are vulnerable and marginalized are listed below. This is based on an assessment of the ability of the stakeholder group to influence project activities and sustainability of project investments, their dependence on the benefits the project is expected to bring, their ability to galvanise and influence other important stakeholders or their expressed interest in the project outcomes or in the community, region within the city where the project is planned to be operationalised.

##### **4.1. Stakeholder Profile and Information Needs**

The nature of impacts they are likely to face (in case of affected parties and disadvantaged / vulnerable groups), the role they may play in managing other stakeholders/ impacts as well as their characteristics and specific information and consultation related needs are also discussed in this table:

S No	Stakeholder Category	Specific Stakeholders	Likely Impact from Project Investments	Stakeholder Characteristics and Specific Engagement/ Information Needs
1	<b>Affected Parties</b>	Owners of land acquired/ transacted for WTP and other land requirements	Direct adverse impacts on livelihoods and habitations due to dependence on the land acquired	Characteristics- Rural or peri-urban areas, farming communities, low literacy and awareness levels Needs- local dialect, verbal or pictorial communication preferred
2		Farmers/ Owners of land adjacent to Lands acquired for WTP	Potential impacts on their agri-based livelihood owing to WTP construction activities during and after the construction phase	Characteristics- Rural or peri-urban areas, farming communities, low literacy and awareness levels Needs- local dialect, verbal or pictorial communication preferred
3		Tenants/ labourers dependant on lands acquired	Direct adverse impacts on livelihoods due to dependence on the land acquired for WTP construction	Characteristics- Rural or peri-urban areas, farming communities, very low literacy and awareness levels Needs- local dialect, verbal or pictorial communication preferred
4		Households on alignment of transmission lines or in proximity to OHSR sites <sup>1</sup>	Temporary impacts on daily routines during the construction phase, long term impacts on well-being and loss of valuation of assets (for owners of houses adjacent to OHSRs) due to location of OHSRs	Characteristics- Urban , mostly educated residents, medium to high literacy and awareness levels Needs- official/ local language, local print media preferred for effective city wide outreach
5		Small businesses along transmission lines or in	Temporary economic impacts or short term inconvenience during construction	Characteristics- Urban residents, literacy and awareness levels varies with type of

<sup>1</sup> All consumer households in the city are not covered since investments under the current project are limited to creating WTPs and developing transmission lines from the treatment plants to the OHSRs/ESRs.

S No	Stakeholder Category	Specific Stakeholders	Likely Impact from Project Investments	Stakeholder Characteristics and Specific Engagement/ Information Needs
		proximity to OHSR sites	phase	establishment Needs- official/ local language, verbal and local print media preferred for effective outreach
6		Large commercial establishments along alignments of water transmission lines	Short term access related inconvenience for owners/ employees	Characteristics- Urban , educated with medium to high literacy and awareness levels Needs- official/ local language, local print media preferred for effective outreach
7		Hawkers/ Vendors along transmission alignments and in proximity to OHSR sites	Temporary physical and/ or economic displacement related impacts along with short term inconvenience during construction phase	Characteristics- Urban residents but mostly poor migrants; literacy and awareness levels are generally poor Needs- national or local language may be preferred depending on profile, verbal or pictorial/ graphical communication may be preferred
8		Squatters living along the alignment and RoW of transmission lines	Temporary physical displacement related impacts along with short term inconvenience during construction phase	Characteristics- Urban residents but mostly poor migrants; literacy and awareness levels are generally poor Needs- national or local language may be preferred depending on profile, verbal or pictorial/ graphical communication may be preferred
9		Owners of institutions/ structures impacted by	Short term inconvenience during construction phase	Characteristics- Urban , educated with medium to high literacy and awareness

S No	Stakeholder Category	Specific Stakeholders	Likely Impact from Project Investments	Stakeholder Characteristics and Specific Engagement/ Information Needs
		alignments		levels Needs- official/ local language, local print media preferred for effective outreach
10		Labourers and Workers	Impacts during the construction phase	Characteristics- largely, rural, non-local, with low to medium levels of literacy and awareness Needs- national or local language may be preferred depending on profile, verbal or pictorial/ graphical communication may be preferred related to workers grievance mechanisms, labour laws, code of conduct,
11	<b>Other Interested Parties</b>	Resident Welfare Associations (RWAs)	Members of the association will be impacted and they will have a role in understanding project objectives, generating consensus on sites selected and support for implementation in their respective areas	Characteristics- Urban , educated with medium to high literacy and awareness levels Needs- official/ local language, group consultations and local print media may be preferred medium of engagement
12		Elected Representatives of Municipal Corporations	Will face impacts in constituency if adverse impacts of land purchase or alignment works and hence will play a role in land purchase/ acquisition, inform the design and alignments during pre-construction and construction phases and help generate consensus	Characteristics- Urban , educated with medium to high literacy and awareness levels Needs- official/ local language, larger group consultations, individual discussions and local print media may be preferred medium of engagement

S No	Stakeholder Category	Specific Stakeholders	Likely Impact from Project Investments	Stakeholder Characteristics and Specific Engagement/ Information Needs
13		Civil Society Organisations	Will have a role in providing E&S oversight, creating project related awareness, including its GRM and supporting information disclosure due to better understanding of the context and communities	Characteristics- Urban , educated with medium to high literacy and awareness levels Needs- official/ local/ national language, group consultations and local print media may be preferred medium of engagement
14		Media	Will have a role in providing E&S oversight, creating project related awareness, including its GRM and supporting information disclosure	Characteristics- Urban , educated with medium to high literacy and awareness levels Needs- regular discussions and briefings in the official/ local/ national language, officials write-ups from the IAs may be effective mediums of engagement
15		Staff of related line departments like Punjab Water Supply & Sewage Board-PWSSB, irrigation, State or Central Public Works Department SPWD/CPWD	Will have a role in ensuring compliance with various regulations and coordinating with IAs at the state and city level	Characteristics- Urban , educated with high literacy and awareness levels Needs- official/ local/ national language, regular trainings and information on project objectives and proposed activities
16		Service providers and duty bearers belonging to the implementing agency	Will have a role in ensuring compliance with various regulations, implementing the E&S instruments, seeking engagement with stakeholders managing the GRM and ensuring redress/ resolution	Characteristics- Urban , educated with high literacy and awareness levels Needs- official/ local/ national language, regular trainings and information on project objectives and proposed activities
17		Staff of Municipal Corporations	Will have a role in ensuring compliance	Characteristics- Urban , educated with

S No	Stakeholder Category	Specific Stakeholders	Likely Impact from Project Investments	Stakeholder Characteristics and Specific Engagement/ Information Needs
			with various regulations, implementing the E&S instruments, seeking engagement with stakeholders managing the GRM and ensuring redress/ resolution	medium to high literacy and awareness levels Needs- official/ local/ national language, regular trainings and information on project objectives and proposed activities
18		Community / Religious leaders	Members of communities may be impacted and leaders will have a role in understanding project objectives, generating consensus within communities on sites-selected and support for implementation, helping IAs in managing risks related to cultural heritage	Characteristics- Urban , educated with medium to high literacy and awareness levels Needs- official/ local language, larger group consultations, individual discussions and local print media may be preferred medium of engagement
19		State Pollution Control Board	Will have a role in ensuring compliance with various regulations and coordinating with IAs at the state and city level	Characteristics- Urban , educated with high literacy and awareness levels Needs- official/ local/ national language, regular trainings and information on project objectives and proposed activities
20		Archaeological Survey of India	Will have a role in ensuring compliance with various regulations and coordinating with IAs for managing risks related to cultural heritage	Characteristics- Urban , educated with high literacy and awareness levels Needs- official/ local/ national language, regular trainings and information on project objectives and proposed activities
21		Trainings and Capacity building Institutions	May need to address impacts and their management through their trainings for IAs and other participants	Characteristics- Urban , educated with high literacy and awareness levels Needs- official/ local/ national language,



S No	Stakeholder Category	Specific Stakeholders	Likely Impact from Project Investments	Stakeholder Characteristics and Specific Engagement/ Information Needs
				regular trainings and information on project objectives and proposed activities
22	<b>Vulnerable groups</b>	Scheduled Castes	May be disproportionately impacted due to alignments/ RoW or land acquisition/ purchase if not part of organized community institutions like RWAs	Characteristics- largely poor, with low to medium literacy and awareness levels Needs- local dialect may be preferred depending on profile and residence, verbal or pictorial/ graphical communication during non- working hours may be preferred for engagement
23		Migrants	Both cities have certain pockets with high concentration of migrants and may be adversely impacted if not made part of the consultation and engagement process, especially since many of these settlements are unorganized and under-served by existing public services	Characteristics- largely poor, with low literacy and awareness levels Needs- local dialect may be preferred depending on profile and original residence, verbal or pictorial/ graphical communication during non- working hours may be preferred for engagement
24		Women Headed Households/ Single Women	May get adversely impacted if not made part of the formal consultation and engagement process (as culturally predominantly male members participate in formal meetings/ consultations)	Characteristics-urban residents, with low to medium literacy and awareness levels Needs- local dialect/ language and verbal/ pictorial/ graphical/ print communication may be preferred depending on profile and awareness levels, with dedicated consultations with women only members/ residents
25		People with disabilities (PwD)	May get adversely impacted if not made	Characteristics- Urban , mostly educated

S No	Stakeholder Category	Specific Stakeholders	Likely Impact from Project Investments	Stakeholder Characteristics and Specific Engagement/ Information Needs
			part of formal consultation and engagement process, or if accessibility/ mobility is a challenge	residents, medium to high literacy and awareness levels Needs- official/ local language, local print media preferred for effective city wide outreach and consultations within close proximity to residence in PwD accessible locations
26		Urban Poor/ Slum dwellers	Both cities have several slums inhabited by the urban poor and may be adversely impacted if not informed/ consulted, since many settlements are unorganized and under-served by existing public services	Characteristics- poor, with low literacy and awareness levels Needs- local dialect or national language may be preferred depending on profile and original residence, verbal or pictorial/ graphical communication during non-working hours may be preferred for engagement

## 4.2. Stakeholder Engagement Methods to be Used in the Project Cycle

The following mechanisms will be put in place by the project at the City level in Amritsar and Ludhiana for stakeholder engagement based on the purpose of engagement.

Purpose of Engagement	Type of Engagement	Description of Engagement Method
<b>Information Dissemination (Information Education Communication)</b>	Wall paintings and Slogans	In the area of impact and around the OHSRs/ ESRs with project information
	Notice boards and Signage	Stakeholder specific/ precautionary notices and signage
	TV insertions	On project information, benefits, activities proposed, alignment descriptions and routes, duration and timing of activities, grievance mechanisms
	Radio jingles/ information capsules	On project information, traffic advisories, duration and timing of activities, grievance mechanisms
	Print-Newspaper, Newsletter / leaflets/ Pamphlet	On project information, site specific interventions proposed, duration and timing of activities, grievance mechanisms
	Digital information repository/ Website/ Portals / social media	Detailed project information, site specific interventions proposed, safeguard measures proposed and disclosure of instruments developed, detailed schedule of duration and timing of activities in various localities, grievance mechanisms
<b>Consultation and Participation</b>	Public hearings/ Open forums/ townhall meetings	Communication on proposed project activities with larger groups in the presence of representatives of implementing agencies, on measures in place to minimize adverse impacts/ inconvenience, provide forum for people to provide feedback and suggestions and air their opinions- views

Purpose of Engagement	Type of Engagement	Description of Engagement Method
	Focus Group Discussions	Communication on proposed project activities with small homogenous groups in the presence of representatives of implementing agencies, on measures in place to minimize adverse impacts/ inconvenience, provide forum for people to provide feedback and suggestions and air their opinions- views
	Information Camps/ Site Offices	Availability of all site-specific information apart from larger project details, details of works proposed/ undertaken, designated site/ camp specific focal point for providing information, receiving feedback/ grievances, grievance mechanisms in place for the project
	One on One and formal small group meetings/ discussions	With stakeholders crucial for getting community support like elected representatives, community leaders, RWA presidents, media personnel for briefing about the project, seeking support for wider engagement, addressing conflicts and on-boarding of communities
<b>Feedback Mechanisms</b>	Telephone Helpline / e-mails	Centralised helplines/ toll-free numbers and e-mails for providing information and receiving feedback/ registering grievances
	Mobile Applications/ Other Digital Interface	Mobile applications linked to city specific apps like m-Sewa and other digital platforms for receiving project specific information
	Client survey/ Citizens report Cards/ Social Audit	Periodic client perception surveys and community monitoring using different tools/ methods on a sample basis across the project areas with impacted communities
	Suggestion box	At all project sites/ ward offices/ other convenient spots for inviting project specific suggestions, with focal points designated for each suggestion box



### 4.3. Stakeholder Engagement Strategy

SEP will remain a live document and additional measures, engagement strategies will be incorporated into the place through the project cycle based on the experience gathered on the effectiveness of the existing methods of engagement during the implementation phase. The following table presents the proposed strategy for stakeholder engagement and information disclosure. It also spells out the timing of the intervention, target audience of the engagement and the parties responsible for it at various stages of the project cycle.

Stakeholder Engagement and Information Disclosure Strategy				
Component 1: Urban Management Strengthening and Project Management- <i>Institutional improvements in urban governance, finance and water supply; Project management, including fiduciary and safeguards management</i>				
Target stakeholders	Information to be disclosed	Proposed engagement & disclosure method	Timing of Engagement	Responsible Parties
Staff of Implementing Agencies -Amritsar and Ludhiana Municipal Corporation. PMIDC and staff hired by PMC and PIUs Elected leaders- Mayor, mayor-in-council, ward members/ corporators	<ul style="list-style-type: none"> <li>• Project Information</li> <li>• Urban reforms proposed under the component</li> <li>• Capacity building initiatives planned</li> <li>• Grievance mechanisms set up</li> </ul>	<ul style="list-style-type: none"> <li>• Consultation meetings at MC and PMIDC</li> <li>• Formal one-on one with senior staff and Elected representatives</li> <li>• Website notifications</li> </ul>	<ul style="list-style-type: none"> <li>• Multiple time during pre- construction</li> <li>• Once during pre- construction phase</li> <li>• Continuous</li> </ul>	PMIDC and AMC/ LMC Staff DPR Consultants
Consumers of water supply services in the 2 municipal corporations along with RWAs/ Elected Leaders	<ul style="list-style-type: none"> <li>• Project Scope</li> <li>• Steps proposed by the MCs for improving revenue realization</li> <li>• Water tariff structures proposed as part of reform</li> <li>• Assessment of the capacity and willingness to pay</li> <li>• E-governance measures proposed to be</li> </ul>	<ul style="list-style-type: none"> <li>• Newsletter/ leaflets/ Pamphlet</li> <li>• Public hearings and Open forums</li> <li>• Website/ Portals / social media</li> <li>• One on One and formal small group</li> </ul>	<ul style="list-style-type: none"> <li>• Periodic</li> <li>• Weekly meetings in different localities</li> <li>• Continuous in pre- construction phase</li> <li>• Multiple meetings with RWAs and</li> </ul>	PMIDC and AMC/ LMC Staff

**Stakeholder Engagement and Information Disclosure Strategy**

**Component 1: Urban Management Strengthening and Project Management-** *Institutional improvements in urban governance, finance and water supply; Project management, including fiduciary and safeguards management*

Target stakeholders	Information to be disclosed	Proposed engagement & disclosure method	Timing of Engagement	Responsible Parties
	deployed under this component <ul style="list-style-type: none"> <li>• Awareness raising on GRM deployed by the project, including site- specific mechanisms and city level GRCs</li> <li>• Awareness for participation in the periodic client satisfaction surveys</li> </ul>	meetings <ul style="list-style-type: none"> <li>• Notice Boards at sites and site offices/ Website</li> <li>• Radio and newspaper insertions</li> </ul>	Elected leaders <ul style="list-style-type: none"> <li>• Continuous during construction phase</li> <li>• As and when, before and during the surveys</li> </ul>	

**Stakeholder Engagement and Information Disclosure Strategy**

**Component 2: Water Supply Improvements -WTP construction, Transmission Lines and construction of OHSRs/ESRs**

<b>Target stakeholders</b>	<b>Information to be disclosed</b>	<b>Proposed engagement &amp; disclosure method</b>	<b>Timing of Engagement</b>	<b>Responsible Parties</b>
Land owners selling their lands and tenants	<ul style="list-style-type: none"> <li>• Project scope and design details, design/ site alternatives for impact minimization</li> <li>• Land acquisition, Compensation process and timelines for completion</li> <li>• Impact mitigation and enhancement measures</li> <li>• Communication on final R&amp;R provisions as approved by the govt.</li> <li>• Labour management plans/ proposed camp sites</li> <li>• Community and Occupational Safety measures planned for WTP</li> <li>• Grievance mechanism in place for PAPs</li> </ul>	<ul style="list-style-type: none"> <li>• Household surveys, FGDs</li> <li>• Information Camps/ Site Offices</li> <li>• Small group meetings</li> <li>• GRM Helpline number through display at project locations</li> <li>• Pamphlets on R&amp;R process, entitlements and compensation mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>• Survey at least once and 2-3 round FGDs</li> <li>• Continuous, at site till completion of R&amp;R</li> <li>• Multiple rounds</li> <li>• Continuous till completion of RAP implementation</li> <li>• Once before initiating socio-economic survey &amp; consultation for preparation of SIA and RAP</li> </ul>	<ul style="list-style-type: none"> <li>• PMIDC through AMC/ LMC</li> <li>• DPR consultants</li> <li>• Revenue department</li> </ul>



**Stakeholder Engagement and Information Disclosure Strategy**

**Component 2: Water Supply Improvements -WTP construction, Transmission Lines and construction of OHSRs/ESRs**

<b>Target stakeholders</b>	<b>Information to be disclosed</b>	<b>Proposed engagement &amp; disclosure method</b>	<b>Timing of Engagement</b>	<b>Responsible Parties</b>
Project Affected Persons- impacted by temporary economic or physical displacement- tenants/ hawkers/ vendors on alignments	<ul style="list-style-type: none"> <li>• Project design details, alignments and their impacts</li> <li>• Provisions for compensating economic and physical displacement, timelines for completing rehabilitation</li> <li>• Communication on final rehabilitation/ compensation approved by govt.</li> <li>• Grievance mechanism in place</li> </ul>	<ul style="list-style-type: none"> <li>• Socio- economic survey</li> <li>• FGDs and small group consultations</li> <li>• Print-Newspaper, Newsletter / leaflets/ Pamphlet</li> <li>• Radio information capsules</li> </ul>	<ul style="list-style-type: none"> <li>• Once</li> <li>• At least twice- before &amp; after compensating</li> <li>• Multiple times during alignment/ OHSR works</li> <li>• Weekly insertions on project and grievance mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>• PMIDC and LMC/AMC</li> <li>• DPR consultants</li> <li>• SIA-RAP preparation agency</li> <li>• Contractor</li> <li>• Supervising Engineers</li> </ul>
Project Affected Persons- specifically Disadvantaged & vulnerable – Squatters	<ul style="list-style-type: none"> <li>• Project design details, alignments and their impacts</li> <li>• Provisions for compensating economic and physical displacement, timelines for completing rehabilitation</li> <li>• Special provisions in place for vulnerable groups</li> <li>• Communication on final rehabilitation/ compensation approved by govt.</li> <li>• Grievance mechanism in place</li> <li>• LMP implementation procedures</li> <li>• Specific design interventions for vulnerable and disadvantaged</li> </ul>	<ul style="list-style-type: none"> <li>• Socio- economic survey</li> <li>• FGDs and small group consultations</li> <li>• Wall paintings/ slogans, notice boards and signage</li> <li>• Telephone helpline</li> </ul>	<ul style="list-style-type: none"> <li>• Once during the pre-construction phase</li> <li>• Once during the pre-construction phase</li> <li>• Continuous through construction phase</li> <li>• Continuous through construction phase</li> </ul>	<ul style="list-style-type: none"> <li>• PMIDC and AMC/LMC</li> <li>• DPR consultants</li> <li>• SIA-RAP preparation agency</li> <li>• Contractor</li> <li>• Supervising Engineers</li> </ul>
Project Affected Persons-	<ul style="list-style-type: none"> <li>• Project design details, alignments and</li> </ul>	<ul style="list-style-type: none"> <li>• Socio- economic</li> </ul>	<ul style="list-style-type: none"> <li>• Once during the pre-</li> </ul>	<ul style="list-style-type: none"> <li>• PMIDC and</li> </ul>

### Stakeholder Engagement and Information Disclosure Strategy

#### Component 2: Water Supply Improvements -WTP construction, Transmission Lines and construction of OHSRs/ESRs

Target stakeholders	Information to be disclosed	Proposed engagement & disclosure method	Timing of Engagement	Responsible Parties
specifically Disadvantaged & vulnerable - Women Headed Households	their impacts <ul style="list-style-type: none"> <li>• Provisions for compensating economic and physical displacement, timelines for completing rehabilitation</li> <li>• Special provisions in place for WHHs</li> <li>• Communicating final rehabilitation/ compensation approved by govt.</li> <li>• Grievance mechanism in place</li> <li>• GBV related issues and LMP implementation procedures</li> <li>• Specific design interventions for WHH</li> </ul>	survey <ul style="list-style-type: none"> <li>• Consultations with WHHs and women residents</li> <li>• Wall paintings/ slogans, notice boards and signage</li> <li>• Telephone helpline</li> </ul>	construction phase <ul style="list-style-type: none"> <li>• Once during the pre-construction phase</li> <li>• Continuous through construction phase</li> <li>• Continuous through construction phase</li> </ul>	AMC/LMC <ul style="list-style-type: none"> <li>• DPR consultants</li> <li>• SIA-RAP preparation agency</li> <li>• Contractor</li> <li>• Supervising Engineers</li> </ul>
Project Affected Persons-specifically Disadvantaged & vulnerable - People with Disabilities (PwD)	their impacts <ul style="list-style-type: none"> <li>• Project design details, alignments and their impacts</li> <li>• Provisions for compensating economic and physical displacement, timelines for completing rehabilitation</li> <li>• Special provisions in place for PwDs</li> <li>• Communicating final rehabilitation/ compensation approved by govt.</li> <li>• Specific Grievance mechanism in place accessible to PwDs</li> <li>• Specific design interventions for PwDs</li> </ul>	Socio- economic survey <ul style="list-style-type: none"> <li>• Exclusive consultations with PwDs</li> <li>• Wall paintings/ slogans, notice boards and signage</li> <li>• Telephone helpline</li> </ul>	construction phase <ul style="list-style-type: none"> <li>• Once during the pre-construction phase</li> <li>• Once during the pre-construction phase</li> <li>• Continuous through construction phase</li> <li>• Continuous through construction phase</li> </ul>	PMIDC and AMC/LMC <ul style="list-style-type: none"> <li>• DPR consultants</li> <li>• SIA-RAP preparation agency</li> <li>• Contractor</li> <li>• Supervising Engineers</li> </ul>
Households on alignment of transmission lines or in	<ul style="list-style-type: none"> <li>• Project design details, planned alignments and their impacts</li> </ul>	<ul style="list-style-type: none"> <li>• Public hearings and Open forums/ town-</li> </ul>	<ul style="list-style-type: none"> <li>• At least Once during pre-construction phase</li> </ul>	<ul style="list-style-type: none"> <li>• PMIDC along with AMC/LMC</li> </ul>

**Stakeholder Engagement and Information Disclosure Strategy**

**Component 2: Water Supply Improvements -WTP construction, Transmission Lines and construction of OHSRs/ESRs**

Target stakeholders	Information to be disclosed	Proposed engagement & disclosure method	Timing of Engagement	Responsible Parties
proximity to OHSR sites	<ul style="list-style-type: none"> <li>• Design and site alternatives explored for impact minimization</li> <li>• Accidents and road safety/ traffic management issues and measures planned to be in place;</li> <li>• Information on likely disruptions to services and arrangement during construction including its duration and likely timings</li> <li>• Management of air and noise pollution; Disruption to services and arrangement during construction</li> <li>• Community and Occupational Safety measures planned for WTP/ OHSR constructions and transmissions;</li> <li>• Excavation works-sludge/ earth disposal plans</li> <li>• Labour management plans/ proposed camp sites</li> <li>• Grievance mechanism process</li> </ul>	<ul style="list-style-type: none"> <li>halls</li> <li>• Focus group discussions</li> <li>• TV-Radio-Print- Digital based information dissemination</li> <li>• Newsletters/ pamphlets/ flyers</li> <li>• Helpline/ Toll-free numbers displayed at project locations and prominently accessed areas</li> <li>• Suggestion boxes at site offices</li> </ul>	<ul style="list-style-type: none"> <li>• Twice- before and after intervention</li> <li>• Multiple times including during the construction phase</li> <li>• Once before initiating construction</li> <li>• Continuous through RAP implementation</li>   <li>• Continuous through RAP implementation</li> </ul>	<ul style="list-style-type: none"> <li>• DPR Consultants</li> <li>• SIA-RAP Consultant</li> <li>• Contractor</li> </ul>
Other Interested Parties: <ul style="list-style-type: none"> <li>• Resident Welfare Associations (RWAs)</li> </ul>	<ul style="list-style-type: none"> <li>• Project design details, planned alignments and their impacts</li> <li>• Design and site alternatives explored</li> </ul>	<ul style="list-style-type: none"> <li>• One-on-one meetings</li> <li>• Formal Small group meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Once before construction phase</li> <li>• As and when required</li> </ul>	<ul style="list-style-type: none"> <li>• PMIDC and LMC/ AMC staff</li> <li>• DPR consultant</li> </ul>

**Stakeholder Engagement and Information Disclosure Strategy**

**Component 2: Water Supply Improvements -WTP construction, Transmission Lines and construction of OHSRs/ESRs**

Target stakeholders	Information to be disclosed	Proposed engagement & disclosure method	Timing of Engagement	Responsible Parties
<ul style="list-style-type: none"> <li>• Elected Reps of Municipal Corporation</li> <li>• Civil Society Organisations</li> <li>• Print and Tele Media</li> <li>• Staff of Line departments</li> <li>• Service providers and duty bearers</li> <li>• Staff of Municipal Corporations</li> <li>• Community / Religious leaders</li> <li>• Regulatory agencies</li> </ul>	<ul style="list-style-type: none"> <li>• for impact minimization</li> <li>• Accidents and road safety/ traffic management issues and measures planned to be in place;</li> <li>• Information on likely disruptions to services and arrangement during construction including its duration and likely timings</li> <li>• Community and Occupational Safety measures planned for WTP/ OHSR constructions and transmissions;</li> <li>• Excavation works-sludge/ earth disposal plans</li> <li>• Labour management plans/ proposed camp sites</li> <li>• Grievance mechanism process</li> </ul>	<ul style="list-style-type: none"> <li>• Open forums and Town-hall meetings for RWAs and ERs</li> <li>• Formal presentations to closed groups like regulators, service providers and duty bearers</li> </ul>		<ul style="list-style-type: none"> <li>• RAP Consultant</li> </ul>
<p>Civil Works Contractor, staff &amp; subcontractors</p>	<ul style="list-style-type: none"> <li>• Project design details, alternatives, planned alignments and their impacts</li> <li>• Baseline information on environmental and social aspects</li> <li>• Project’s induced environmental and social risk</li> <li>• Accidents &amp; road safety/ traffic management measures planned</li> </ul>	<ul style="list-style-type: none"> <li>• Provisions in Bid/ contract documents</li> <li>• One-on-One and formal small group meetings/ discussions</li> <li>• Formal presentations/ training to contractors project management</li> </ul>	<ul style="list-style-type: none"> <li>• Once, at the time of contract signing and orientation during pre-construction phase</li> <li>• Periodic briefings and orientation at site</li> <li>• Feedback as and when required on site and</li> </ul>	<ul style="list-style-type: none"> <li>• PMIDC and AMC/ LMC staff</li> <li>• DPR consultant</li> <li>• Civil Works contractor</li> </ul>

**Stakeholder Engagement and Information Disclosure Strategy**

**Component 2: Water Supply Improvements -WTP construction, Transmission Lines and construction of OHSRs/ESRs**

Target stakeholders	Information to be disclosed	Proposed engagement & disclosure method	Timing of Engagement	Responsible Parties
	<ul style="list-style-type: none"> <li>• Orientation on EHS provisions</li> <li>• Sexual harassment provisions and requirements</li> <li>• Labor Management Procedures</li> <li>• Orientation on RAP implementation and requirements</li> <li>• ESIA requirements and measures proposed</li> <li>• Grievance mechanism proposed under the project, requirements</li> <li>• Feedback on consultant/ contractor implementation and supervision reports</li> </ul>	team	monitoring reports	

## 5. Grievance Redressal Mechanism

A grievance redress mechanism shall be developed for use by external stakeholders. The aim of the grievance redress mechanism will be to achieve mutually agreed resolution to grievances raised by such stakeholders and aware citizens. The dedicated grievance redress mechanism established under the project will also be used for airing/ registering grievances arising out of the stakeholder engagement process and will be used by all internal as well as internal stakeholders.

The GRM to uphold the Project's social and environmental safeguards performance is designed to address concerns and complaints promptly and transparently with no impacts (cost, discrimination) for any reports made by project affected people (PAPs). Grievances raised by stakeholders will need to be managed through a transparent process, readily acceptable to all affected communities and other stakeholders, at no cost and without any retribution. The GRM will work within the existing national and state's legal and cultural frameworks and will provide an additional opportunity to stakeholders and interested parties to resolve their project specific grievances at the local, project, city or state level. The key objectives of this GRM will be:

- Ensure availability of offline as well as online mechanisms which are simple to use and accessible by all the categories of stakeholders and by people with differing levels of literacy and awareness
- To record, categorize and prioritize the grievances;
- Redress grievances via consultation, information disclosure, action with all stakeholders based on the nature of grievances received
- Inform the stakeholders about the action taken or information sought and ensure that the grievances are adequately addressed and resolved within a specified timeframe
- Provide a system of escalation to the higher level of any grievance that remains unresolved or unaddressed within the stipulated timeframe
- Provide an appellate authority within the project management set-up for handling appeals on grievances perceived as being unresolved by the complainant.

The types of grievances stakeholders may raise include, but are not limited to:

- Non-payment, or inadequate compensation and/or due R&R assistances; wrong measurement of parcel
- Lack of assessment of direct or indirect adverse impacts at the design/ RAP stage and lack of redressal/ compensation for the same- well being and health related impacts, loss of devaluation of assets due to project activities
- Construction related impacts – cracks, damages to structures; dust damaging crops/trees, loss of business
- Health and safety risks to residents along the alignments;

- Negative impacts on the environment, especially in proximity to residential areas;
- Negative impacts on communities, which may include, but not be limited to financial loss, physical harm and nuisance from construction or operational activities;
- Impacts arising from migrant labor influx on local communities

As the GRM works within existing legal and cultural frameworks, it is recognized that the GRM will comprise project level and Punjab judiciary level redress mechanisms. Most project related grievances could be minor and site-specific. Most grievances are to be received directly on-site by the designated site representative of PMIDC that will attempt to resolve them satisfactorily on-site. The designated site representative will inform the PIU of these complaints and their outcomes, and of others not satisfactorily resolved so that they could be escalated. All offline complaints will need to be logged in the site Complaints Register and periodically compiled at the city level for analysis and reporting purposes.

On receipt of each complaint, the representative will note the date, time, name and contact details of the complainant, and the nature of the complaint in the Complaints Register and will inform the complainant about the timeframe within which to expect a response/ redress. In case the representative is not able to redress the grievance within the project specified timeframe, it will be his/ her responsibility to escalate it to the PIU at the municipal corporation. Should the PIU be unable to resolve the complaint to the satisfaction of the aggrieved persons, it will then refer the complaint directly to the PMU at PMIDC.

### **5.1. Timeframe, Escalation and Appeals**

For all grievances received by the project, across formats and access points (offline- physical visits to site office, suggestion boxes, letters, public hearings, meetings, townhalls, group consultations as well as online- emails, mobile apps, website, other digital access options) the project PMU and PIU will be responsible for keeping complete records right from their receipt to their resolution. The project will also attempt to create a system of sample-based back-checks with complainants as a quality check to ensure that the grievances have been redressed to the satisfaction of the aggrieved.

A standard timeframe of 15 days/ 2 weeks will be provided for resolution of grievances and reporting back to the aggrieved/ complainant before being escalated to the higher level. If the complaint remains unresolved to the satisfaction of the aggrieved party even at the PMIDC-PMU, then it will be referred to the Project Director who will act as the first appellate for the grievance. If the grievance still remains unresolved then it will be further escalated to the Department level Grievance Redress Committee, which will act as the second level appellate authority and will be required to provide a final resolution to the grievance within 1 month.

Should measures taken by the Department level Grievance Redress Committee fail to satisfy the complainant, the aggrieved party is free to take his/her grievance to the Court of Law at his/her own cost, and the Court's decision will be final and shall be binding. It is possible that for land issues, the

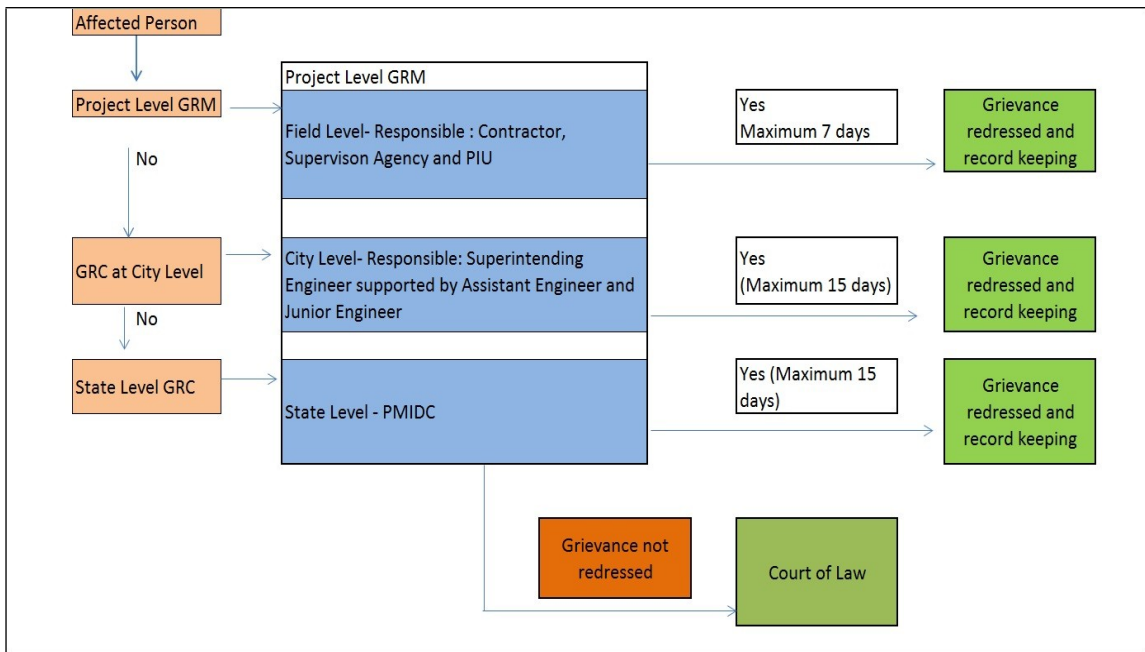
complainant may prefer to take his/her issue to the Court of Law for a final pronouncement/resolution. It is vital that appropriate signage for GRM is erected at the sites of all works providing the public with updated Project information and summarizing the GRM process, including contact details of the relevant Project Contact Person (PCP). Anyone shall be able to lodge a complaint and the methods (forms, in person, telephone, forms written in Hindi/ Gurmukhi language, online) should not inhibit the lodging of such complaints.

An periodic abstract of the complaints including an analysis of the category wise number of complaints received and redressed, average timeframe for resolution, geographical spread of complaints and profile of complainants would be done by the PIUs as well as the PMU and shared with the World Bank along with other progress and safeguards reports.

A city level Grievance Redress Committee (GRC) will be formed comprising of following members –

- Project lead of PMSIP at City level (which could be the CEO- Smart Cities or the Commissioner Municipal Corporation)
  - Social Development Specialist at the PIU
  - Executive Engineer, PIU
  - A Civil Society representative
    - A PAP representative
    - A community leader/ RWA office bearer, and
    - Representative from Land and Revenue Department (in cases related to land)
1. To resolve the land and structure related issues, an arbitrator shall be appointed by the PMIDC in order to settle the dispute. Cases not resolved at City or Department level GRC would be brought for arbitration. A time period of two months would be available for arbitration. In case at this level the dispute is also not resolved, the aggrieved person may take recourse to the civil court.





**Fig : Grievance Redress Mechanism/Process**

## 6. Responsibilities for Implementing Stakeholder Engagement Activities

The Project Director (PD) PMSIP at the PMC in PMIDC shall be responsible for the overall Project implementation and coordination, including that of the Stakeholder Engagement Plan and will be assisted by Social and Environment Specialist located at the PMU. The Project Implementation Unit (PIU) at the city level in Amritsar and Ludhiana will be responsible for day to day project implementation, supervision and adherence to all E&S requirements.

2. At the State level, PMU at the PMIDC shall have an Environment Management (EMS) and a Social Development Specialist (SDS). Both these specialists will be responsible for implementation of their respective E&S measures- including implementation of the a) environment management plan (EMP), b) adherence to EHS guidelines, c) Labour Management Plan, d) Resettlement Action Plans (RAP) and the Stakeholder Engagement Plan.
3. Mirroring the same arrangement at the city/ municipal corporation level, the PIU shall also have city level Environment Management (EMS) and a Social Development Specialist (SDS). Both these specialists will be responsible for implementation of E&S measures falling in their respective domains- including implementation of the a) environment management plan (EMP), b) adherence to EHS guidelines, c) Labour Management Plan, d) Resettlement Action Plans (RAP) and the Stakeholder Engagement Plan.
4. The management, coordination and implementation of the SEP and its integral tasks will be the overall responsibility of these 2 specialists within the PMU and PIUs and its implementing agencies (ESIA consultants, DPR Consultants, Contractors and Supervision consultants). The roles and responsibilities of the organizations are presented below.

Agency / Individual	Roles and Responsibilities
Project Director	<ul style="list-style-type: none"> <li>• Approve the content of the draft SEP (any revisions)</li> <li>• Approve prior to release, all IEC materials used to provide information associated with the PMSIP (communication material, PowerPoint, posters, leaflets and brochures, TV and radio insertions)</li> <li>• Approve and authorize all stakeholder engagement events and disclosure of material to support stakeholder engagement events</li> </ul>
PMU- PMIDC	<ul style="list-style-type: none"> <li>• Provide overall guidance and monitoring supervision to the SEP process</li> <li>• Prepare and provide appropriate IEC and communication material, information required to be disclosed to different stakeholder categories</li> <li>• Finalise the timing and duration of SEP related information disclosure and stakeholder engagement</li> <li>• Orient the city level staff on SEP and requirements for its operationalisation</li> </ul>
PIU- LMC/AMC	<ul style="list-style-type: none"> <li>• Prepare and customize to city requirements the IEC and communication material provided by the PMU and the information required to be disclosed to different stakeholder categories</li> <li>• Finalise the timing and duration of SEP related information disclosure and stakeholder engagement</li> <li>• Participate either themselves, or identify suitable representative, during all face-to face stakeholder meetings</li> <li>• Review and sign-off minutes of all engagement events; Maintain the stakeholder database.</li> <li>• Communicating with Government entities and the media throughout the Project's lifecycle</li> </ul>
Environment Management Specialist at PMU/ PIUs	<ul style="list-style-type: none"> <li>• Ensure availability of environment related information required to be disclosed including EHS, EMP, ESIA, ESMP, OHS/ CHS</li> <li>• Provide support to preparation of additional material for disclosure to stakeholders based on requirement</li> <li>• Provide guidance to contractors, consultants, city staff on engagement process and provisions of the SEP</li> <li>• Supervising and coordinating all activities associated with stakeholder engagement and management</li> </ul>
Social Development Specialist at PMU/ PIUs	<ul style="list-style-type: none"> <li>• Ensure availability of environment related information required to be disclosed- SMP, SIA, RAP and LMP.</li> <li>• Provide support to preparation of additional material for disclosure to stakeholders based on requirement</li> <li>• Provide guidance to contractors, consultants, city staff on engagement process and provisions of the SEP</li> <li>• Supervising and coordinating all activities associated with</li> </ul>

	<p>stakeholder engagement and management</p> <ul style="list-style-type: none"><li>• Ensuring due voice and participation of vulnerable and disadvantaged communities in the stakeholder engagement process</li><li>• Identifying and ensuring that the information needs of all vulnerable and disadvantaged groups are addressed by the SEP</li><li>• Ensure access to and effectiveness of the grievance redress mechanism developed for the project</li><li>• Liaise with project manager to ensure that stakeholder engagement requirements/protocols are understood</li><li>• Escalate unmanaged stakeholder related risks for higher level decision making</li><li>• Ensure that various managers/ subject specialists and other project staff are included and kept informed on the stakeholder engagement process</li></ul>
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## 6.1. Budget for Implementation

An all-inclusive budget provision for implementation of stakeholder engagement plan during the project life cycle is given in Table below. As locations are not identified for maintenance corridors, only a lumpsum figure has been estimated to cover for these activities. These shall be revised once more information is available.

<b>Budget for Implementation of SEP- AMRITSAR</b>						
<b>S.No.</b>	<b>Activities</b>	<b>Quantity</b>	<b>Unit</b>	<b>Unit cost Rs.</b>	<b>Across Years</b>	<b>Total costs in Rs.</b>
<b>During Construction Phase in Amritsar</b>						
1	Formal consultation meetings in impacted Area	Once a quarter at five locations for 4 years = 80	Per Meeting	10000	4	800,000
2	Travel expenses for E&S staff	50	Per Visit	5000	4	250,000
3	Meetings with Departments (revenue, district administration) Site visits for environmental measures	50	Per Visit	4000	4	200,000
4	Preparation & dissemination of Communication material					
i)	Brochures	4000	No.	50	1	200,000
ii)	Safety sign boards	200	No.	1000	4	200,000
iii)	Flyers - Project information & GRM details	6000	No.	15	4	90,000
5	Awareness generation meetings at sensitive areas & Contractor personnel	80	No.	5000	4	400,000
6	GRM MIS Database	1	LUM	40000	4	160,000
	<b>TOTAL</b>					<b>23,00,000</b>
<b>Post Construction Phase</b>						
1	Formal consultation meetings in each impacted ward		LUM		3	18,00,000
2	Travel expenses for E&S staff		LUM		3	300,000
3	Meetings with Departments (revenue, district administration); Site visits for environmental measures		LUM		3	300,000
4	Preparation & dissemination of Communication material (Flyers -		LUM		3	150,000

Budget for Implementation of SEP- AMRITSAR						
S.No.	Activities	Quantity	Unit	Unit cost Rs.	Across Years	Total costs in Rs.
	Project information & GRM details)					
5	GRM MIS Database	1	LUM	40000	3	120,000
	<b>TOTAL</b>					<b>26,70,000</b>
	<b>GRAND TOTAL</b>					<b>49,70,000</b>

Budget for Implementation of SEP- LUDHIANA						
S.No.	Activities	Quantity	Unit	Unit cost Rs.	Across Years	Total costs in Rs.
<b>During Construction Phase in Ludhiana</b>						
1	Formal consultation meetings in impacted Area	Once a quarter at seven locations for 4 years =112	Per Meeting	10000	4	11,20,000
2	Travel expenses for E&S staff	50	Per Visit	5000	4	250,000
3	Meetings with Departments (revenue, district administration) ; Site visits for environmental measures	50	Per Visit	4000	4	200,000
4	Preparation & dissemination of Communication material					
i)	Brochures	5000	No.	50	1	250,000
ii)	Safety sign boards	200	No.	1000	4	200,000
iii)	Flyers - Project information & GRM details	6000	No.	15	4	90,000
5	Awareness generation meetings at sensitive areas & Contractor personnel	100	No.	5000	4	500,000
6	GRM MIS Database	1	LUM	40000	4	160,000
	<b>TOTAL</b>					<b>27,70,000</b>
<b>Post Construction Phase</b>						
1	Formal consultation meetings in each impacted ward		LUM		3	24,00,000
2	Travel expenses for E&S staff		LUM		3	300,000
3	Meetings with Departments (revenue, district		LUM		3	300,000

Budget for Implementation of SEP- LUDHIANA						
S.No.	Activities	Quantity	Unit	Unit cost Rs.	Across Years	Total costs in Rs.
	administration); Site visits for environmental measures					
4	Preparation & dissemination of Communication material (Flyers - Project information & GRM details)		LUM		3	150,000
5	GRM MIS Database	1	LUM	40000	3	120,000
	<b>TOTAL</b>					<b>32,70,000</b>
	<b>GRAND TOTAL LUDHIANA</b>					<b>60,40,000</b>
<b>GRAND TOTAL FOR SEP IMPLEMENTATION - PROJECT LEVEL</b>						<b>1,10,10,000</b>

## 6.2. Monitoring and Reporting

It is important to monitor the ongoing stakeholder engagement process to ensure that consultation and disclosure efforts are effective, and that stakeholders have been meaningfully consulted throughout the process. This will help to assess whether the required outcomes of the stakeholder engagement process are being achieved and provide the opportunity to amend the process where necessary. Additionally, there will be continuous opportunity to review and assess performance in-between the engagement sessions depending on the level of feedback received from stakeholders during these periods.

Project Management consultants/ Consultant Supervision Consultants (CSC) shall be recruited to provide institutional capacity and support to PMIDC and Project Management Unit (PMU) with overall project management and supervision including procurement, design, contract management. The PMC will oversee the overall implementation, monitoring, and reporting of safeguards aspects such as ESMPs, LMP, SEP and RAPs.

Monthly summaries and internal reports on stakeholder engagement events and grievance handling will be collated by PMC staff with the support of third party, PMU/ PIU and referred to the senior management. Key Performance Indicators (KPIs) will also be monitored by the project on a regular basis, including the following parameters by component/sub-component:

- Number of public hearings, consultation meetings and other public discussions/ forums conducted within a reporting period (e.g. monthly, quarterly, or annually);
- Number and types of IEC materials developed and used
- Number of project events covered / broadcasted in the local, regional media
- Type and frequency of public engagement activities;

- Geographical coverage of public engagement activities – number of locations and settlements covered by the consultation process, including the settlements in remote areas within the Project Area of Influence (PAI);
- Number and type of grievances received within a reporting period (e.g. monthly, quarterly, or annually) and number of those resolved within the prescribed timeline;

Reporting back to stakeholders: Information on public engagement activities undertaken by the Project during the year would be conveyed to the stakeholders through online publication of a SEP Implementation report. This would be disclosed in the public domain through the PMIDC website/ website of respective municipal corporations to all stakeholders and also to the World Bank.

### **6.3. Trainings**

PMIDC will organize necessary trainings associated with the implementation of the SEP that will be provided to the project staff who may be involved in interactions with the external stakeholders/ community, as well as to the senior management. Specialized training will also be provided to the staff appointed to deal with stakeholder grievances as per the Public Grievance Procedure. Project contractors and selected representatives will also receive necessary trainings and orientation for the grievance procedures established under the project.