

PROFORMA OF SUBPROJECT APPRAISAL REPORTS

1. Subproject Name	
2. Subproject Town	
3. Tranche	<input type="checkbox"/> Project-1, <input type="checkbox"/> Project-2, <input type="checkbox"/> Project-3, <input type="checkbox"/> Project-4
4. Sector	<input type="checkbox"/> Water supply <input type="checkbox"/> Sewerage and sanitation <input type="checkbox"/> Solid waste management <input type="checkbox"/> Urban road and transportation <input type="checkbox"/> Slum upgrading
5. Introduction and Rationale	<p>A. Background <i>[Brief description of existing situation at city level and in subproject area]</i></p> <p>B. Need of Improvement <i>[asses the need, current service level, demand: both in terms of quantitative and qualitative aspect]</i></p> <p>C. Analysis of the Need <i>[increase in demand/usage/generation, lack of production/collection/treatment capacity, inefficiency distribution/collection]</i></p> <p>D. Government Actions for the Need <i>[whether the subproject will solve the problem of the area or it is part of many parallel activities initiated by government to solve the problem [what are the status of parallel development activities, if any]</i></p>
6. Description	<p>A. Subproject area <i>[brief description of topography, soil condition, climate, current population etc]</i></p> <p>B. Assessment of Existing Situation <i>[status of physical infrastructure, their condition and service level]</i></p> <p>C. Objective of the Subproject <i>[identify specific outcome: how subproject will mitigate the demand supply gap,, how many people will be benefited(immediate and design),what will be the improvement in service level both in terms of quantity and quality, what are the service level standards]</i></p> <p>D. Subproject Component <i>[proposed physical activity under the subproject, including the specific outputs]</i></p> <p>E. Risk and Assumption <i>[indicate risk and assumption for achieving the subproject output and outcome Indicate statutory approvals needs to be obtained for implementation of the subproject]</i></p> <p>Attachment 1 (Design and Monitoring Framework) to be referred.</p>
7. Design Features	<p>A. Design Period</p> <p>B. Basis of the Design</p> <ul style="list-style-type: none"> Population: Immediate Projection Coverage: Current Design Requirements: Current

	Design <ul style="list-style-type: none"> • Service level improvement: Current Design • Technical parameters considered 																										
8. Project Cost	A. Estimated Cost <table border="1"> <thead> <tr> <th>Item</th><th>Amount</th></tr> </thead> <tbody> <tr> <td colspan="2">A. Base Cost</td></tr> <tr> <td>1. [name of contracts/ works or supply]</td><td></td></tr> <tr> <td>2. [name of contracts/ works or supply]</td><td></td></tr> <tr> <td>3. [name of contracts/ works or supply]</td><td></td></tr> <tr> <td>4. [name of contracts/ works or supply]</td><td></td></tr> <tr> <td>5. Taxes and duties</td><td></td></tr> <tr> <td>Subtotal (A)</td><td></td></tr> <tr> <td colspan="2">B. Contingencies</td></tr> <tr> <td>1. Price contingency</td><td></td></tr> <tr> <td>2. Physical contingency</td><td></td></tr> <tr> <td>Subtotal (B)</td><td></td></tr> <tr> <td>Total (A+B)</td><td></td></tr> </tbody> </table> In mid-20XX prices.	Item	Amount	A. Base Cost		1. [name of contracts/ works or supply]		2. [name of contracts/ works or supply]		3. [name of contracts/ works or supply]		4. [name of contracts/ works or supply]		5. Taxes and duties		Subtotal (A)		B. Contingencies		1. Price contingency		2. Physical contingency		Subtotal (B)		Total (A+B)	
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Total (A+B)																											
9. Implementation Period	A. Timeframe of Preparation and Implementation of Subproject Approval of this SAR Completion of detailed engineering design Issuance of tender documents Contract award Commencement of works Completion of contract																										
10. Implementation Arrangements	<i>[Discuss implementation arrangements covering, at least, the following:</i> <ul style="list-style-type: none"> <i>• Implementation (executing) agency</i> <i>• Key agencies and parties involved and their roles]</i> 																										
11. Procurement and Consultant Selection	A. Procurement B. Consultant Selection																										
12. Economic and Financial Analysis (Provide detail analysis in Attachment)	A. Economic and Financial Justification EIRR FIRR (for revenue generating facility)																										
13. Environmental Assessment (Fill in attachment 2)	A. Brief Description of Environmental Impact B. Summary of Rapid Environmental Assessment Likely to be classified as: <input type="checkbox"/> Category A under the EIA Notification of 2006 of GoI <input type="checkbox"/> Category B under the EIA Notification of 2006 of GoI <input type="checkbox"/> Unknown The project site is <u>not</u> : <input type="checkbox"/> Within 10 km from the boundary of protected areas, notified areas and inter-state and international boundaries as defined under EIA Notification of 2006 of GoI <input type="checkbox"/> A part of National Parks/Sanctuaries and Tiger Reserve areas (notified as defined under Indian Wildlife (Protection) Act, 1972) <input type="checkbox"/> Near to reserved forest or protected forest as defined under Forest (Conservation) Act, 1980 (amended in 1988) The subproject does <u>not</u> require:																										

	<input type="checkbox"/> Consent for Establishment and Consent for Operation under the Water (Prevention and Control of Pollution) Act, 1974 and/or the Air (Prevention and Control of Pollution) Act, 1981 <input type="checkbox"/> Authorization for waste processing and landfills under Municipal Solid Waste (Management and Handling) Rules, 2000 of GoI
14. Involuntary Resettlement (Fill in attachment 3)	A. Brief Description of Resettlement Issues B. What is the ERA assessment on following? This subproject is <u>unlikely</u> to cause: <input type="checkbox"/> Loss of any private land for agricultural land, homestead land or vacant plot <input type="checkbox"/> Loss of any government land for agricultural land, homestead land or vacant plot used by (i) legal or (ii) illegal occupants <input type="checkbox"/> Loss of residential structure including but is not limited to walls, fences, sheds, wells used by (i) legal or (ii) illegal occupants <input type="checkbox"/> Loss of commercial structure used by (i) legal or (ii) illegal occupants <input type="checkbox"/> Loss of trees and crops <input type="checkbox"/> Temporary loss of land <input type="checkbox"/> Temporary disruption of livelihood <input type="checkbox"/> Loss and temporary impacts on common resources
15. Indigenous People Development (Fill in attachment 4)	A. Brief Description of Issues B. What is the ERA assessment on following? <input type="checkbox"/> There are <u>no</u> indigenous people or ethnic minority groups present in project locations (as defined by Indian Constitution Article 342 and 366(25))
16. Operation and Maintenance	<i>[Discuss O&M after completion covering, at least, the following:</i> <ul style="list-style-type: none"> • <i>Asset owner after completion</i> • <i>O&M plan (institutional, technical, and financial arrangements)</i> • <i>Transfer plan of created assets and preparation activities for O&M]</i>
17. Other Issues, if any	
Attachments	1. Design and Monitoring Framework of the subproject 2. Economic and Financial Analysis 3. Rapid Environmental Assessment Checklist* 4. Involuntary Resettlement Checklist 5. Indigenous People Impact Checklist 6. Summary Compliance with the Subproject Selection Criteria* Note: * Use applicable parts for the sub-sector

STANDARD
DESIGN AND MONITORING FRAMEWORK
Urban Infrastructure Project

Design Summary*	Performance Targets/Indicators**	Data Sources/Reporting Mechanisms	Assumptions and Risks
Impact Sustainable economic growth through improved quality of urban life	<ul style="list-style-type: none"> ▪ Decrease of cases waterborne diseases ▪ Growth in primary sector income. ▪ Increase in investments in industries and trades ▪ People's perception of their quality of life 	<ul style="list-style-type: none"> ▪ State and local government statistics ▪ Socio economic survey 	Assumptions <ul style="list-style-type: none"> • Continued government commitment to sector development and reforms • Sustained economic growth in the country • All beneficiaries make full use of improved access to urban services Risks <ul style="list-style-type: none"> • Political and economic instability • Lack of employment opportunities results in underutilization of healthier workforces.
Outcome Improved access to urban services at the standards set by the government	Service-Operational Target <ul style="list-style-type: none"> ▪ Population with improved access to water supply (as per the Government standards). ▪ Population with improved access to sanitation. ▪ Population with improved access to solid waste management. Service-Governance Target <ul style="list-style-type: none"> ▪ Improved operating ratios in ULBs and parastatals for service deliveries ▪ Timely publication of acceptable audited accounts ▪ Planning, designing, and monitoring of urban services using authentic database 	<ul style="list-style-type: none"> ▪ City or ULB service level data/statistics ▪ Baseline data include (i) population with service levels at project inception, (ii) population that already has good access to service; and (iii) population that need improved access in the project area; ▪ Project performance monitoring system (PPMS) based on appraisal reports. ▪ PMU/PIU's monitoring of project progress ▪ Annual accounts and audit report 	Assumptions <ul style="list-style-type: none"> ▪ Parallel development, if any, will occur in the sector. ▪ State and municipal corporation commitment to necessary institutional and financial reforms to improve service delivery. ▪ House service connection will be provided by Government, if not included under the project ▪ Adequate O&M arrangements established. ▪ Government make full use of the new service management skills and technology
Outputs (i) Improved water supply infrastructure	<ul style="list-style-type: none"> ▪ Increase in (i) the number of WTPs and/or tube wells and (ii) volume of potable water production (MLD). ▪ Water supply pipes installed 	<ul style="list-style-type: none"> ▪ Project progress reports ▪ Project performance monitoring system 	Assumptions <ul style="list-style-type: none"> ▪ Land transfers and project affected persons' compensation agreed and completed before scheduled construction.

Appendix 12

<p>(ii) Improved sanitation infrastructure</p> <p>(iii) Improved SWM infrastructure</p> <p>(iv) Strengthened project implementation capacity of Executing Agency</p> <p>(iv) Strengthened local government through institutional reform and capacity building for sustainable services delivery</p>	<p>(km)</p> <ul style="list-style-type: none"> ▪ Number of households additionally served with new piped connection ,if included under project ▪ Reduced UFW (unaccounted-for water) %,if included under project ▪ Increase in the volume of sewage treatment facilities (MLD). ▪ Increase in sewer networks (in kms). ▪ Increase in the number of household connected to septic tanks / sewers, if included under project ▪ Increase in number and capacity of sanitary landfills (in metric tonnes). ▪ Number of major collection equipment procured ▪ Number of transportation equipment/ vehicle procured ▪ Achievement of yearly contract award and disbursement targets ▪ Satisfactory compliance of ADB policies and procedures for procurement and safeguards ▪ Number of Public communication document published and satisfactory dissemination of project information ▪ Implementation of works following standard construction practice and proper schedule of activities <p>Technical:</p> <ul style="list-style-type: none"> ▪ Preparation of operation and maintenance manuals for services ▪ Reduction of commercial losses of through water and energy audit ▪ Establishment of GIS databases and number of household(%) and assets(%) captured by GIS database 	<p>(PPMS)</p> <ul style="list-style-type: none"> ▪ Aide memoire of Review Missions. 	<ul style="list-style-type: none"> ▪ Commitment of project staff. ▪ Timely recruitment of implementation assistance consultants. ▪ ERA/PMUs fully staffed with requisite capacity to implement the Project ▪ Timely provision of counterpart funds. ▪ Contractors perform competently, to time and budget. <p>Risks</p> <ul style="list-style-type: none"> ▪ Overrun of Project construction costs and time ▪ Reluctance of ULBs to keep up with the pace of institutional change which is necessary. ▪ Community resistance to cost recovery programs.
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	<p>Institutional</p> <ul style="list-style-type: none"> ▪ Setting up of appropriate institutional structure in owner agencies for O&M ▪ Number of O&M staff/1000 connections ▪ Issue order to levy realistic user charges ▪ Number of ULB staff trained on project planning / design, implementation, and O&M aspects or participated in exposure trips <p>Financial</p> <ul style="list-style-type: none"> ▪ Improved billing and collection of tariffs and taxes ▪ Annual O&M budget increased by X% of the value of new water assets created. ▪ Increase tax network ▪ Modernize the financial management system of ULBs(i.e. accrual-based double entry accounting, asset management etc) 		
<p>Activities with Milestones (Indicate timeframe for each activity)</p> <ol style="list-style-type: none"> 1. Project Management Unit (PMU) and Project Implementation Unit established with adequate staff 2. Consultants recruitment and mobilization 3. Procurement: <ol style="list-style-type: none"> (i) Detailed engineering design (ii) Bidding documents issued (iii) Contracts awarding (iv) Mobilization of contractors (v) Completion of contracts 4. Land and Right of Way acquisition 5. Resettlement, indigenous peoples plan implementation <ol style="list-style-type: none"> (i) RP and IPDP approved (ii) Award of Compensation 6. Environmental Clearances 7. Training session organized for PMU staff 			<p>Inputs {include the following as applicable}</p> <ul style="list-style-type: none"> • ADB • Government • Co-financing • Beneficiaries • Private sector • NGOs with GAD experiences • Others • Civil works (\$ million) • Goods and equipment (\$million) • Consulting services (\$million) • Land acquisition and resettlement (\$million) • Training and workshops (\$million) • Surveys (\$million)

Explanatory Note

All baseline data related to input, output, outcome and associated risk and assumption will be captured in sub project appraisal reports. SARs will also set the targets (original) for each component. However, these targets can be updated as project progress (during detail engineering design and or contract execution)

How to assess the achievement of input?

Please refer to the input work sheets of PPMS file.

How to assess the achievement of output?

Please refer to the output work sheets of PPMS file.

How to assess the achievement of outcomes?

1) Water supply

(A) Increase in availability of potable water (Quality as per Indian standards)	=	(i) Augmentation of potable water production capacity + (ii) reduction of physical losses
(B) Number of people likely be benefited from the project	=	Increase in availability of potable water/ per capita water consumption (as per Indian Standard)
(C) Actual number of beneficiaries	=	Number of people connected to the water network + Number of people dependent on stand post

If (C) is more than (B), then project has improved the service level by increasing per capita water availability by

$$= \text{Increase in availability of potable water/ (C)}$$

If house service connections are not included under the project, then it should be considered as one of the risk for achieving the outcome.

2) Sewerage

(A) Actual number beneficiaries	=	Quantity of waste water being treated/ 80% of per capita water consumption
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Please verify the number of beneficiaries by co-relating the number of properties connected to the sewerage system.

3) Solid Waste Management

(A) Actual number beneficiaries	=	Quantity of Solid waste dumped/ per capita solid waste generated (as per GOI manual)
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Please verify the number of beneficiaries by co-relating the composition of waste dumped.

Economic and Financial Analysis

RAPID ENVIRONMENTAL ASSESSMENT (REA) CHECKLIST

Urban Development/Renewal, and Slum Improvement Subproject

Select an appropriate checklist for the sector

A. Screening Questions for Impact Categorization

Check the appropriate box (e.g. ☒ by double-clicking the box and selecting 'checked' in default value)

Probable Involuntary Resettlement Effects*	Current Assessment	Additional Information for Substantiating Assessment
A. Project Siting Is the project area...		
• Densely populated?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Heavy with development activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Adjacent to or within any environmentally sensitive areas?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Cultural heritage site	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Protected Area	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Wetland	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Mangrove	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Estuarine	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Buffer zone of protected area	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Special area for protecting biodiversity	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Bay	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Potential Environmental Impacts Will the Project cause...		
• impacts on the sustainability of associated sanitation and solid waste disposal systems and their interactions with other urban services.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• deterioration of surrounding environmental conditions due to rapid urban population growth, commercial and industrial activity, and increased waste generation to the point that both manmade and natural systems are overloaded and the capacities to manage these systems are overwhelmed?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• degradation of land and ecosystems (e.g. loss of wetlands and wild lands, coastal zones, watersheds and forests)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• dislocation or involuntary resettlement of people	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• degradation of cultural property, and loss of cultural heritage and tourism revenues?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• occupation of low-lying lands, floodplains and steep hillsides by	<input type="checkbox"/> Yes <input type="checkbox"/> No	

squatters and low-income groups, and their exposure to increased health hazards and risks due to pollutive industries?		
• water resource problems (e.g. depletion/degradation of available water supply, deterioration for surface and ground water quality, and pollution of receiving waters?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• air pollution due to urban emissions?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• social conflicts between construction workers from other areas and local workers?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• road blocking and temporary flooding due to land excavation during rainy season?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• noise and dust from construction activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• traffic disturbances due to construction material transport and wastes?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• temporary silt runoff due to construction?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• hazards to public health due to ambient, household and occupational pollution, thermal inversion, and smog formation?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• water depletion and/or degradation?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• overpaying of ground water, leading to land subsidence, lowered ground water table, and salinization?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• contamination of surface and ground waters due to improper waste disposal?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• contamination of surface and ground waters due to improper waste disposal?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

B. IPMU's Assessment on Categorization of Environmental Impacts

Based on the above checklist, what is the IPMU's assessment on the Categorization and Planning Requirements for this subproject?

- ☐ Category A, Environmental Impact Assessment (EIA), Environmental Management Plan including a Budget, Public Consultation (at least twice) and Disclosure 120 days in advance of Board Consideration are required.
- ☐ Category B sensitive, Initial Environmental Examination (IEE), Environmental Management Plan including a Budget, Disclosure 120 days in advance of Board Consideration and Public Consultation are required
- ☐ Category B, Initial Environmental Examination (IEE) and Public Consultation are required
- ☐ Category C, Review of Environmental Implications is required

RAPID ENVIRONMENTAL ASSESSMENT (REA) CHECKLIST

Water Supply Subproject

Select an appropriate checklist for the sector

A. Screening Questions for Impact Categorization

Check the appropriate box (e.g. ☒ by double-clicking the box and selecting 'checked' in default value)

Probable Involuntary Resettlement Effects*	Current Assessment	Additional Information for Substantiating Assessment
A. Project Siting Is the project area...		
• Densely populated?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Heavy with development activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Adjacent to or within any environmentally sensitive areas?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Cultural heritage site	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Protected Area	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Wetland	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Mangrove	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Estuarine	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Buffer zone of protected area	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Special area for protecting biodiversity	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Bay	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Potential Environmental Impacts Will the Project cause...		
• pollution of raw water supply from upstream wastewater discharge from communities, industries, agriculture, and soil erosion runoff?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• impairment of historical/cultural monuments/areas and loss/damage to these sites?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• hazard of land subsidence caused by excessive ground water pumping?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• social conflicts arising from displacement of communities ?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• conflicts in abstraction of raw water for water supply with other beneficial water uses for surface and ground waters?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• unsatisfactory raw water supply (e.g. excessive pathogens or mineral constituents)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• delivery of unsafe water to distribution system?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• inadequate protection of intake works or wells, leading to pollution of water supply?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• over pumping of ground water,	<input type="checkbox"/> Yes	

leading to salinization and ground subsidence?	<input type="checkbox"/> No	
• excessive algal growth in storage reservoir?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• increase in production of sewage beyond capabilities of community facilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• inadequate disposal of sludge from water treatment plants?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• inadequate buffer zone around pumping and treatment plants to alleviate noise and other possible nuisances and protect facilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• impairments associated with transmission lines and access roads?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• health hazards arising from inadequate design of facilities for receiving, storing, and handling of chlorine and other hazardous chemicals.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• health and safety hazards to workers from the management of chlorine used for disinfection and other contaminants?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• dislocation or involuntary resettlement of people	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• social conflicts between construction workers from other areas and community workers?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• noise and dust from construction activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• continuing soil erosion/silt runoff from construction operations?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• increased road traffic due to interference of construction activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• delivery of unsafe water due to poor O&M treatment processes (especially mud accumulations in filters) and inadequate chlorination due to lack of adequate monitoring of chlorine residuals in distribution systems?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• delivery of water to distribution system, which is corrosive due to inadequate attention to feeding of corrective chemicals?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• accidental leakage of chlorine gas?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• excessive abstraction of water affecting downstream water users?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• competing uses of water?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• increased sewage flow due to increased water supply	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• increased volume of sullage (wastewater from cooking and washing) and sludge from wastewater treatment plant	<input type="checkbox"/> Yes <input type="checkbox"/> No	

B. IPMU's Assessment on Categorization of Environmental Impacts

Based on the above checklist, what is the IPMU's assessment on the Categorization and Planning Requirements for this subproject?

- ☐ Category A, Environmental Impact Assessment (EIA), Environmental Management Plan including a Budget, Public Consultation (at least twice) and Disclosure 120 days in advance of Board Consideration are required.
- ☐ Category B sensitive, Initial Environmental Examination (IEE), Environmental Management Plan including a Budget, Disclosure 120 days in advance of Board Consideration and Public Consultation are required
- ☐ Category B, Initial Environmental Examination (IEE) and Public Consultation are required
- ☐ Category C, Review of Environmental Implications is required

RAPID ENVIRONMENTAL ASSESSMENT (REA) CHECKLIST

Sewage Subproject

Select an appropriate checklist for the sector

A. Screening Questions for Impact Categorization

Check the appropriate box (e.g. ☒ by double-clicking the box and selecting 'checked' in default value)

Probable Involuntary Resettlement Effects*	Current Assessment	Additional Information for Substantiating Assessment
A. Project Siting Is the project area...		
• Densely populated?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Heavy with development activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Adjacent to or within any environmentally sensitive areas?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Cultural heritage site	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Protected Area	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Wetland	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Mangrove	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Estuarine	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Buffer zone of protected area	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Special area for protecting biodiversity	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Bay	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Potential Environmental Impacts Will the Project cause...		
• impairment of historical/cultural monuments/areas and loss/damage to these sites?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• interference with other utilities and blocking of access to buildings; nuisance to neighboring areas due to noise, smell, and influx of insects, rodents, etc.?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• impairment of downstream water quality due to inadequate sewage treatment or release of untreated sewage?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• overflows and flooding of neighboring properties with raw sewage?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• environmental pollution due to inadequate sludge disposal or industrial waste discharges illegally disposed in sewers?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• noise and vibration due to blasting and other civil works?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• discharge of hazardous materials into sewers, resulting in damage to sewer system and danger to workers?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

• inadequate buffer zone around pumping and treatment plants to alleviate noise and other possible nuisances, and protect facilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• social conflicts between construction workers from other areas and community workers?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• road blocking and temporary flooding due to land excavation during the rainy season?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• noise and dust from construction activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• traffic disturbances due to construction material transport and wastes?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• temporary silt runoff due to construction?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• hazards to public health due to overflow flooding, and groundwater pollution due to failure of sewerage system?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• deterioration of water quality due to inadequate sludge disposal or direct discharge of untreated sewage water?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• contamination of surface and ground waters due to sludge disposal on land?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• health and safety hazards to workers from toxic gases and hazardous materials which maybe contained in sewage flow and exposure to pathogens in sewage and sludge?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

B. IPMU's Assessment on Categorization of Environmental Impacts

Based on the above checklist, what is the IPMU's assessment on the Categorization and Planning Requirements for this subproject?

- ☐ Category A, Environmental Impact Assessment (EIA), Environmental Management Plan including a Budget, Public Consultation (at least twice) and Disclosure 120 days in advance of Board Consideration are required.
- ☐ Category B sensitive, Initial Environmental Examination (IEE), Environmental Management Plan including a Budget, Disclosure 120 days in advance of Board Consideration and Public Consultation are required
- ☐ Category B, Initial Environmental Examination (IEE) and Public Consultation are required
- ☐ Category C, Review of Environmental Implications is required

RAPID ENVIRONMENTAL ASSESSMENT (REA) CHECKLIST

Solid Waste Management Subproject

Select an appropriate checklist for the sector

A. Screening Questions for Impact Categorization

Check the appropriate box (e.g. ☒ by double-clicking the box and selecting 'checked' in default value)

Probable Involuntary Resettlement Effects*	Current Assessment	Additional Information for Substantiating Assessment
A. Project Siting Is the project area...		
• Densely populated?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Heavy with development activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Adjacent to or within any environmentally sensitive areas?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Cultural heritage site	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Protected Area	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Wetland	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Mangrove	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Estuarine	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Buffer zone of protected area	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Special area for protecting biodiversity	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Bay	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Potential Environmental Impacts Will the Project cause...		
• impacts associated with transport of wastes to the disposal site or treatment facility	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• impairment of historical/cultural monuments/areas and loss/damage to these sites?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• degradation of aesthetic and property value loss?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• nuisance to neighboring areas due to foul odor and influx of insects, rodents, etc.?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• public health hazards from odor, smoke from fire, and diseases transmitted by flies, insects, birds and rats?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• deterioration of water quality as a result of contamination of receiving waters by leachate from land disposal system?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• contamination of ground and/or surface water by leachate from land disposal system?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• land use conflicts?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• pollution of surface and ground	<input type="checkbox"/> Yes	

water from leach ate coming form sanitary landfill sites or methane gas produced from decomposition of solid wastes in the absence of air, which could enter the aquifer or escape through soil fissures at places far from the landfill site?	<input type="checkbox"/> No	
• inadequate buffer zone around landfill site to alleviate nuisances?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• social conflicts between construction workers from other areas and community workers?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• road blocking and/or increased traffic during construction of facilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• noise and dust from construction activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• temporary silt runoff due to construction?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• hazards to public health due to inadequate management of landfill site caused by inadequate institutional and financial capabilities for the management of the landfill operation?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• emission of potentially toxic volatile organics from land disposal site?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• surface and ground water pollution from leach ate and methane gas migration?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• loss of deep-rooted vegetation (e.g. tress) from landfill gas?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• explosion of toxic response from accumulated landfill gas in buildings?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• contamination of air quality from incineration?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• public health hazards from odor, smoke from fire, and diseases transmitted by flies, rodents, insects and birds, etc.?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• health and safety hazards to workers from toxic gases and hazardous materials in the site?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

B. IPMU's Assessment on Categorization of Environmental Impacts

Based on the above checklist, what is the IPMU's assessment on the Categorization and Planning Requirements for this subproject?

- ☐ Category A, Environmental Impact Assessment (EIA), Environmental Management Plan including a Budget, Public Consultation (at least twice) and Disclosure 120 days in advance of Board Consideration are required.
- ☐ Category B sensitive, Initial Environmental Examination (IEE), Environmental Management Plan including a Budget, Disclosure 120 days in advance of Board Consideration and Public Consultation are required
- ☐ Category B, Initial Environmental Examination (IEE) and Public Consultation are required
- ☐ Category C, Review of Environmental Implications is required

RAPID ENVIRONMENTAL ASSESSMENT (REA) CHECKLIST
Urban ROADS and Transport Subproject
 Select an appropriate checklist for the sector

A. Screening Questions for Impact Categorization

Check the appropriate box (e.g. ☒ by double-clicking the box and selecting 'checked' in default value)

Probable Involuntary Resettlement Effects*	Current Assessment	Additional Information for Substantiating Assessment
A. Project Siting Is the project area...		
• Densely populated?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Heavy with development activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Adjacent to or within any environmentally sensitive areas?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Cultural heritage site	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Protected Area	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Wetland	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Mangrove	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Estuarine	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Buffer zone of protected area	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Special area for protecting biodiversity	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• Bay	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Potential Environmental Impacts Will the Project cause...		
• encroachment on historical/cultural areas; disfiguration of landscape by road embankments, cuts, fills, and quarries?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• encroachment on precious ecology (e.g. sensitive or protected areas)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• alteration of surface water hydrology of waterways crossed by roads, resulting in increased sediment in streams affected by increased soil erosion at construction site?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• deterioration of surface water quality due to silt runoff and sanitary wastes from worker-based camps and chemicals used in construction?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• increased local air pollution due to rock crushing, cutting and filling works, and chemicals from asphalt processing?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• noise and vibration due to blasting and other civil works?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• dislocation or involuntary resettlement of people	<input type="checkbox"/> Yes <input type="checkbox"/> No	

• other social concerns relating to inconveniences in living conditions in the project areas that may trigger cases of upper respiratory problems and stress?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• hazardous driving conditions where construction interferes with pre-existing roads?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• poor sanitation and solid waste disposal in construction camps and work sites, and possible transmission of communicable diseases from workers to local populations?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• creation of temporary breeding habitats for mosquito vectors of disease?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• dislocation and compulsory resettlement of people living in right-of-way?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• dislocation and compulsory resettlement of people living in right-of-way?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• accident risks associated with increased vehicular traffic, leading to accidental spills of toxic materials and loss of life?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• increased noise and air pollution resulting from traffic volume?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
• increased risk of water pollution from oil, grease and fuel spills, and other materials from vehicles using the road?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

B. IPMU's Assessment on Categorization of Environmental Impacts

Based on the above checklist, what is the IPMU's assessment on the Categorization and Planning Requirements for this subproject?

- ☐ Category A, Environmental Impact Assessment (EIA), Environmental Management Plan including a Budget, Public Consultation (at least twice) and Disclosure 120 days in advance of Board Consideration are required.
- ☐ Category B sensitive, Initial Environmental Examination (IEE), Environmental Management Plan including a Budget, Disclosure 120 days in advance of Board Consideration and Public Consultation are required
- ☐ Category B, Initial Environmental Examination (IEE) and Public Consultation are required
- ☐ Category C, Review of Environmental Implications is required

Involuntary Resettlement Checklist

A. Introduction

Projects¹ are assigned an involuntary resettlement category depending on the significance of the probable involuntary resettlement impacts. “Significant” means 200 or more people will experience major impacts. Major impacts are (i) being physically displaced from housing, or (ii) losing 10% or more of productive assets or both.

Initial screening for involuntary resettlement is to be conducted as early as possible in the project cycle, at the project concept stage where feasible, and no later than project or program preparatory technical assistance, project preparatory note fact-finding, or due diligence.

B. Instructions

The checklist and categorization form is to be completed by the Project Team Leader (PTL) with the assistance of a Resettlement Specialist or Social Development Specialist in the Operations Department. This form, endorsed by the Sector Division Director, is then submitted by the PTL to the Environment and Social Safeguard Division (RSES) for endorsement by RSES Director, and for approval by the Chief Compliance Officer (CCO) of the Regional and Sustainable Development Department (RSDD).

The involuntary resettlement categorization of a project is a continuing process. If there is a change in a project that may result in category change, the Sector Division should resubmit a categorization form for endorsement by RSES Director and approval by the CCO. The previous checklist should be attached to the revised checklist for reference.

C. Screening Questions for Impact Categorization

Check the appropriate box (e.g. ☒ by double-clicking the box and selecting ‘checked’ in default value)

Probable Involuntary Resettlement Effects*	Current Assessment	Additional Information for Substantiating Assessment
1. Will the project include any physical construction work?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
2. Does the project include upgrading or rehabilitation of existing physical facilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
3. Are any project effects likely leads to loss of housing, other assets, resource use or incomes/livelihoods?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
4. Is land acquisition likely to be necessary?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	

¹ ADB financed projects include (i) public sector project loans, program loans, sector loans, sector development program loans, financial intermediation loans, private sector loans or equity investments, and guarantees for funding of specific projects or subprojects; (ii) all project components regardless of the source of financing.

5. Is the site for land acquisition known?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
6. Is the ownership status and current usage of the land known?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
7. Will easements be utilized within an existing Right of Way?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
8. Are there any non-titled people who live or earn their livelihood at the site or within the Right of Way?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
9. Will there be loss of housing?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
10. Will there be loss of agricultural plots?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
11. Will there be losses of crops, trees, and fixed assets?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
12. Will there be loss of businesses or enterprises?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
13. Will there be loss of incomes and livelihoods?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
14. Will people lose access to facilities, services, or natural resources?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
15. Will any social or economic activities be affected by land use-related changes?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
16. If involuntary resettlement impacts are expected:		
• Are local laws and regulations compatible with ADB's Involuntary Resettlement policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
• Will coordination between government agencies be required to deal with land acquisition?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
• Are there sufficient skilled staff in the Executing Agency for resettlement planning and	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown	

implementation?	<input type="checkbox"/> Possible	
<ul style="list-style-type: none"> Are training and capacity-building interventions required prior to resettlement planning and implementation? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
17. Are there any estimates of the likely number of households that will be affected by the Project?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, approximately how many?
18. Are any APs from indigenous or ethnic minority groups? If yes, please explain?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, please briefly describe their situation?

D. IPMU's Assessment on Resettlement Categorization

Based on the above checklist, what is the IPMU's assessment on the categorization and planning requirements for this subproject?

- ☐ Category A, Significant IR impact, a full Resettlement Plan is required.
- ☐ Category B, Nonsignificant IR impact, a short Resettlement Plan is required.
- ☐ Category C, No involuntary resettlement impact, no resettlement report is required.
- ☐ Additional information is needed for categorization and is to be gathered by the Project Team Leader. In the interim, the project is classified as:
 - ☐ somewhere between category A and B
 - ☐ somewhere between category B and C

Indigenous Peoples Impact Checklist

A. Questions for Identifying Indigenous People in Subproject Areas

Check the appropriate box (e.g. ☒ by double-clicking the box and selecting 'checked' in default value)

Impact on indigenous peoples (IPs) and ethnic minority (EM)	Current Assessment	Additional Information for Substantiating Assessment
1. Are there IPs or EM groups present in project locations?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
2. Do they maintain distinctive customs or economic activities that may make them vulnerable to hardship?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
3. Will the project restrict their economic and social activity and make them particularly vulnerable in the context of project?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
4. Will the project change their socioeconomic and cultural integrity?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
5. Will the project disrupt their community life?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
6. Will the project positively affect their health, education, livelihood or social security status?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
7. Will the project negatively affect their health, education, livelihood or social security status?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
8. Will the project alter or undermine the recognition of their knowledge, preclude customary behaviors or undermine customary institutions?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	
9. In case no disruption of indigenous community life as a whole, will there be loss of housing, strip of land, crops, trees and other fixed assets owned or controlled by individual indigenous households?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown <input type="checkbox"/> Possible	

B. Anticipated project impacts on indigenous peoples

Check the appropriate box (e.g. ☒ by double-clicking the box and selecting 'checked' in default value)

Subproject outputs as stated in	Anticipated positive Effect	Anticipated Negative Effect
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DMF in Appendix 1		
1.		
2.		
3.		
4.		

C. IPMU's Assessment on Categorization of Impacts on Indigenous People

Based on the above checklist, what is the IPMU's assessment on the Categorization and Planning Requirements for this subproject?

- ☐ Category A, an Indigenous Peoples Development Plan (IPDP) is required or, for sector/FI projects, an Indigenous Peoples Development Framework (IPDF) is required
- ☐ Category B, a specific action favorable to indigenous peoples/ethnic minority is required and addressed through a specific provision in RRP and in related plans such as a Resettlement Action Plan, a Gender Action Plan or a general Community Participatory Plan
- ☐ Category C, no IPDP/IPDF or specific action required

Summary Compliance with the Subproject Selection Criteria

A. General Subproject Selection Criteria

No	Criteria	Status of Compliance
(i)	The subproject has not been sanctioned under JNNURM or any other program.	
(ii)	The subproject has been identified through the town and infrastructure master plans and any changes thereafter are consistent with it.	
(iii)	The subproject is technically sound and a preliminary design has been prepared.	
(iv)	The subproject has the following features: (a) consumer demand analysis indicates that people are willing to pay connection and monthly charges to access the improved service; (b) the rationale for the project has been clearly identified; (c) project alternatives have been identified and a least cost analysis has been conducted; (d) the cost and benefit analysis indicates the economic internal rate of return equals or exceeds the economic opportunity cost of capital for the State under consideration; and (e) a tariff analysis, including equity consideration in tariff structure, willingness to pay and affordability, in case of revenue-generating subprojects, has been conducted.	
(v)	The subproject is financially sustainable and has a financial action plan comprising (i) funds required for operation and maintenance of completed infrastructure assets, (ii) sources of available funds whether from State, GOI, or user charges, (iii) timed targets for gradually meeting 100% of cost recovery for operation and maintenance, and (iv) financial management system improvements.	
(vi)	A financial management assessment for both each implementing body of the works and each owner of the assets created, responsible for the operation and maintenance (O&M) of such assets, has been prepared. This assessment will be in accordance with Chapters 3, 4 and 5 of the <i>Handbook for Borrowers on Financial Management and Analysis of Projects (2006)</i> , as updated from time to time.	
(vii)	A written agreement between the State Urban Development Department and the ULB or utility agencies that will operate the scheme has been signed, including a commitment to (a) take over O&M of infrastructure assets and facilities created under the NERCCDIP along with existing facilities and (b) make sufficient provision for O&M in their budget (until 100% tariff recovery is achieved).	
(viii)	All necessary India and State Government approvals and clearances have been obtained.	
(ix)	The subproject avoids or minimizes land acquisition or resettlement.	
(x)	The subproject has been prepared in accordance with ADB's Resettlement Framework for NERCCDIP and, where necessary, a compliant resettlement plan has been prepared.	
(xi)	The subproject is designed to be seismic resistant in accordance with relevant Indian codes.	
(xii)	The subproject (i) meets the environmental subproject selection criteria for NERCCDIP; (ii) has an initial environmental examination (IEE) including an environmental management plan in accordance with the environmental assessment and review framework as per ADB Environmental Policy (2002); and (iii) has a sufficient budget allocation to meet the cost for implementing the environmental	

	management plan.	
(xiii)	The subproject complies with the Indigenous Peoples Development Framework for NERCCDIP and, if necessary, an indigenous peoples development plan has been prepared.	
(xiv)	A time-bound operational plan consistent with the MoA signed between the State under JNNURM where the subproject is located and the Government of India, describing the institutional arrangements for the implementation and handover of the subproject from the SIPMIU to the service provider has been prepared.	

Note: The criteria are given in the Framework Financing Agreement.

B. Sub-sector Specific Criteria

Water Supply

No	Criteria	Status of Compliance
(i)	<p>The subproject will fall within the following scope.</p> <ul style="list-style-type: none"> Proposals for increasing efficiency and reducing O&M cost of existing systems through providing dedicated feeder power lines/transformers or replacing old machineries (pumping and others); or Works related to improving the treated water quality specifically disinfection, by chlorination; or Works related to removal of cable/bunched pipelines by laying looped distribution pipe lines and providing new service lines to achieve greater pressures and quantities at consumer end; or Proposals aimed at assessing and reducing non-revenue water (NRW) both on existing and proposed systems, resulting in increasing water availability at no additional cost at the consumer's end; or Works related to implementing volumetric water tariff and NRW management through installation of consumer and bulk meters on pipelines and reservoirs; or Proposals to improve and expand distribution systems through pipelines and reservoirs; or Increase of production to cater to water demand for 2021, through construction of infiltration galleries, tube wells etc along with their ancillary works of pipelines, pump sets, power etc. 	
(ii)	The EIRR of the subproject is at least 12%;	
(iii)	Augmentation of the distribution system in Kohima will only be undertaken once (a) the State has initiated civil works leading to source augmentation (sanctioned by GOI) and (b) a long-term and sustainable partnership arrangement with provisions for compensation for the use of water has been made with persons and communities, who have rights to water sources.	
(iv)	The subproject is located in a city that has demonstrated its commitment to implementing bulk and household individual metering.	
(v)	Firm commitment to establish a separate accounting system by the service provider for urban water and sewerage has been provided.	

Sewerage and Sanitation

No	Criteria	Status of Compliance
(i)	The subproject will fall within the following scope: <ul style="list-style-type: none"> Proposals towards coverage with a sewerage system of high density and polluted areas of cities, to avoid disposal of sanitary wastes and sullage into open drains or open land; or Prevention of pollution in surface and ground waters due to discharge of untreated sanitary wastes and sullage through installation of a piped sewerage system and treatment plants; or Adoption of low cost sanitation technologies for improving sanitary conditions in areas not covered by the piped sewer system; or Provisions of appropriate sewer inspection and maintenance equipment with adequate design safety provisions for regular cleaning of sewers, septic tanks etc. 	
(ii)	The subproject is located in the town core (most densely populated) area where a minimum per capita supply rate is established to support toilet flushing and where design provides sufficient flow in the network to achieve a self cleansing velocity. ¹	
(iii)	If the subproject concerns the installation of a sewer network, adequate treatment and disposal facilities are also provided as part of the subproject or funds from another financier for this purpose have been secured.	
(iv)	The EIRR of the subprojects is at least 12%.	
(v)	The zone covered by the subproject has a projected population density of at least 100 per hectare in 2017 or is highly vulnerable to landslides/flooding.	

Note: 1) CPHEEO Guidelines recommend the minimum self cleansing velocity as 0.69 m/sec.

Solid Waste Management

No	Criteria	Status of Compliance
(i)	The subproject will fall within the following scope: <ul style="list-style-type: none"> Works related to improving collection efficiencies and transportation of solid wastes including separate collection of bio-medical wastes; Works related to increasing or improving capacities related to the sanitary treatment and disposal of wastes, or Activities to (i) enhance the awareness of communities towards better solid waste management practices and (ii) involve NGOs / Private sector in solid waste management. 	
(ii)	A timed solid waste management strategy for the subproject is in place, including (a) possible private sector participation and/or (b) community-level solid waste management improvement through civic awareness program.	
(iii)	The subproject complies with the Solid Waste Management and Handling Rules (2000) of the GoI and special directions of the Supreme Court.	
(iv)	No landfill related equipment will be procured till landfill sites are ready for disposal.	
(v)	If the subproject is a composting plant an adequate market/demand study showing the marketability of the compost is available.	
(vi)	Prior to undertaking the subproject, sufficient awareness building amongst beneficiaries must have been carried out to ensure segregation of waste at source and effective collection.	