

Resettlement Framework

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Proposed Multitranche Financing Facility IND: Delhi Water Supply Improvement Investment Program

Prepared by Delhi Jal Board, Government of the National Capital Territory of Delhi for the Asian Development Bank.

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CURRENCY EQUIVALENTS

(as of 01 March 2017)

Currency Unit	–	Indian Rupee (INR)
INR 1.00	=	\$0.01498
\$1.00	=	INR 66.7720

ABBREVIATIONS

ADB	–	Asian Development Bank
BPL	–	below poverty line
CMRC	–	Community mobilization and resettlement consultant
CBO	–	community based organization
CE	–	chief engineer
CWPS	–	clear water pumping station
DH	–	displaced households
DJB	–	Delhi Jal Board
DP	–	displaced person
DWSIIP	–	Delhi Water Supply Improvement Investment Program
GNCTD	–	Government of the National Capital Territory of Delhi
GRM	–	Grievance Redress Mechanism
IA	–	implementing agency
LARRA	–	Land Acquisition Rehabilitation and Resettlement Authority
MFF	–	multitranches financing facility
NCTD	–	National Capital Territory of Delhi
NGO	–	non-governmental organization
PIU	–	program implementation unit
PMC	–	project management consultancy
PMU	–	program management unit
PSC	–	program steering committee
R&R	–	resettlement and rehabilitation
RF	–	resettlement framework
RFCTLARRA	–	Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act
RP	–	resettlement plan
RPIA	–	resettlement plan implementation assistance
RWA	–	resident welfare associations
SE	–	superintending engineer
SIA	–	social impact assessment
SO	–	safeguards officer
SPS	–	Safeguard Policy Statement
UGR	–	underground service reservoir
WTP	–	water treatment plant

NOTES

- (i) The fiscal year (FY) of the Government of India and its agencies ends on 31 March.
- (ii) In this report, "\$" refers to US dollars.

GLOSSARY

Assistance refers to the support provided to displaced persons in the form of ex-gratia payments, loans, asset services, training and skills development, etc. in order to improve their standard of living and reduce the negative impacts of the investment program.

Below poverty line (BPL) households are households whose monthly income is less than a designated sum as determined by the Government of the National Capital Territory of Delhi (GNCTD); INR1145/ month for rural areas and INR1135/month for urban areas will be considered BPL¹.

Compensation refers to the amount paid under the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act (RFCTLARRA) 2013 for private property, structures and other assets acquired for the investment program. Compensation refers to payments made by GNCTD to those persons with legal title to their property.

Cut-off date. The date of notification under Section 11 of the RFCTLARRA 2013 will be considered as the cut-off date for displaced persons who have legal title to the land/property proposed for acquisition. In the case of squatters, encroachers and unauthorized occupants the date of the census survey conducted by the implementing agency (IA) will be considered as the cut-off date for entitlements under the investment program.

Displaced households means (i) a family whose primary place of residence or other property or source of livelihood is adversely affected by the acquisition of land for a project or involuntary displacement due to any other reason; (ii) any tenure holder, tenant, lessee or owner of other property, who on account of acquisition of land in the affected area or otherwise, has been involuntarily displaced from such land or other property; (iii) any agricultural or non-agricultural laborer, landless person (not having homestead land or agricultural land) rural artisan, small trader or self-employed person; who has been residing or engaged in any trade, business, occupation or vocation in the affected area, and who has been deprived of earning his livelihood or alienated wholly or substantially from the main source of his trade, business, occupation or vocation because of the acquisition of land in the affected area or being involuntarily displaced for any other reason.

Displaced persons: Displaced persons are those who are physically displaced (relocation, loss of residential land, or loss of shelter) and/or economically displaced (loss of land, assets, access to assets, income sources, or means of livelihoods) as a result of (i) involuntary acquisition of land, or (ii) involuntary restrictions on land use or on access to legally designated parks and protected areas.

Encroachers are persons who have extended their building, agricultural lands, business premises or work places into government lands.

Market value will be determined by the following:

¹ Press Note on Poverty Estimates, 2011-12, Government of India, Planning Commission July 2013; computed as per Tendulkar method on Mixed Reference Period.

- a. The market value, if any, specified in the Indian Stamp Act, 1899 for the registration of sale deeds or agreements to sell, as the case may be, in the area, where the land is situated; or
- b. The average sale price for similar type of land situated in the nearest village or nearest vicinity area; or
- c. The consented amount of compensation as agreed upon, in case of acquisition of lands for private companies or for public private partnership projects.

Whichever is higher, will be taken and the date for determination of market value shall be the date on which the notification has been issued under Section 11 of the RFCTLARRA 2013.

Replacement value of the acquired assets and property is the amount required for the DP to replace/reconstruct the lost assets through purchase in the open market. The market value will be multiplied by a factor of, at least one to two times the market value for land acquired in rural areas and at least one times the market value for land acquired in urban areas.

Requisitioning authority shall mean any company, a body corporate, an institution, or any other organization for whom land is to be acquired by the appropriate government agency, and includes the appropriate government agency if the acquisition of land is for such government agency either for its own use or for subsequent allotment of such land in public interest to a body corporate, institution, or any other organization or to any company under lease, license or through any other system of transfer of land to such company, as the case may be.

Squatters are non-titleholders who have illegally occupied lands for residential, business and other purposes.

Tenants and sharecroppers are those persons having bonafide written or unwritten tenancy agreements, with a private property owner having clear property titles, to occupy a structure or land for agricultural use, residence and business or have a receipt from the Panchayat or other government body for the use of government land.

Titleholders are those who have legal title to land, structure and other assets.

Vulnerable households are those households that are BPL, the elderly- above 60 years of age, female headed households, physically handicapped, non-titled households, landless households and Scheduled Castes. Scheduled Tribes are also under the vulnerable category. However, in the State of Delhi, there are no Scheduled Tribes registered according to the Census of India.

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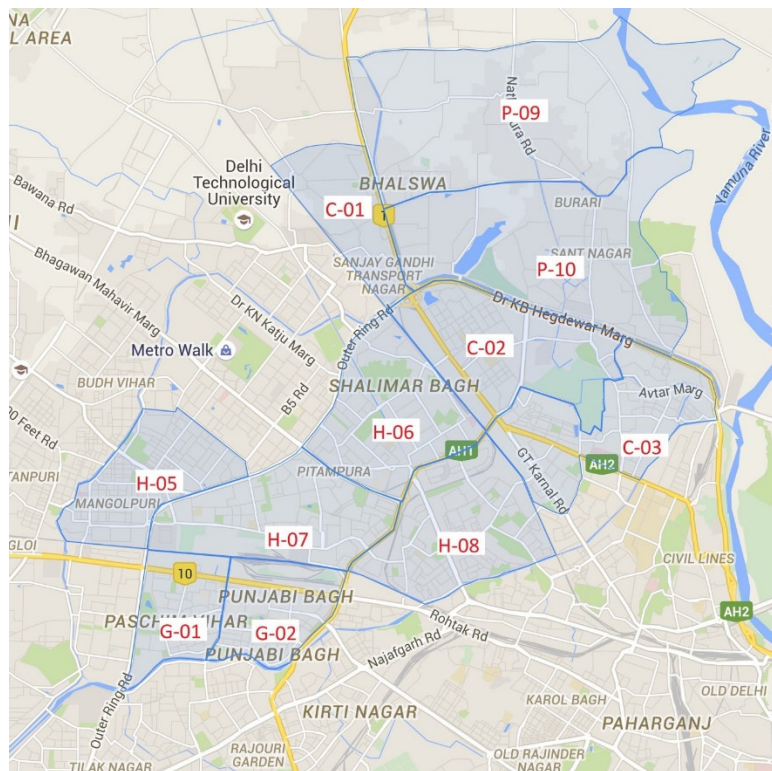
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I. INTRODUCTION

A. Overview of the Investment Program

1. The Delhi Water Supply Improvement Investment Program (DWSIIP) will be implemented over an eight-year period and will improve the infrastructure, management and performance of the water supply services in the proposed Wazirabad Water Treatment Plant (WTP) command area located in North Delhi and having a 2051 design population of 2.64 million (approximately 10 percent of Delhi's projected population by that time). The DWSIIP will help achieve the National Capital Territory of Delhi Water Supply Master Plan¹ objectives of reduced non-revenue water and equitable access to water supply services. The investment program will include the rehabilitation, upgrading and/or replacement of key water supply infrastructure, improvements in the management of the infrastructure and improved customer related services within the Wazirabad WTP command area. The DWSIIP will be implemented as a multi-tranche financing facility (MFF) having 2 projects. The Wazirabad WTP command area location is presented in **Figure 1**.

Figure 1: Location Map of the Wazirabad WTP Command Area



2. The impact of the DWSIIP will be improved water supply services in the Wazirabad WTP Command Area. The outcome will be improved access to reliable, continuous and sustainable water supply services in the Wazirabad WTP command area.

3. The DWSIIP will have three outputs.

¹ Study on Improvement of Water Supply System in Delhi in the Republic of India; Japan International Cooperation Agency September 2011.

4. **Output 1: Distribution network improved in the Wazirabad WTP Command Area.** This will include (i) establishment and commissioning of district metering areas (DMAs) for NRW reduction; (ii) provision of house service connections to residents, especially the poor and female-headed households; (iii) provision of 24-hour water supply; and (iv) improvement of water supply efficiency by reducing NRW and energy losses of electromechanical machinery.

5. Output 1 will support smart water management in the Wazirabad WTP command area to a prospective population of 2.41 million by year 2025.² The key activities of constructing new water supply pipelines, establishing and commissioning DMAs, and providing metered house service connections will benefit the residents through continuous pressurized water supply and reduction of NRW to less than 15%. Appropriate long-term (at least 10 years) operation and maintenance (O&M)-embedded performance-based contracts will be put in place to ensure operational sustainability.

6. **Output 2: Water treatment and transmission systems improved in the Wazirabad WTP command area.** This will include (i) rehabilitation and upgrading of the existing 120 million gallons per day (MGD) WTP; (ii) rehabilitation and construction of clear water pumping stations, underground reservoirs (UGRs) and booster stations; and (iii) rehabilitation and construction of new transmission mains.

7. Output 2 will support increasing energy efficiency in clear water pumping, reduction of clear water transmission losses, rehabilitation or construction of the WTP, as appropriate, and avoidance of shut down of the WTP to consistently meet the drinking water quality standards. Old pumping system in the clear water pump stations shall be upgraded with energy efficient pumps and the transmission pipelines shall be replaced. With use of instrumentation and automation through supervisory control and data acquisition (SCADA) at treatment, transmission, storage, and supply, operational efficiency is expected to be improved.

8. **Output 3: Institutional capacity, DMA management and program management strengthened.** This will include (i) implementation of capacity development plans including training on gender and establishment of a training center or institute; (ii) organizational restructuring for effective and sustainable DMA management; (iii) establishment of PDF to prepare future projects; (iv) preparation and implementation of an effective community mobilization plan and gender equity and social inclusion (GESI) action plan; (v) preparation and implementation of asset management plan through use of geographic information system (GIS), hydraulic modelling and SCADA system; (vi) implementation of O&M-embedded performance-based contracts; (vii) establishment and operationalization of water quality monitoring system; and (viii) strengthening of program management capacities.

9. Output 3 will focus promotion of a customer-focused culture within the DJB that includes measures to improve customer satisfaction, accurate and regular meter reading, billing, revenue collection, and an effective customer complaints mechanism. A comprehensive public outreach campaign under the community mobilization component will be the driver under the DWSIIP to mobilize community and enable consumers' involvement in the provision of services by the DJB.

10. Capacity development under Output 3 will help improve organizational efficiencies through data collection and assessment, review and updating of the master plan, network modelling, asset condition assessments, updating the existing GIS, conducting a

² The NCTD's current population, estimated to be 17.81 million, is expected to grow to 27 million by 2051 as per Water Policy for Delhi (footnote 25).

comprehensive NRW survey, developing a SCADA system for the WTP, transmission main and distribution system, preparing recommendations for institutional development and DMA-based organizational restructuring.

11. Project 1 of the DWSIIP will include (i) a project management consultant (PMC); (ii) a civil works package (DWSIIP/01) for improvement of distribution network, UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas C-02 (Chitranjan Das Park Jahangirpuri) and C-03 (Model Town); (iii) a civil works package (DWSIIP/02) for improvement of distribution network, UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas G-02 (Punjabi Bagh), H-07 (Shakur Basti) and H-08 (Lawrence Road); and (iii) a civil works package (DWSIIP/04) for transmission mains and clear water pumping stations, and instrumentation and automation (SCADA).

12. Project 2 of the DWSIIP will include (i) a civil works package (DWSIIP/03) for rehabilitation or construction of the Wazirabad WTP; (ii) a civil works package (DWSIIP/05) for improvement of distribution network, UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas G-01 (Piragarhi), H-05 (Avantika), H-06 (Pitampura); and (iii) a civil works package (DWSIIP/06) for improvement of distribution network, UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas C-01 (Sanjay Gandhi Transport Nagar), P-09 (Burari-A) and P-10 (Burari Transport Planning Authority).

Table 1: Summary of Works Packages Table

	Package	Project	Description
1	DWSIIP /01	1	Distribution Network Improvement in UGR Command Areas C-02 and C-03 Targeting Continuous Pressurized Water Supply and DMA-Based NRW Reduction and Providing House Service Connections.
2	DWSIIP /02	1	Distribution Network Improvement in UGR Command Areas G-02, H-07 and H-08 Targeting Continuous Pressurized Water Supply and DMA-Based NRW Reduction and Providing House Service Connections.
3	DWSIIP /03	2	Augmentation of water supply–Modernization and Operational Improvements of Wazirabad Water Treatment Plant SCADA System in 11 UGR Command Areas.
4	DWSIIP /04	1	Transmission System Improvements - Providing, Laying and Maintaining New Ductile Iron Transmission Pipelines from Wazirabad WTP to various UGRs and , and Automation and Instrumentation: Providing, Installing and Maintaining.
5	DWSIIP /05	2	Distribution Network Improvement in UGR Command Areas G-01, H-05 and H-06 Targeting Continuous Pressurized Water Supply and DMA-Based NRW Reduction and Providing House Service Connections.
6	DWSIIP /06	2	Distribution Network Improvement in UGR Command Areas C-01, P-09 and P-10 Targeting Continuous Pressurized Water Supply and DMA-Based NRW Reduction and Providing House Service Connections.

13. The PMC will be responsible for the technical and financial management and coordination of the DWSIIP including the undertaking of a public outreach program and ensuring safeguard compliance in line with ADB requirements. The Delhi Jal Board (DJB) will also recruit

a community mobilization and resettlement plan implementation assistance consultant (CMRC) to assist in the implementation of any land acquisition and resettlement issues arising, including temporary impacts.

14. The UGR command areas included under the DWSIIP are summarized in **Table 2**, together with population estimates and the number of district metering areas (DMAs).

Table 2: UGRs Proposed Under the DWSIIP

Works Package	UGR Ref.	UGR Name	Area (Ha)	Maximum Population (million)	Population (million)		DMAs (No.)
					2011	2051	
P1	C-02	CD Park Jahangirpuri	1018	0.255	0.232	0.264	38
P1	C-03	Model Town	948	0.237	0.166	0.226	33
Sub Total			1966	0.492	0.398	0.490	71
P2	G-02	Punjabi Bagh	532	0.133	0.129	0.168	24
P2	H-07	Shakur Basti	947	0.237	0.189	0.234	34
P2	H-08	Lawrence Road	972	0.243	0.290	0.305	44
Sub Total			2451	0.613	0.608	0.707	102
P3	G-01	Piragarhi	484	0.121	0.092	0.121	17
P3	H-05	Avantika	706	0.177	0.319	0.319	46
P3	H-06	Pitampura	926	0.231	0.214	0.240	34
Sub Total			2116	0.529	0.624	0.680	97
P4	C-01	SGT Nagar	537	0.134	0.076	0.118	17
P4	P-09	Burari A	2356	0.589	0.183	0.289	42
P4	P-10	Burari TPA	3531	0.883	0.312	0.358	51
Sub Total			6423	1.606	0.571	0.765	110
Total			12956	3.239	2.201	2.643	380

Note: Maximum population based on 250 persons/ Ha

B. Impact, Outcome, and Outputs

15. The impact of the proposed investment program will be improved coverage, quality and continuity of urban water supply services in alignment with the ADB's Country Partnership Strategy India 2013-2017. The outcome will be improved access to sustainable and reliable water services in the Wazirabad WTP command area. The DWSIIP will have three outputs: (i) improved water supply infrastructure in the Wazirabad WTP command area; (ii) improved water supply infrastructure management; and (iii) improved customer related services within the Wazirabad WTP command area.

C. Implementation Arrangements

16. The DWSIIP will be carried out under the oversight of the GNCTD. The DJB has been appointed as the executing agency and will be responsible for the management, coordination and execution of all the activities funded under the MFF. DJB has established a program steering committee (PSC), which will be chaired by the member (water supply). A PMU headed by a program director at the rank of chief engineer (project water) will be established under the PSC. A program implementation unit (PIU) has been established under the overall

management of the PMU and will act as the implementing agency. The program manager at the rank of executive engineer (civil) will head the PIU and oversee the investment program, and the day-to-day management and implementation of the program.

D. Scope of Involuntary Resettlement Impacts

17. There are no anticipated land acquisition and relocation /resettlement impacts under either tranche. All improvement, replacement and/or rehabilitation work related to the Wazirabad WTP, the CWPSs, the UGRs and the booster stations will all take place within the existing works compounds which are under the ownership of the DJB. All transmission and DMA feeder mains and distribution pipes will be laid within existing highway and/or road corridors or already established legal right of ways.

18. It is however expected that there will be temporary impacts incurred during the construction of the pipelines, particularly in the case of the DMA distribution pipes. Any temporary impacts arising will be addressed in accordance with this resettlement framework. Given below is the summary of likely impacts for the subprojects.

Table 3: Summary of Impacts

Package Number	Project	Impacts
DWSIIP/01	1	Based on the preliminary design temporary livelihood impacts to 36 Households (174 displaced persons), commercial establishments were identified in the project area.
DWSIIP/02	1	The detailed design for this package is yet to be done. If any IR impacts permanent or temporary are identified after detailed design an RP will be prepared based on this RF. A due diligence report is prepared for this package and will be updated.
DWSIIP/03	2	The work in this package is within the existing DJB WTP site at Wazirabad. There will be no impacts in this subproject. A due diligence report is prepared for this package.
DWSIIP/04	1	The detailed design for this package is yet to be done. If any IR impacts permanent or temporary are identified after detailed design an RP will be prepared based on this RF. A due diligence report is prepared for this package and will be updated.
DWSIIP/05	2	The detailed design for this package is yet to be done. If any IR impacts permanent or temporary are identified after detailed design an RP will be prepared based on this RF. A due diligence report is prepared for this package and will be updated.
DWSIIP/06	2	The detailed design for this package is yet to be done. If any IR impacts permanent or temporary are identified after detailed design an RP will be prepared based on this RF. A due diligence report is prepared for this package and will be updated.

E. Application of this Framework

19. Land acquisition for the DJB, is normally carried out by the Delhi Development Authority. If any land is required by the DJB under the DWSIIP, the acquiring agency is required to follow this resettlement framework.

II. OBJECTIVES, POLICY FRAMEWORK, AND ENTITLEMENTS

20. The resettlement framework has been prepared for the facility as a whole and to ensure that all subprojects comply with all relevant social safeguards requirements of the Government of India and the Safeguards Policy Statement (SPS), 2009 of the ADB.

21. The resettlement framework outlines the objectives, policy principles, and procedures for land acquisition, compensation, and other assistance measures for displaced persons (displaced persons), under the DWSIIP. The framework includes guidance on screening and categorization, assessment, planning, institutional arrangements, and processes to be followed for all subprojects.

22. The involuntary resettlement safeguards objectives governing resettlement planning and implementation under the investment program are to: (i) avoid involuntary resettlement wherever possible; (ii) minimize involuntary resettlement by identifying non-displacing or least displacing subproject and design alternatives; (iii) improve, or at least restore, the livelihoods of all displaced persons; (iv) improve the standards of living of the displaced persons including vulnerable groups; and (v) ensure all compensation and resettlement assistance is paid prior to displacement.

A. Policy and Legal Framework

23. The policy framework and entitlements for the DWSIIP are based on a combination of the RFCTLARRA 2013 and ADB's SPS 2009. The recently passed Street Vendors (Protection of Livelihood and Regulation of Street Vending) Bill, 2014, is also considered in addressing specific impacts, within the context of eligibility as provided in the bill. The salient features of legal frameworks are summarized in the following sub-sections.

1. **Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013**

24. The RFCTLARRA 2013 covers land acquisition and resettlement. The act has recognized the need for resettlement and rehabilitation and has replaced the Land Acquisition Act 1894. The act aims to establish the law on land acquisition, as well as the rehabilitation and resettlement of those directly affected by land acquisition in India. The scope of the Act includes all land acquisition, whether it is done by the Central Government of India or any State Government of India, except the state of Jammu & Kashmir. The act came into force on 01 January 2014. The key features of the Act are outlined below.

25. **Acquisition for public purpose:** The Land Acquisition Act of 1894 facilitated the Government to acquire private land for use for public purposes, or acquire land for companies proposing to utilize the land for a public purpose. The new act defines public purpose more specifically, compared to the earlier act, thereby reducing scope for misinterpretation. The new act does not allow any change in purpose after acquisition.

26. **Social impact assessment (SIA) is mandatory:** Under the new act, SIA is mandatory. It prescribes the need for an SIA by the Gram Sabah or an equivalent body in urban areas as part of the preliminary investigations for the land acquisition. The SIA will assess public purpose, minimum extent of land required, estimation of displacement and social impact on displaced persons, including costs. The SIA will be appraised by an expert group. No land acquisition shall be initiated unless the SIA is approved by the expert group.

27. **Specific timelines:** The new act provides specific timelines for implementation:

- (i) SIA to be completed within six months;
- (ii) Appraisal by an expert group within two months of receiving the SIA report;
- (iii) Preliminary notification has to be published within 12 months from the date of appraisal of the SIA report submitted by the expert group;
- (iv) Objections to be given within 60 days of the preliminary notification;
- (v) Public hearing to be conducted after the preliminary notification;
- (vi) Publication of the Draft Declaration of Land Acquisition and the Resettlement and Rehabilitation (R&R) Scheme to be carried out after the public hearing and within 12 months of the publication of the preliminary notification;
- (vii) Compensation award to be made within 12 months of the date of the draft Declaration of Land Acquisition and the R&R Scheme;
- (viii) Compensation amount to be paid within three months of award and R&R amount within 6 months, and
- (ix) Infrastructure and amenities to be provided within 18 months of award.

28. The process will lapse should no land acquisition notification be issued within 12 months of the expert group report. The timeline is however extendable by the appropriate government by a further 12 months if it is deemed necessary.

29. **Retroactive Clause:** In cases where land acquisition proceedings have been initiated under the Land Acquisition Act, 1894, then (a) where no award under Section 11 of the said Land Acquisition Act has been made, then, all provisions of the new act relating to the determination of compensation, rehabilitation and resettlement shall apply; or, (b) where an award under said Section 11 has been made, then such proceedings shall continue under the provisions of the said Land Acquisition Act, as if the said act has not been repealed. In cases where land acquisition proceedings have been initiated under the Land Acquisition Act, 1894 and where an award under Section 11 has been made five years or more prior to the commencement of the new Act, but the physical possession of the land has not been taken or the compensation has not been paid, the proceedings shall be deemed to have lapsed and the appropriate government, if it so chooses, shall initiate the proceedings of such land acquisition afresh in accordance with the provisions of the new act. Furthermore, where an award has been made and compensation in respect of a majority of land holdings has not been accepted, then all beneficiaries specified in the notification for acquisition under Section 4 of the Land Acquisition Act, 1894 shall be entitled to compensation in accordance with the provisions of the new Act. The benefit of the retroactive clause will ensure that projects are implemented with minimum delays.

30. **Consent of affected persons:** The act stipulates that private entities and public-private partnerships carrying out public purpose projects may approach the government to acquire land on their behalf after receiving the consent of 80% of the landowners for public projects and 75% for public-private projects.

31. **Calculation of market value:** Under the new act, the entitlements and compensation calculation procedure will ensure that compensation for land will be based on the calculation of market value. The highest of the three calculations as given below will be adopted: (i) the market value, if any, specified in the Indian Stamp Act, 1899 for the registration of sale deeds or agreements to sell, as the case may be, in the area, where the land is situated; or (ii) the average sale price for similar type of land situated in the nearest village or within the vicinity; or

(iii) consented amount of compensation as agreed upon in case of acquisition of lands for private companies or for public-private partnership projects. The date for determination of the market value shall be the date on which the notification will have been issued as prescribed under Section 11 of the RFCTLARRA. The market value should then be multiplied by a factor of at least one to two times for land acquired in rural areas and at least one time for land acquired in urban areas.

32. **Payment of solatium:** The Act stipulates that a solatium equal to 100% of the market value of the property, including the value of assets, should also be paid.

33. **Payment of R&R assistance:** The new Act provides R&R assistance for all displaced persons who are losing livelihood due to land acquisition. Section 100 of the RFCTLARRA proposes the given resettlement entitlements as a minimum. The State Governments of India, or private companies, may choose to set and implement a policy that pays more than what is proposed in the RFCTLARRA.

34. **Restrictions on acquisition of irrigated multi-cropped land:** In order to safeguard food security, the new Act restricts any acquisition of irrigated multi-cropped land, except for exceptional circumstances. An equivalent area of cultivable wasteland or land value has to be deposited with Government in the case of such an acquisition.

35. **Formal and transparent mechanism for R&R implementation prescribed:** The new Act outlines a structured institutional framework at the Central, State and project levels to carry out the acquisition and R&R: (i) at the central level is the national monitoring committee; (ii) at the State level the State Land Acquisition and R&R Authority and a committee constituted by the appropriate Government and State Commissioner R&R; and (iii) at the project level is the district collector, administrator R&R and the R&R committee.

36. Overall the RFCTLARRA provides a framework in which the interest of the land loser is protected. The Act also empowers the government to some extent for defined purposes in order to support infrastructure development and industrialization. The new Act also increases the overall cost and time required for land acquisition, thereby compelling project owners towards more efficient utilization of land.

2. **Street Vendors (Protection of Livelihood and Regulation of Street Vending) Bill, 2014**

37. The bill provides for protection of livelihoods rights, social security of street vendors, regulation of urban street vending in the country and for matters connected therewith or incidental thereto. The Bill will hold good for those who have the Vending Certificate and for those who are covered by the survey after the Bill has come into force. The salient features of this bill are:

38. The bill provides for constitution of a Town Vending Authority in each Local Authority

39. A Town Vending Committee (TVC) shall be constituted which will have representation of officials and non-officials and street vendors, including women vendors with due representation from SC, ST, OBC, Minorities and persons with disabilities.

40. 40% members of the TVC will be from amongst street vendors to be selected through election, of which one-third shall be women.

41. A survey will be conducted, once in every five years to identify the street vendors and subsequently, Certificate of Vending will be issued to them.
42. Where the number of street vendors identified are more than the holding capacity of the vending zone, the town vending committee (TVC) is required to carry out a draw of lots for issuing the certificate of vending for that vending zone and the remaining persons will be accommodated in any adjoining vending zone to avoid relocation.
43. Old Certificate of Vending issued before the commencement of this act will continue to remain valid.
44. The authorities will have to conduct the survey as soon as possible and before that no street vendor can be evicted.
45. Necessary recommendation of TVC will be needed for relocation of any street vendor by the local authority. However, relocation should be exercised as a last resort.
46. No-vending zone shall be declared only in a manner which displaces as less street vendors as possible.
47. The thrust of the Bill is on “natural market”, which has been defined under the Bill. The entire planning exercise has to ensure that the provision of space or area for street vending is reasonable and consistent with existing natural markets. Thus, natural locations where there is a constant congregation of buyers and sellers will be protected under the Bill.
48. An Independent Dispute Redressal Mechanism under the chairmanship of retired judicial officers will be there under this act.
49. The bill also provides for promotional measures to be undertaken by the government, towards availability of credit, insurance and other welfare schemes of social security, capacity building programmes, research, education and training programme etc. for street vendors.
50. Section 29 of the bill provides for protection of street vendors from harassment by police and other authorities and provides for an overriding clause to ensure they carry on their business without the fear of harassment by the authorities under any other law.
51. The bill specifically provides that the rules under the bill have to be notified within one year of its commencement, and scheme has to be notified within 6 months of its commencement to prevent delay in implementation.

3. **ADB’s Safeguard Policy Statement, 2009**

52. The ADB’s SPS 2009, recognizes and addresses involuntary resettlement impacts and requires the preparation of a resettlement plan in every instance where involuntary resettlement occurs. The ADB policy requirements are:
- (i) Avoid or minimize impacts where possible;
 - (ii) Consultation with the displaced persons in project planning and implementation;
 - (iii) Payments of compensation for acquired assets at the replacement cost;

- (iv) Ensure that no one is worse off as a result of resettlement and would maintain at least their original standard of living;
- (v) Resettlement assistance to displaced persons, including non-titled persons; and
- (vi) Special attention to vulnerable people/ groups.

53. For any ADB operation requiring involuntary resettlement, resettlement planning is an integral part of project design, to be dealt with from the earliest stages of the project cycle. The main policy principles of the SPS are:

- (i) Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Determine the scope of resettlement planning through a survey and/or census of displaced persons, including a gender analysis, specifically related to resettlement impacts and risks.
- (ii) Carry out meaningful consultations with displaced persons, host communities, and concerned NGOs. Inform all displaced persons of their entitlements and resettlement options. Ensure their participation in planning, implementation, and monitoring and evaluation of resettlement programs. Pay particular attention to the needs of vulnerable groups, especially those below the poverty line, the landless, the elderly, women and children, and Indigenous Peoples, and those without legal title to land, and ensure their participation in consultations. Establish a grievance redress mechanism to receive and facilitate resolution of the displaced persons' concerns. Support the social and cultural institutions of displaced persons and their host population. Where involuntary resettlement impacts and risks are highly complex and sensitive, compensation and resettlement decisions should be preceded by a social preparation phase.
- (iii) Improve, or at least restore, the livelihoods of all displaced persons through: (i) land-based resettlement strategies when affected livelihoods are land-based where possible or cash compensation at replacement value for land when the loss of land does not undermine livelihoods; (ii) prompt replacement of assets with access to assets of equal or higher value; (iii) prompt compensation at full replacement cost for assets that cannot be restored; and (iv) additional revenues and services through benefit sharing schemes where possible.
- (iv) Provide physically and economically displaced persons with needed assistance, including: (i) if there is relocation, secured tenure to relocation land, better housing at resettlement sites with comparable access to employment and production opportunities, integration of resettled persons economically and socially into their host communities and extension of project benefits to host communities; (ii) transitional support and development assistance, such as land development, credit facilities, training, or employment opportunities; and (iii) civic infrastructure and community services, as required.
- (v) Improve the standards of living of the displaced poor and other vulnerable groups, including women, to at least national minimum standards. In rural areas provide them with legal and affordable access to land and resources and in urban areas provide them with appropriate income sources and legal and affordable access to adequate housing.
- (vi) Develop procedures in a transparent, consistent, and equitable manner if land acquisition is through negotiated settlement to ensure that those people who enter into negotiated settlements will maintain the same or better income and livelihood status.

- (vii) Ensure that displaced persons without titles to land or any recognizable legal rights to land are eligible for resettlement assistance and compensation for loss of non-land assets.
- (viii) Prepare a resettlement plan elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule.
- (ix) Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner, before project appraisal, in an accessible place and a form and language(s) understandable to displaced persons and other stakeholders. Disclose the final RP and its updates to displaced persons and other stakeholders.
- (x) Conceive and execute involuntary resettlement as part of a development project or program. Include the full costs of resettlement in the presentation of project's costs and benefits. For a project with significant involuntary resettlement impacts, consider implementing the involuntary resettlement component of the project as a stand-alone operation.
- (xi) Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the resettlement plan under close supervision throughout project implementation.
- (xii) Monitor and assess resettlement outcomes, their impacts on the standards of living of displaced persons, and whether the objectives of the resettlement plan have been achieved by taking into account the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.

B. Comparison of the ADB's SPS 2009 and the RFCTLARRA

53. A comparison of the provisions of ADB's SPS and the RFCTLARRA for the key issues to be addressed through this RF is presented in **Table 4**.

Table 4: Comparative Analysis of SPS, 2009 and the RFCTLARRA

Ref.	ADB's SPS 2009	RFCTLARRA 2013	Issues to be Addressed
1	Compensation at replacement cost.	The new act provides compensation based on a detailed calculation of market value which, includes: (i) value of land to be determined as provided under Section 26 plus; (ii) factor by which the land value based on calculation under Section 26 is to be multiplied (1–2 in the case of rural areas based on the distance of the project from the urban area, as may be notified by the appropriate government, and by a factor of one for urban areas); (iii) value of assets attached to the land or building under Section 31; and (iv) a solatium equivalent to 100% of the market value of land, multiplied by the factor specified for urban and rural areas.	None.
2	Provision of full compensation without any deduction.	Under Section 31 there is provision for a 100% solatium, which is an amount equivalent to the full compensation amount.	None
3	Compensation to squatters and other non-title holders including tenants and	Schedule II the act states that resettlement entitlement will benefit families whose livelihood is primarily dependent on the land acquired.	Assistance to be paid to squatters and encroachers.

Ref.	ADB's SPS 2009	RFCTLARRA 2013	Issues to be Addressed
	land users.		
4	The cut-off date is the date of land acquisition for all titleholders. For non- titleholders it is the date of the socio-economic census survey	For titleholders the date of land acquisition notification will be the cut-off date. Those who are without homestead land and who have been residing in the area continuously for a period of not less than three years preceding the date of land acquisition notification of the affected area will be entitled to a house. The RFCTLARRA does not mention a cut-off date for non-titleholders.	The date of the census survey carried out by the DWSIIP is to be considered as the cut-off date for non-titleholders.
5	The SIA to identify the impacts, risks and views of potential project displaced persons and communities	The act proposes the preparation of a SIA study under Chapter 2, Section 4.	None.
6	Preparation of a resettlement plan and census survey to address adverse involuntary resettlement impacts.	Provision for the preparation of a R&R Scheme is given under Section 16 and is similar to a resettlement plan.	None.
7	Consultation with displaced persons.	Consultation is proposed in different sections throughout the act e.g., Section 4 para 1 and Section 17, para 4.	None.
8	Disclosure of involuntary resettlement information to stakeholders.	Provisions for disclosure are included - publication of the SIA study under Section 6, publication of the R&R Scheme under Section 19.	None.
9	All compensation to be paid prior to displacement and the commencement of civil works.	Possession of land is after the collector ensures full payment of compensation as well as resettlement benefits.	All compensation to be paid before the start of civil works construction.
10	Special assistance for vulnerable households.	There are specific provisions for scheduled castes and scheduled tribes under Section 42, plus additional benefits as given in the Second Schedule.	Other groups such as women headed households should also be assisted.
11	Other allowances such as subsistence, transition and shifting allowances.	Provisions for all allowances are given in the Second Schedule.	Additional allowances and revised values will be included in the DWSIIP.
12	Livelihood restoration.	Provides for training and livelihood restoration including a job under the project activities if available.	None.
13	Grievance Redress Mechanism (GRM).	The act has a detailed GRM starting from the Gram Sabha up to the government level.	The act GRM needs to be more detailed.

Ref.	ADB's SPS 2009	RFCTLARRA 2013	Issues to be Addressed
14	Monitoring.	Monitoring is only proposed at the national level.	Regular monitoring has to be adopted at implementation level.

C. Criteria for Screening and Selecting Subprojects

54. ADB's Involuntary Resettlement Impact Screening Checklist (**Appendix 1**) will be adopted for the subprojects. Screening will be conducted immediately after identification of project sites. If the screening is carried out simultaneously with project site identification then the magnitude of impacts can be estimated and, if required, alternative options can be examined. This task will be carried out initially under TA-8415 and will be confirmed by the PMC and submitted to the PIU. Based on the Operational Manual Section F1/ Operational Procedures³ the following criteria for screening and categorization of subprojects will be followed:

- (i) **Category A.** A proposed project is classified as category A if it is likely to have significant involuntary resettlement impacts.
- (ii) **Category B.** A proposed project is classified as category B if it includes involuntary resettlement impacts that are not deemed significant.
- (iii) **Category C.** A proposed project is classified as category C if it has no involuntary resettlement impacts.
- (iv) **Category FI.** A proposed project is classified as category FI if it involves the investment of ADB funds to, or through, a financial intermediary.

55. The subproject's involuntary resettlement category is determined by the magnitude of the involuntary resettlement impacts. The involuntary resettlement impacts of ADB supported projects are considered significant if 200 or more persons will experience major impacts, which are defined as (i) being physically displaced from housing, or (ii) losing 10% or more of their productive assets (income generating). The level of detail and comprehensiveness of the RP will be commensurate with the significance of the potential impacts and risks. For Category A and B subprojects, a resettlement plan, including a SIA is required, although the level of detail required for Category B subprojects is less than for Category A. For category C projects a Due Diligence Report is required. For Category FI the project should have Environmental and Social Management Systems in place.

D. Methodology for Minimizing Impacts

56. The methodology used for minimizing impact in the project includes:

- (i) Siting:
 - (a) Pipelines will be laid below the existing carriage way (blacktop portion);
- (ii) Construction Management
 - (a) Advance information made available to the population on construction schedule and staging;
 - (b) Use of Trenchless technology to the extent possible, and resort to open cut only when trenchless cannot be done;

³ Issued on 1st October 2013.

- (c) In consultation with the local body and PIU, provision of temporary site to carry on their business activities in the nearby locations; and,
- (d) Staging construction and providing temporary access, such as planks for crossing if access is disrupted to commercial and residential units and restoring access to a reasonable level on completion of construction (consolidate back fill soil and restore road surface or alternatively provide a layer of plain cement concrete)⁴.

E. Cut-off Date

57. The cut-off of date for the subprojects will be established after the completion of the detailed design and before award of contract of civil works.

F. Involuntary Resettlement Safeguard Principles for the Investment Program

58. Based on the ADB's SPS 2009 and the RFCTLARRA, the following resettlement principles have been adopted for the DWSIIP:

- (i) Screening to identify involuntary resettlement impacts and risks. Minimizing and avoiding resettlement impacts of each subproject by exploring all viable alternative designs;
- (ii) Carrying out consultations with displaced persons, host communities and NGOs, informing all displaced persons of their entitlements and resettlement options, ensuring their participation in planning, implementation, and monitoring and evaluation of resettlement programs;
- (iii) Where the resettlement impacts are unavoidable, the displaced persons should be assisted in improving or at least regaining their standard of living;
- (iv) Vulnerable groups, including households headed by women, the elderly, the disabled, and indigenous groups, those without legal title to land and property, and those living BPL will be given special assistance to improve their socioeconomic status;
- (v) The absence of formal title to land is not a bar to policy entitlements;
- (vi) Compensation for all lost assets acquired or affected is based on the principle of replacement cost;
- (vii) Restoration of livelihoods and residences of the displaced persons will be facilitated with adequate resources according to the resettlement plan and before the start of civil works construction;
- (viii) Where physical displacement takes place, displaced persons are to be assisted in integrating economically and socially into host communities in such a way that any adverse impacts on the host communities are minimized and social harmony is promoted;
- (ix) All payments, including compensation for the loss of land, assets, structures, trees, income, and common properties will be made prior to physical or economic displacement and the commencement of civil works construction;
- (x) Disclose a draft resettlement plan, including documentation of the consultation process in a timely manner to displaced persons and other stakeholders. Disclose the final resettlement plan and other documents such as the monitoring reports to displaced persons and other stakeholders; and

⁴ Provided for in the contractors tasks.

- (xi) This resettlement framework will be followed by whichever agency is undertaking land acquisition for the DWSIIP on behalf of the DJB.

59. The DWSIIP may involve four types of impacts that may require mitigation measures: (i) loss of assets, including land and structures; (ii) loss of income or livelihood; (iii) collective impacts on groups, such as loss of common property resources; and (iv) temporary disruptions due to the loss of access or limited access. Every effort will be made during the preparation of detailed designs to minimize the need for the acquisition of land and other assets and to reduce any involuntary resettlement impacts.

60. In accordance with the involuntary resettlement principles of this resettlement framework, all displaced persons will be entitled to compensation/resettlement assistance. Compensation and assistance will be based on the nature of ownership rights on lost assets and the impacts, including the vulnerability status of the displaced persons.

G. Negotiated Settlement

61. In line with ADB's SPS 2009, this framework does not apply to negotiated settlements. The policy encourages acquisition of land and other assets through a negotiated settlement wherever possible based on consultation⁵ with displaced persons including those without title to assets. A negotiated settlement will offer an adequate and fair price for land and other assets. Also, in the case of a negotiated settlement, an independent external party/person will be identified and engaged by the Implementing Agency to document the negotiation and settlement processes. The principles of this resettlement framework with regard to meaningful consultation processes, mechanisms for calculating the replacement cost of land and other assets affected and record-keeping requirements will be followed during the negotiated settlement.

62. The process of negotiation involves the following steps: (i) negotiation will take place when there is a willing buyer/willing seller; (ii) verification of the voluntary status of land acquisition will have to be carried out by a third party, preferably a NGO; (iii) consultation with the DP has to be carried out and documented; (iv) the minimum negotiated price to start negotiations will not be below the valuation of land based on the market value of land as given in the Entitlement Matrix; (v) all the safeguards as mentioned in the RF have to be followed; (vi) all negotiations have to be carried out in a transparent manner and validated by a third party, NGO, or in the absence of a NGO any other party as decided by the PIU; (vii) in case of failure of negotiations, compensation will be paid according to the RFCTLARRA, as outlined in the Entitlement Matrix of the resettlement framework; and (viii) the entire process has to be documented.

Policy of Direct Purchase of Private Land by DDA through Negotiation

63. The Land & Building Department of Govt. of Delhi is responsible for acquisition of land and handing it over to Delhi Development Authority for disposal. DJB does not buy any land-direct purchase or otherwise. If land is required by DJB, the proposal is forwarded to the Government of Delhi by the DDA and needs the approval of the Lieutenant Governor of Delhi. The DDA can undertake direct purchases through negotiation (negotiated settlement), per

⁵ A process that (i) begins early in the project preparation stage and is carried out throughout the project cycle; (ii) provides timely disclosure of information that is understandable and accessible to DPs; (iii) is undertaken in an atmosphere free of intimidation or coercion; (iv) is gender inclusive and responsive to the needs of disadvantaged and vulnerable groups; and (v) enables the incorporation of all relevant views of DPs and other stakeholders into decision making, such as project design and mitigation measures.

provisions of the RFCTLARRA. The revised resettlement plans and DDRs will include a third party independent verification of the negotiated settlement (to ascertain that there was no coercion involved in the purchase and that the purchase was conducted fairly) if land for any sub-project will need to be obtained through this procedure.

64. The Delhi Development Authority in its meeting held on 07.11.2014 approved the policy for direct purchase of land by DDA through negotiation with the owners of private land, as follows:

1. Concerned Superintending Engineer (In-Charge of the project), shall identify the critical land / name(s) of owner(s), collect copies of the ownership documents , circle rates from Revenue Authorities and ascertain willingness of the owner(s) as to whether they agree to sell the land to DDA and in case of their agreement, their expectation of price. Independent inputs regarding fair market value of land shall also be obtained by concerned Superintending Engineer through two independent valuers to be nominated from the panel made by DDA for valuation of the DDA vacant plots as a follow up to the decision taken by the Authority. Report of independent valuers, which will be received only in a sealed envelope with complete details as mentioned above, shall be submitted to the concerned Chief Engineer.
2. Concerned Superintending Engineer shall then put up a proposal before the first level Committee headed by Chief Engineer in-charge of the project for negotiation with land owners with respect to the land required for DDA project. The constitution of the first level committee shall be as follows:

Concerned Chief Engineer	Chairman
Director (LM)HQ	Member
Director (Land Costing)	Member
Director (Ping.) of the Zone	Member
Sr. Law Officer (LM)	Member
Superintending. Engineer	Member Secy.

3. As per the new Land Acquisition Act, the components of minimum compensation include market value of land, factor by which the market value is to be multiplied in rural or urban areas as the case may be, value of assets attached to that land and one hundred percent solatium worked out on consideration of above components. The first level committee shall work out the amount payable as compensation as per new Land Acquisition Act for the purpose of their negotiation. The first level committee will then negotiate the rate of land to be offered to the concerned land owners in view of the rates so worked out, prevailing circle rate and the rates expected by land owners.
4. Pursuant to the negotiation by the first level committee, it will submit complete information/ data including the negotiated land rates to the second level committee headed by the Commissioner (LM). Constitution of second level committee shall be as follows:

Commissioner (LM)	Chairman
Chief Engineer concerned	Member
Chief Accounts Officer	Member
Addi. Commissioner (Ping)	Member
Dy. CLA	Member

Suptdg. Engineer

Member Secy.

5. The second level committee shall first open the sealed covers containing the valuation of land given by the independent valuers nominated by the DDA and compare the rates with the rates worked out by the first level committee as per new Land Acquisition Act, prevailing circle rates and negotiated rates by the first level committee. The second level committee shall finalize and give its recommendation with respect to the rates to be offered to the owners of the land for direct purchase of land to the Standing Committee headed by Vice Chairman with Finance Member, Engineer Member and Principal Commissioner (LM) being the Members.
 6. The Standing Committee shall have powers either to accept the negotiated rates recommended by the second level committee, or direct further negotiations by the first level committee or recommend rejection of the case.
 7. After direct purchase of private land, the details of land purchased shall be submitted by the Vice Chairman, DDA in the next Authority meeting for information and directions of Authority, if any.
 8. The DDA Internal Committees would finalize the direct purchase of land only upto 10 acres. For direct purchase of the land exceeding 10 acres, the proposals will be submitted to the Authority for its approval.
 9. The cost of land for private purchase will not exceed the cost to be incurred under new Land Acquisition Act.
65. DDA will go in for direct purchase only in matters of public purpose. Due care and precaution will be taken to ensure transparent process while going for purchase of private land through negotiations.

H. Voluntary Land⁶ Donation

66. In many cases ADB-funded projects are based on the concept of land donation. In the case of land donation, the community or displaced person agrees to donate a part of their land for the project. An independent external party, identified by the PIU will have to be engaged to ensure and validate that: (i) the donation will not cause significant impacts on the livelihood of the donor(s) and the donor fully understands the value of the land that has been donated; (ii) the donation does not come from a land owner categorized as poor or vulnerable family; (iii) the donation will not cause any economic or physical displacement (legal or illegal); (iv) the land donor(s) will get direct benefits from the proposed project activities; (v) meaningful consultations are conducted with the land owner(s); and (vi) the land donation(s) does not come from coercion or an asymmetrical power relation between the land owner(s) and the Government. The above information has to be included in a due diligence report to be prepared by the external party for ADB review and approval.

⁶ This includes other assets attached to the land.

I. Preparation of SIA/ Social Impact Management Plan and Land Acquisition under the RFCTLARRA

67. The steps to be followed for the preparation of the SIA Study and the Social Impact Management Plan and Land Acquisition under the RFCTLARRA have been outlined here:

- (i) **Preparation of the SIA Study.** Whenever the appropriate government intends to acquire land for public purposes, it shall consult the concerned Panchayat, Municipality, Corporation, at the village level or ward level as the case may be, carry out a SIA study in consultation with them as specified under the Act;
- (ii) **Public Hearing for Social Assessment.** The government shall ensure that a public hearing is held at the affected area after giving adequate publicity about the date, time and venue for public hearing, to ascertain the views of the displaced persons to be recorded and included in the SIA report;
- (iii) **Publication of the SIA Study.** The government shall ensure that the SIA and the Social Impact Management Plan is prepared and made available in the local language to the Panchayat, municipality or the municipal corporation, as the case may be and the offices of the District Collector, the Sub-Divisional Magistrate and the Tehsil shall be published in the affected areas and uploaded in the website of the appropriate government body;
- (iv) **Appraisal of SIA report by the Expert Group.** The government shall ensure that the SIA is evaluated by an independent multi-disciplinary Expert Group. The recommendation of the expert group shall be published in the local language in the Panchayat, municipality or the municipal corporation, as the case may be and the offices of the district collector, the Sub-Divisional Magistrate, the Tehsil and shall be published in the affected areas and uploaded in the website of the appropriate government body;
- (v) **Appraisal by the Government.** The proposal for land acquisition and SIA report shall be examined by the government;
- (vi) **Publication of Preliminary Notification for Acquisition.** The notification shall include the statement of nature of public purpose involved, reasons necessitating the displacement of displaced persons, summary of SIA report and the particulars of the administrator appointed for R&R;
- (vii) **Preliminary survey of land.** The government will conduct a survey to determine the extent of land to be acquired;
- (viii) **Hearing of objections.** Any person whose land has been notified for acquisition can raise objections as laid down under the Act within 60 days from the date of publication of the preliminary notification;
- (ix) **Preparation of the R&R Scheme by the Administrator.** After the publication of the preliminary notification by the collector, the administrator for R&R shall undertake a survey and census of the displaced persons;
- (x) **Review of the R&R Scheme.** The collector shall review the R&R Scheme and submit to the commissioner R&R for approval;
- (xi) **Approval of the R&R Scheme to be made public.** The commissioner R&R shall make available the approved R&R Scheme in the local language in the Panchayat, municipality or the municipal corporation, as the case may be and the offices of the district collector, the Sub-Divisional Magistrate and shall be published in the affected areas and uploaded in the website of the appropriate government body;

- (xii) **Publication of Declaration and summary of the R&R Scheme.** After the Government is satisfied that the land is needed for public purpose a declaration shall be made and the collector shall publish a summary of the R&R Scheme;
- (xiii) **Land to be marked out and measured.** The collector will mark and measure the land to be acquired;
- (xiv) **Notice to interested persons.** After marking of the land the collector shall publish the public notice on his website and at convenient locations where land is being acquired, stating that government intends to take possession of land and claims to compensation and R&R may be made to him;
- (xv) **Enquiry and land acquisition award by the collector.** On a fixed date the collector shall enquire into the objections raised on compensation and the land to be acquired;
- (xvi) **Award.** The collector will make an award within a period of 12 months from the date of publication of the declaration and summary R&R Scheme. If no award is made within that period, the entire process of acquisition shall lapse.
- (xvii) **Determination of market value of land by the collector.** In determining the amount of compensation to be awarded for land acquired, the collector shall take into consideration: (i) the market value as determined under Section 27 and the award amount in accordance with the first and second Schedules; (ii) the damage sustained by the displaced person, by reason of the taking of any standing crops and trees which may be on the land at the time of the Collector's taking possession thereof; (iii) the damage (if any) sustained by the displaced person, at the time of the collector's taking possession of the land, by reason of severing such land from his other land and; (iv), the damage (if any) sustained by the displaced person at the time of the collector's taking possession of the land, by reason of the acquisition injuriously affecting his other property, movable or immovable, in any other manner, or his earnings; (v) in consequence of the acquisition of the land by the collector, the displaced person is compelled to change his residence or place of business, the reasonable expenses (if any) incidental to such change; (vi) the damage (if any) bona fide resulting from diminution of the profits of the land between the time of the publication of the Declaration under Section 20 and the time of the Collector's taking possession of the land; and (viii) any other grounds which may be in the interest of equity, justice and beneficial to the displaced person. The collector in determining the market value of the building and other immovable property or assets attached to the land or building which are to be acquired, may use the services of a competent engineer or any other specialist in the relevant field, as may be considered necessary by him. The Collector having determined the total compensation to be paid, shall, to arrive at the final award, pay a solatium amount equivalent to one hundred per cent of the compensation amount.
- (xviii) **R&R Award.** The collector shall pass the R&R Award for each of the displaced persons based on the entitlements provided in Schedule II of the Act.

68. **Appointment of Commissioner for R&R.** The State Government shall appoint an officer of the rank of commissioner or secretary of that government for R&R of displaced persons under the RFCTLARRA, to be called the commissioner for R&R. The commissioner for R&R shall be responsible for supervising the formulation of R&R schemes or plans, their proper implementation and conducting post-implementation social-audit in consultation with the appropriate government. The commissioner for R&R shall also establish a R&R committee at project level to monitor and review the progress, under the chairmanship of the collector, if the project involves land acquisition of more than 100 acres.

69. **Appointment of Administrator for R&R.** If involuntary displacement of displaced persons is involved then the State Government shall, by notification appoint an officer not below the rank of joint collector or additional collector or deputy collector or equivalent official of revenue department to be the administrator for R&R. Formulation, execution and monitoring of the R&R Scheme shall vest in the Administrator.

J. Eligibility Status of Displaced Persons

70. The following displaced persons, together with all persons described in the definition of a family as given in the RFCTLARRA, are eligible for compensation, assistance, and benefits:

- (i) Persons who lost land/ assets in their entirety or in part, who have formal legal rights to the land;
- (ii) Persons who lost the land they occupy in its entirety or in part who have no formal legal rights to such land, but who have claims to such lands that are recognized or recognizable under national laws (such as customary right over land by tribal people);
- (iii) Persons occupying land over which they neither have legal title, nor have claims recognized or recognizable under national law; and
- (iv) Vulnerable households, defined as poor households BPL as determined by the State, women-headed households, landless and non-titled households, physically handicapped⁷ and Scheduled Castes.

K. Entitlements, Assistance and Benefits

71. The investment program Entitlement Policy addresses the direct and indirect impacts of works construction and operation on displaced persons, households and communities. The most direct and immediate impacts are those associated with works construction, mainly land acquisition, loss of livelihood and loss of residences. Other losses include loss of other assets such as cattle sheds, water sources etc. and common property resources. Mitigation is provided through compensation and assistance to investment program displaced persons, households, and groups on the basis of this policy framework adopted by the DWSIIP. The policy provides mitigation for:

- (i) Loss of assets, including land and house or work place;
- (ii) Loss of livelihood or income opportunities;
- (iii) Collective impacts on groups, such as loss of community assets, common property resources, and others; and
- (iv) Temporary disruptions due to project construction work.

72. Compensation eligibility is limited by a cut-off date. The cut-off date for non- title holders, is the date of the start of the project census survey, during preparation of the draft resettlement plan and the date of Land Acquisition Notification under Section 11 of the RFCTLARRA will be the cut-off date for all titleholders losing land and structures. The investment program entitlement matrix (see **Table 5**) identifies and lists the various types of losses resulting out of the program and specific compensation and resettlement packages for each category.

⁷ Physically handicapped vulnerable household means where the head of the household is physically handicapped.

Table 5: Entitlement Matrix⁹

Type of Loss	Identification of Displaced Persons	Details
A.	Loss of Land	
A.1. Loss of private land (agriculture, homestead or vacant plot)	Titleholder	<ol style="list-style-type: none"> 1. Compensation at replacement/market value as specified in the RFCTLARRA or land-for-land where feasible; 2. Compensation at replacement cost for any investment made to land; 3. Solatium to be paid at 100% of the compensation amount; 4. If the residual plot(s) is (are) not viable, either of the following two options are to be given to the DP, subject to acceptance: Option 1- The displaced person remains on the plot, and the compensation and assistance are paid only for the required amount of land to be acquired; or Option 2- Compensation to be provided for the entire plot including residual part, if the owner of such land wishes that the residual plot should also be acquired by the executing agency. 5. A monthly subsistence allowance equivalent to INR3,000 per month for a period of one year from the date of award will be provided; 6. Compensation for affected plants and trees (refer Section D of the Matrix);¹⁰ 7. Compensation for affected standing crops will be provided at market value (refer Section D of the Matrix);¹¹ 8. All fees, stamp duties, taxes, and other charges, as applicable under the relevant laws, incurred in the relocation and rehabilitation process, are to be borne by the executing agency; 9. One-time resettlement allowance of INR50,000 for those who become marginal farmers or landless due to loss of land;¹² 10. Choice of annuity or employment—the following options are to be provided: <ol style="list-style-type: none"> (a) where jobs are created through the project, after providing suitable training and skill development in the required field, make provision for employment at a rate not lower than the minimum wages provided for in any other law for the time being in force, to at least one member per displaced household in the project or arrange for a job in such other project as may be required; or (b) a one-time payment of INR500,000 per displaced household; or (c) annuity policies that shall pay not be less than INR2,000 per month per displaced household for 20 years, with appropriate indexation to the Consumer Price Index

⁹ There are no Scheduled Areas in this project where Scheduled Tribes or Castes will get displaced.

¹⁰ To be valued by persons experienced in the field of agriculture, horticulture forestry etc. as necessary.

¹¹ Valued by an experienced person in the field of agriculture.

¹² Marginal farmers are those who are left with one hectare of unirrigated land and half hectare of irrigated land holding after acquisition.

Type of Loss	Identification of Displaced Persons	Details
		<p>for agricultural laborers;</p> <p>11. All DHs will receive compensation for: (i) damage to land/ quality of land (if any) sustained by reason of severing land proposed for acquisition or adjoining lands from/to affected land; calculated from the date of the preliminary notification till the date of final award; (ii) diminution of the profits of the land between the time of the publication of the Declaration for taking possession of land and the time of the collector's taking actual possession of the land; and (iii) compensation incidental to such change if the affected landowner is compelled to change his place of residence or business due to the proposed land acquisition.</p>
A.2. Loss of private land (agriculture, homestead, or vacant plot)	Tenants and leaseholders/share-croppers (with or without written tenancy/lease documents)	<ol style="list-style-type: none"> 1. Reimbursement of rental deposit or unexpired lease; 2. Compensation at replacement cost for any investment made to the land; 3. One-time resettlement allowance of INR50,000 for those who become marginal framers or landless, or those who need to relocate due to acquisition. 4. Choice of annuity or employment the following options are to be provided: <ol style="list-style-type: none"> (a) where jobs are created through the project, after providing suitable training and skill development in the required field, make provision for employment at a rate not lower than the minimum wages provided for in any other law for the time being in force, to at least one member per displaced household in the project or arrange for a job in such other project as may be required; or (b) one-time payment of INR500,000 per DH; or (c) annuity policies that shall pay not less than INR2,000 per month per displaced household for 20 years, with appropriate indexation to the Consumer Price Index for agricultural laborers; <p>This entitlement will be provided to those who have been utilizing the land continuously for the last 3 years from the date of notification.</p> 5. A monthly subsistence allowance equivalent to INR3,000 per month for a period of one year from the date of award will be provided; 6. Notice to harvest standing seasonal crops. If notice cannot be given, compensation for loss of crops will be provided; and 7. One-time financial assistance of INR50,000 as transportation cost for shifting.
A.3. Loss of government land	Leaseholder	<ol style="list-style-type: none"> 1. Compensation for unexpired lease; 2. Compensation for any investment made to the land; 3. One-time resettlement allowance of INR50,000; 4. All DHs will receive compensation for: (i) damage to land/ quality of land (if any) sustained by reason of severing land proposed for acquisition or adjoining lands from/to affected land; calculated from the date of preliminary notification till the date of final

Type of Loss	Identification of Displaced Persons	Details
		<p>award; (ii) diminution of the profits of the land between the time of the publication of the Declaration for taking possession of land and the time of the collector's taking actual possession of the land; and (iii) compensation incidental to such change if affected leaseholder is compelled to change his place of residence or business due to proposed land acquisition;</p> <ol style="list-style-type: none"> 5. Each displaced household which is displaced from the land acquired shall be given a monthly subsistence allowance equivalent to INR3,000 per month for a period of one year from the date of award; 6. Notice to harvest standing seasonal crops. If notice cannot be given, compensation for loss of crops will be provided; and 7. One-time financial assistance of INR50,000 as transportation cost for shifting.
B.	Loss of Structures	
B.1. Loss of residential structure	Titleholder of affected structure and those without homestead land ¹³	<ol style="list-style-type: none"> 1. If a house is lost in a rural area, a constructed house shall be provided as per the Indira Awas Yojana¹⁴ specifications or the equivalent cost of the house; 2. In urban areas, a constructed house shall be provided, which will be not less than 50 square meters in plinth area or a one-time financial assistance for house construction, which shall not be less than INR150,000; 3. The replacement value of the structure, will be provided, calculated as per the latest prevailing schedule of rates without depreciation; 4. Where the loss of structure is partial and the remaining structure is unviable, compensation will be based on the total structure and benefits will be given as mentioned in this section; 5. One-time financial assistance of INR50,000 as transportation cost for shifting; 6. A monthly subsistence allowance equivalent to INR3,000 per month for a period of one year from the date of award will be provided 7. Right to salvage material from the demolished structure at no cost; 8. Rental assistance¹⁵until an alternative house is ready; 9. Each displaced household shall be given a one-time resettlement allowance of INR50,000 in case of relocation. 10. All fees, taxes and other registration charges incurred for the replacement structure shall be borne by the executing agency. 11. The house provided to the displaced Family will be registered in the name of head of the household along with his spouse as applicable.

¹³ Who have been residing in the area continuously for a period of not less than three years preceding the date of notification

¹⁴ Housing Scheme of the Government of India

¹⁵ Rental assistance will be based on rental prices in the area of current residence of the displaced person, and will be fixed after discussions with the PIU, PMC and the CMRC.

Type of Loss	Identification of Displaced Persons	Details
	Tenants and leaseholders	<ol style="list-style-type: none"> 1. Rental assistance for a period of three months. 2. One-time financial assistance of INR50,000 as transportation cost for shifting; 3. A monthly subsistence allowance equivalent to INR3,000 per month for a period of one year from the date of award will be provided; 4. Each displaced household will be provided with a one-time resettlement allowance of INR50,000, in case of relocation; 5. Any additional structures erected by tenants will also be compensated and deducted from owner's compensation amount; 6. Any advance deposited by the tenant to the landlord will be deducted from land lord/ owner's total compensation package on submission of documentary evidence; and 7. Right to salvage material from demolished structure, erected by tenants.
B.2. Loss of commercial structure and other assets	Titleholder	<ol style="list-style-type: none"> 1. The replacement value of the structure, calculated as per the latest prevailing schedule of rates without depreciation; 2. One-time grant of a minimum of INR25,000¹⁶ for self-employed persons, artisans, traders etc. 3. A monthly subsistence allowance equivalent to INR3,000 per month for a period of one year from the date of award will be provided. 4. Right to salvage material from the demolished structure at no cost; 5. One-time financial assistance of INR50,000 as transportation cost for shifting; 6. Rental assistance will be provided¹⁷ on a square feet basis equivalent to the space lost, for a period of three months 7. All fees, taxes and other registration charges incurred for the replacement structure shall be borne by the executing agency.
	Tenants and leaseholders	<ol style="list-style-type: none"> 1. Rental assistance will be provided at the prevalent rate of the area on a square feet basis equivalent to the space lost, for a period of three months; 2. One-time financial assistance of INR50,000 as transportation cost for shifting; 3. A monthly subsistence allowance equivalent to INR3,000 per month for a period of one year from the date of award will be provided; 4. Any additional structures erected by tenants will also be compensated and deducted from owner's compensation amount; 5. Any advance deposited by the tenant to the landlord will be deducted from land lord/ owner's total compensation package on submission of documentary evidences; and 6. Right to salvage material from demolished structure, erected by tenants.
C.	Assets	

¹⁶ Based on the RFCTLARRA 2013.

¹⁷ Rental assistance will be fixed based on the rental prices of the area of current commercial establishment of the DP, and will be fixed after discussions with the PIU, PMC and the CMRC.

Type of Loss	Identification of Displaced Persons	Details
C.1. All other assets such as bore wells, cattle shed etc.	Titleholders and leaseholders	<ol style="list-style-type: none"> 1. The replacement value of the structure, calculated as per the latest prevailing schedule of rates without depreciation; 2. Right to salvage material from demolished structure; 3. For the loss of cattle shed a one-time assistance payment of INR25,000 to be provided.
D.	Loss of Crops and Trees	
D.1. Loss of crops and trees	Titleholder, sharecroppers and leaseholders	<ol style="list-style-type: none"> 1. Displaced persons will be notified and given 60 days' advance notice to remove trees. For seasonal crops and fruit trees six months' notice is to be given; 2. Compensation for cash crops at prevalent market rates¹⁸, to be calculated as annual net product value multiplied by the number of productive years remaining; 3. Compensation for one years' net harvest for seasonal crops at prevalent market rates; 4. Compensation at market value of timber in case of timber-bearing trees; 5. For fruit bearing trees compensation to be calculated at market value of annual net product multiplied by the number of productive years remaining¹⁹
E.	Assets Lost by Non-titleholders	
E.1 Loss of structure)	Encroachers	<ol style="list-style-type: none"> 1. Encroachers will be notified and given 60 days' advance notice to remove their assets; 2. Compensation for affected structures at replacement value calculated as per the latest prevailing schedule of rates without depreciation; 3. Right to salvage material from the demolished structure at no cost.
	Squatters and informal settlers	<ol style="list-style-type: none"> 1. Squatters will be notified and given 60 days' advance notice to remove their assets; 2. Compensation for affected structures at replacement value calculated as per the latest prevailing schedule of rates without depreciation; 3. Right to salvage material from demolished structure at no cost; 4. A lump sum shifting assistance of INR10,000 will be provided.
F..	Loss of Livelihood	
F.1. Loss of primary source of income for the non-titleholders	Agriculture labor	<ol style="list-style-type: none"> 1. One-time resettlement assistance of INR50,000 for lost income, to be paid as ex gratia; 2. Preference for employment opportunity for displaced persons in the project construction work, if so desired by them; 3. Training would be provided for income generating vocational training and skill improvement options based on the choice of the displaced person at INR20,000²⁰ per

¹⁸ Valued by an experienced person in the field of agriculture.

¹⁹ To be valued by persons experienced in the field of agriculture, horticulture forestry etc. as necessary.

²⁰ The Vocational Training Programme by Industrial Training Institutes, provides training in a number of trades, under the Directorate General of Employment and Trade, Ministry of Labour and Employment, Government of India. The cost for training is INR25 per hour. The minimum training hours for a female is 150 hours

Type of Loss	Identification of Displaced Persons	Details
		DH. This cost would be directly paid by the project to the training institute or purchase of income generating assets up to INR40,000 ²¹ .
	Wage-earning employees indirectly affected - those working in businesses such as petty shops, eateries	<ol style="list-style-type: none"> 1. One-time assistance of INR18,000²² per displaced person. 2. Preference for employment opportunity for displaced persons in the project construction work, if so desired by them.
	Licensed Street Vendors ²³	<ol style="list-style-type: none"> 1. Will be provided with alternate location for carrying out their activity. 2. A lump sum shifting assistance of INR10,000 will be provided.
G.	Loss of Common Property Resources	
G.1. Loss of common property resources		<ol style="list-style-type: none"> 1. Replacement or restoration of the affected community assets in consultation with the affected community.
H.	Additional Support to Vulnerable Groups	
H.1. Further assistance to all vulnerable groups	Households categorized as vulnerable. ²⁴	<ol style="list-style-type: none"> 1. Additional one-time assistance of INR18,000²⁵ per vulnerable household will be paid. This will be over and above the other assistance given in this framework; 2. Vulnerable households will be given priority for potential employment in the project construction activities.
I.	Temporary Impacts	
I.1. Temporarily affected agricultural land / plot	Titleholder, traditional land rights and non-titleholders	<ol style="list-style-type: none"> 1. In case of standing crops, cash compensation for loss of agricultural crops at current market value; 2. Compensation for loss of trees at current market value; 3. Restoration of land to its previous or better quality; 4. This resettlement framework will be complied with where construction activities undertaken will lead to impacts on land in terms of damage or loss; and

and for a male it is 180 hours. The list of trades and details are provided in www.dget.giv.in and www.sdi.gov.in. The cost of INR20,000 has been estimated assuming a training period of three months plus any incidental charges such as transportation, materials etc.

²¹ This is only an estimate. The income generating asset will be skill related. Being an urban area, examples of likely options include purchasing a computer at an estimated INR25,000 and a multi-function printer at INR15,000, or alternatively a small copy machine. The assets should be decided on a case to case basis.

²² In the RFCTLARRA the subsistence allowance for titleholders is INR36,000 for a year. In this case 50% of this amount is provided for non-titleholders.

²³ Those who have been surveyed under the Street Vendors (Protection of Livelihood and Regulation of Street Vending) Bill, 2014, or already have a license for operating.

²⁴ Vulnerable are those households that are BPL, the elderly - above 60 years of age, female headed households, households headed by physically handicapped persons, non- titled households, landless households and Scheduled Castes.

²⁵ Calculated on 50% of the subsistence allowance.

Type of Loss	Identification of Displaced Persons	Details
		<ol style="list-style-type: none"> 5. DHs will be notified and given 60 days' advance notice to remove trees and six months' notice to harvest crops and fruit trees.
I.2. Structures temporarily demolished for project activities	Titleholders/ non titled holders building owners	<ol style="list-style-type: none"> 1. Compensation for assets lost at replacement value without depreciation; 2. Rental assistance will be provided at the prevalent rate of the area for the duration of project construction activities, in case the displaced person has to relocate to an alternate structure for commercial/ residential purposes; 3. One-time financial assistance of INR25,000 for temporary removal/replacement; 4. Subsistence allowance at INR3,000 per month for 3 months; and 5. This resettlement framework will be complied with where construction activities undertaken by the project leads to impacts on structures in terms of damage/loss or loss of livelihood.
I.3. Temporary loss of livelihood	Business owners, tenants, leaseholders, employees, hawkers/vendors	<ol style="list-style-type: none"> 1. During work plan submission, it will be ensured all precautions are taken in the design, execution and actual implementation of works to ensure that access to business premises and residences, schools and other community assets are maintained at all times. 2. For shops or businesses experiencing full closure of commercial activity due to project construction activities, one-time cash assistance equal to the loss of net income during period of disruption will be provided.
J.	Other Unanticipated Impacts	
J.1. Temporary impacts during construction	All displaced persons	<ol style="list-style-type: none"> 1. The provisions in this Entitlement Matrix will be followed for any impact on structures or land due to movement of machinery etc. during construction or the establishment of construction plant; 2. Compensation for standing crops and trees as per the market rate; 3. Time bound restoration of land to its previous or better quality; and 4. The project will maintain access to all properties and businesses at all times.
J.2. Any unanticipated impacts due to project intervention		<ol style="list-style-type: none"> 1. Any unanticipated impacts of the project will be documented and mitigated based on the spirit of the principles agreed upon in this RF and the RFCTLARRA 2013.

III. RESETTLEMENT PLAN PREPARATION

A. Social Impact Assessment Survey

73. A SIA survey of the displaced persons will be undertaken in each subproject to determine the magnitude of displacement and prospective losses, better identification of vulnerable groups, ascertain costs of resettlement, and prepare a rehabilitation program for implementation. The SIA surveys will be based on the preliminary technical designs of the subprojects identified. The socio-economic survey will help in assessing the investment program's socio-economic impacts on the affected community and people. The methodology for conducting socioeconomic surveys and database management (to be used for resettlement plan preparation) is indicated in **Appendix 2**. The SIA surveys will comprise of:

- (i) **Baseline socio-economic sample survey.** The purpose of the baseline socio-economic sample survey of displaced persons is to establish monitoring and evaluation parameters. It will be used as a benchmark for monitoring the socio-economic status of displaced persons. The survey will cover 20% of the displaced persons. The survey will also collect gender-disaggregated data to address gender issues in resettlement. The survey will carry out the following: (i) preparation of accurate maps of the subproject area; and (ii) analysis of social structures and income resources of the population.
- (ii) **Census survey.** The purpose of the census is to: (i) register who the displaced persons are; (ii) assess their income and livelihoods; (iii) make an inventory of assets affected by the project; and (iv) collect gender-disaggregated information pertaining to the economic and sociocultural conditions of displaced persons. The census will cover 100% of displaced persons.

B. Resettlement Plans

74. RPs will be prepared based on the results of the census, and from information drawn from the baseline socio-economic sample survey. The database on displaced persons is to be completed before RP preparation. It will include the results and findings of the census of displaced persons and their entitlements to restore losses, institutional mechanisms and schedules, budgets, assessment of feasible income restoration mechanisms, grievance redress mechanisms, and results monitoring mechanisms. The outline of a resettlement plan is given in **Appendix 3**.

75. RPs will comply with the principles outlined in this resettlement framework and will have to be approved by the executing agency and ADB prior to contract award. Disbursement of compensation payments and entitlements must be made prior to displacement.

76. RPs comprising the entitlement matrix, compensation and rehabilitation options among others shall be brought to the notice of displaced persons and host communities. The specific resettlement-related activities to be performed, such as SIA, census and socioeconomic survey, resettlement planning, public consultation, development of mitigation and income restoration measures, implementation of RPs, and monitoring and evaluation, and their subproject implementation schedule, will all be detailed in the resettlement planning document. The RPs will be prepared and notified to the public, through information disclosure workshops and other means such as posters and/or resettlement booklets, notices in the local government offices etc.

C. Gender Impacts and Mitigation Measures

77. Female-headed households are considered a vulnerable group as per the resettlement framework. Any negative impacts of a subproject on female-headed households will be given priority. RPs will formulate measures to ensure that socioeconomic conditions, needs, and priorities of women are identified, and that the process of land acquisition and resettlement does not disadvantage women. It will ensure that gender impacts are adequately addressed and mitigated. Women's focus groups discussions will be conducted to address specific women's issues. During disbursement of compensation and provision of assistance, priority will be given to female-headed households. Joint ownership in the name of husband and wife will be provided in cases of non-female-headed households. Gender issues are further addressed through the gender equality and social inclusion action plan prepared for the investment program, and will be implemented by a CMRC.

D. Impacts on Indigenous People and Mitigation Measures

78. The project area falls within the NCTD. According to the Census of India, 2011, there are no Scheduled Tribe populations recorded in the State of Delhi.

IV. COMPENSATION, INCOME RESTORATION AND RELOCATION

A. Land Acquisition

79. Land Acquisition for DJB, is normally carried out by the Delhi Development Authority. If any land is required by the DJB under the DWSIIP, the acquiring agency is required to follow this resettlement framework.

B. Valuation of Lost and Affected Assets

80. Land acquisition and resettlement impacts of the investment program will be compensated in accordance with the entitlement matrix (**Table 5**).

1. Compensation for land

81. Compensation for land will be based on the RFCTLARRA as follows.

Calculation of Market Value. The market value of the proposed land to be acquired shall be set as the higher of:

- (i) The market value, if any, specified in the Indian Stamp Act, 1899 for the registration of sale deeds or agreements to sell, as the case may be, in the area, where the land is situated; or
- (ii) The average sale price for similar type of land situated in the nearest village or nearest vicinity area; or
- (iii) Consented amount of compensation as agreed upon in case of acquisition of lands for private companies or for public-private-partnership projects.

82. The market value would be multiplied by a factor of, at least one to two times the market value for land acquired in rural areas and at least one times the market value for land acquired in urban areas. The act stipulates that the minimum compensation to be a multiple of the total of

above ascertained market value, value to assets attached to the property, plus a solatium equal to 100% of the market value of the property including value of assets. Whichever is higher, will be taken and the date for determination of market value shall be the date on which the notification has been issued under Section 11.

83. Compensation will also be calculated for: (i) damage to land/ quality of land (if any) sustained by reason of severing land proposed for acquisition or adjoining lands from/to affected land; calculated from the date of preliminary notification till the date of final award; (ii) diminution of the profits of the land between the time of the publication of the Declaration for taking possession of land and the time of the collector's taking actual possession of the land; and (iii) compensation incidental to such change if affected landowner is compelled to change his place of residence or business due to the proposed land acquisition.

2. Valuation of lost assets

84. The valuation of immovable properties, including structures, assets, trees and crops is as follows:

- (i) Houses/ buildings/ structures: The valuation of the houses, buildings, and other immovable properties will be based on the latest appropriate schedule of rates plus the cost of labor and transfer of the construction materials.
- (ii) Standing crops/ perennial crops: If notice for harvest of standing/ perennial crops cannot be given, then valuation will be carried out at prevalent market rates, to be calculated as annual net product value multiplied by the number of productive years remaining. Valuation should be by an experienced person in the field of agriculture.
- (iii) Trees/ fruit/ timber: Compensation at market value of timber in the case of timber-bearing trees. For fruit bearing trees compensation to be calculated at market value of annual net product multiplied by the number of productive years remaining. Valuation should be persons experienced in the fields of agriculture, horticulture, forestry etc. as appropriate.
- (iv) All other assets: Assets such as irrigation units, boundary walls etc. will be valued on the basis of the latest appropriate schedule of rates.
- (v) Common property resources: In case of loss of community infrastructure or any common property resources, the same will be restored or re-installed, by the executing agency, at a new place in consultation with the community, local self-governing bodies or appropriate authority.

85. All compensation and assistance will be paid to displaced persons prior to displacement or commencement of civil works. In case there are loans on acquired land and properties, such amounts will be adjusted from the total compensation based on mutual agreement between the displaced persons and the acquiring body. Displaced persons will be provided with an advance notice of 60 days prior to possession being taken of the land or properties. Displaced persons will be allowed to take the materials salvaged from their dismantled houses and shops.

C. Income Restoration

86. Each displaced person whose income or livelihood is affected by a subproject will be assisted to improve or at least restore this income to its pre-project level. Income restoration schemes will be designed in consultation with displaced persons, and considering their resource base and existing skills. The PIU with support from the CMRC/ PMC, will identify the number of

eligible displaced persons based on the 100% census of the displaced persons and will conduct a training needs assessment in consultation with the displaced persons so as to develop an appropriate income restoration program. The PIU, with support from the CMRC and the PMC, will examine local employment opportunities and identify possible income restoration options. Suitable trainers or local resources will be identified by the CMRC/ PMC. Vulnerable households will get special assistance in this regard.

87. The resettlement plan budget will reflect the cost of providing training at the rate of INR20,000 per person and costs for training will be paid directly to the training institution. The PIU will also facilitate displaced persons' access to government schemes that could help them restore income and livelihood. The Vocational Training Program by the Industrial Training Institute provides training in a number of trades, under the Directorate General of Employment and Trade, Ministry of Labour and Employment, Government of India. The cost for training is INR 25 per hour. The minimum training hours for a female is 150 hours and for a male it is 180 hours. The list of trades and details are provided in www.dget.gov.in and www.sdi.gov.in. The cost of INR20,000 has been estimated assuming a training period of three months plus any incidental charges such as transportation, materials etc.

88. Long term restoration measures also includes a choice of annuity or employment, where options include: (i) jobs created through the project, after providing suitable training and skill development in the required field, making provision for employment at a rate not lower than the minimum wages provided for in any other law for the time being in force, to at least one member per DH in the project or arrange for a job in such other project as may be required; or (ii) one-time payment of INR 500,000 per DH; or (iii) annuity policies that shall pay not less than INR 2,000 per month per DH for twenty years, with appropriate indexation to the Consumer Price Index for agricultural laborers.

89. In addition, the entitlement matrix provides for short-term income restoration measures by providing allowances such as subsistence allowance, resettlement allowance and shifting assistance.

90. Temporary income loss: Businesses experiencing full closure of shops or other type of economic activities due to construction works will be compensated for lost income for the entire duration of the disturbance. A complete survey of all the businesses likely to be impacted will be conducted by the CMRC. Contractors need to submit the work schedule to the PIU for approval for any closure of access. In case of full closure of businesses, the CMRC will conduct an income survey of businesses along the relevant sections. For shops not qualifying under these categories (hawkers, vendors, etc.) the actual income based on the survey will be used through a verification of the income data by the CMRC.

91. Payment of compensation due to the loss of income resulting from full closure of business activity will consist of the following steps:

- (i) **Step1.** Conduct public awareness and information dissemination prior to construction works. This is to be done by the CMRC/ PMC in coordination with the PIU;
- (ii) **Step 2.** In collaboration with the contractors, the PMC is to identify the roads where businesses will experience full closure and estimate the period of closure.;
- (iii) **Step 3:** The CMRC will then (a) conduct an income survey of shops along sections of roads identified for full closure, and (b) update the resettlement plan identifying income and estimated losses.

- (iv) **Step 4:** After approval from the PIU, the CMRC will distribute identity cards (Appendix 4) stating the compensation amount payable to the displaced persons.
- (v) **Step 5.** The PIU will issue cheques to displaced persons before and after closure. All payments will be recorded for accounting purposes with the signature of the displaced person.

92. **Vendor assistance.** Vendors requiring temporary shifting during the construction period will be notified in advance, and will be allowed to salvage all materials for temporary shifting to an alternative location. They will be allowed to return to the original location after construction is declared complete. Vendor assistance will consist of the following steps:

- (i) **Step 1.** Identify impacted vendors based on detailed design by the PMC in coordination with the contractors;
- (ii) **Step 2.** Notify vendors at least 2-3 weeks in advance. Consult with local vendor associations, if they exist;
- (iii) **Step 3.** Identify alternative nearby locations where the affected vendors can continue their businesses;
- (iv) **Step 4.** Assistance will be given by the contractors to vendors to shift to a new location; and
- (v) **Step 5.** Assistance will be given by contractors to return to the original location after construction works are completed.

D. Relocation

93. The investment program will, to the extent that is possible, avoid any physical displacement/ relocation of displaced persons. In the event that physical relocation is required the investment program will ensure that (i) shifting assistance, resettlement assistance and subsistence allowance, as required, will be provided to all relocated/physically DHs (ii) relocation sites will be disclosed to the displaced persons for endorsement, along with their facilities; (iii) DHs can choose between independent or assisted relocation by the project; and (iv) alternate houses have to be provided to the displaced persons before demolition. In the event that houses are not ready, rental assistance will have to be provided until the alternate house is ready. Relocation has to be completed before the start of civil works. The PIU/ PMC will monitor the relocation process with CMRC support. Adequate budgetary allocation has to be provided for timely relocation implementation and included in the final RPs.

V. CONSULTATION, PARTICIPATION AND DISCLOSURE

A. Consultation and Participation Process

94. Consultations with various stakeholders will be carried out throughout the project cycle. The consultations will be conducted by the PIU, CMRC and the PMC Social Specialists. Stakeholders will include primary stakeholders who are project displaced persons and the PIU. Additionally, the concerned deputy commissioner of the district, commissioner of the corporation and revenue officials are also considered to be the primary stakeholders. Other stakeholders in the project include ward level members, local councilors, resident welfare associations (RWAs), local community groups, women's groups and people of the project area.

95. The resettlement consultation program will be tiered and conducted at several levels that includes: (i) heads of households/ members likely to be impacted; (ii) ward level members; (iii)

community based organizations (CBOs) and RWAs; and (iv) DJB and line departments. Several rounds of consultations will be conducted during RP implementation. As a follow-up of the local-level consultations held during project preparation, further consultations will be conducted by the CMRC, PMC and PIU during implementation. In the first round of consultations information on RP and the entitlement policy and options will be disseminated. This will involve explaining the entitlement matrix and resettlement options to the displaced persons and soliciting their support and co-operation. This will help finalize agreement on the various entitlements provided in the entitlement matrix. The next round of consultation involves agreements on compensation and assistance options and entitlements with the displaced persons and completion of distribution of identity cards indicating the accepted entitlement package. The next round of consultations will occur when compensation and assistance are provided and actual resettlement begins and CMRC, PMC and PIU has to facilitate relocation.

96. The methodology followed for public consultations will include: (i) informing all the likely displaced persons, ward committee members, local NGOs, RWAs and CBOs of upcoming meetings; (ii) conducting the meetings; and (iii) documenting the minutes of the meetings, noting the list of participants as recorded by signature and filing photographs taken of the consultations.

97. Particular attention will be paid to the needs of the disadvantaged and vulnerable groups, especially those groups that are BPL, landless, elderly, female-headed households, women, indigenous people/ scheduled Tribes, and those without legal title to land. The CMRC/ PIU/ PMC will ensure that any views of the displaced persons, particularly vulnerable people, related to the resettlement process are looked into and addressed. The implementing organization will ensure that groups and individuals consulted are informed about the outcome of the decision-making process and confirm how their views were incorporated.

98. Each subproject resettlement plan will be prepared and implemented in close consultation with key stakeholders. Women's participation will be ensured by involving them in public consultation at various stages of project preparation. The venue and the time of meetings must be convenient for women.

B. Information Disclosure and Resettlement Plan Disclosure

99. Information will be disseminated to displaced persons at various stages, including the project implementation period. For the benefit of the community in general and displaced persons in particular, a summary of the resettlement framework and each resettlement plan will be made available in Hindi during consultation meetings and will be disclosed in public places prior to project appraisal. This will enable stakeholders to provide inputs on the resettlement process, prior to the award of civil work contracts.

100. Each subproject resettlement plan will be disclosed to the affected community, detailing information including measurement of losses, detailed asset valuations, entitlements and special provisions, grievance procedures, timing of payments, and displacement schedule by the PIU. This will be done through public consultation and brochures and leaflets in Hindi. Copies of the resettlement plan in Hindi will also be made available at: (i) office of the PIU; (ii) the deputy commissioner's office; and (iii) local level offices. A report of disclosure, giving details of the date and location will be shared with the ADB. The template for project information and disclosure of the RP and grievance procedures is given in **Appendix 5**.

101. The resettlement framework and the RPs will be placed on the official website of the DJB and the official website of ADB after approval and endorsement of the resettlement framework and resettlement plan by the PIU and ADB. **Table 6** provides a summary of the consultation and disclosure activities to be undertaken.

Table 6: Summary of Consultation and Disclosure Activities

Subproject Phase	Activities	Details	Responsible Agency	Audience and Target
Initiation	Mapping of the subproject area	Subproject area to be mapped, clearly showing survey numbers of titleholders of land/ property proposed for acquisition.	PIU/ PMC in coordination with district collector's office/ municipal corporation of Delhi/ Ward Office etc.	Municipal Corporation of Delhi, Urban Planning Department, Ward Committees, Survey, and Land Revenue Department
	Stakeholder identification	Cross-section of stakeholders to be identified in order to facilitate their participation in the subproject.	PIU, CMRC and PMC to identify all stakeholders.	All likely stakeholders i.e. displaced persons, IAs, line departments.
	Subproject information dissemination; disclosure of proposed land acquisition and subproject details	Leaflets containing information on a subproject to be prepared. The public notice will mention the names and survey numbers of titleholders of land and property proposed for acquisition along with subproject details. The notice will be issued in local newspapers.	PIU will get the information from the land acquiring agency. Information dissemination will be done by the PIU. They will be assisted by the PMC and CMRC for leaflet preparation. Notice will be issued by the PIU.	PIU and the acquiring agency.
	Stakeholder meetings	Meetings at community/ household level with displaced persons and other stakeholders, such as RWAs, ward committees etc.	PIU with assistance from the PMC and CMRC	PIU, CMRC. PMC, displaced persons, NGOs and CBOs.
RP preparation	Socio-economic impact assessment and census surveys	Surveys and individual consultations to be conducted. Summary RP to be disclosed in Hindi in accessible locations to displaced persons, particularly vulnerable stakeholders.	PIU will be assisted by the PMC and CMRC to conduct consultations and surveys.	Local committee member, displaced persons representatives and other local level organizations.
	Formulating compensation Measures and rehabilitation	Based on census surveys, the entitlements will be shared through	PIU assisted by CMRC/ PMC, who will conduct all discussions,	Local committee members, displaced person

Subproject Phase	Activities	Details	Responsible Agency	Audience and Target
	measures	discussions and sharing the RPs with displaced persons.	meetings and workshops and will invite all secondary stakeholders.	representative, women's groups, NGOs and CBOs.
	Disclosure of final entitlements and rehabilitation packages	Web disclosure of the resettlement plan. Dissemination of translated summary RPs to all stakeholders before final disclosure.	The CMRC appointed by PIU will undertake all activities related to dissemination of the resettlement plan. PIU will arrange public meeting of all stakeholders with displaced persons for resettlement plan approval. All the comments and suggestions made by displaced persons will be documented.	PMC/ PIU/ CMRC.
RP Implementation	Relocation and rehabilitation, livelihood restoration	Addressing any issues which arise during shifting, or relocation or deciding on the choices of training programs or availing eligible assistance	The CMRC and PMC will continue the process of consultation.	Project displaced persons.

VI. GRIEVANCE REDRESS MECHANISM

102. A program-specific GRM will be established to receive, evaluate, and facilitate the resolution of affected persons' concerns, complaints, and grievances about the social and environmental performance at the level of the project. The GRM will aim to provide a time-bound and transparent mechanism to voice and resolve social and environmental concerns linked to the investment program.

103. A common GRM will be in place for social, environmental, or any other grievances related to the investment program. The RPs and initial environmental examinations will follow the GRM described below. The GRM will provide an accessible and trusted platform for receiving and facilitating the resolution of affected persons' grievances related to the investment program. The multi-tier GRM for the investment program is outlined below, each tier having time-bound schedules and with responsible persons identified to address grievances and seek appropriate persons' advice at each stage, as required.

104. Investment program area-wide public awareness campaigns will ensure that knowledge of the grievance redress procedures is generated. The PIU will, through the PMC and the appointed community mobilization and resettlement consultant (CMRC) conduct awareness campaigns to ensure that poor and vulnerable households are made aware of grievance redress procedures and entitlements.

105. Affected persons will have the flexibility of conveying grievances/suggestions by dropping grievance redress/suggestion forms in complaints/ suggestion boxes to be installed by DJB or by e-mail, or by registering complaints on the DJB website or by post, or by writing in a complaints register in the PIU office or at construction site offices. Careful documentation of the name of the complainant, date of receipt of the complaint, address/ contact details of the person, location of the problem area, and how the problem was resolved will be undertaken. The PIU safeguards officer will have the overall responsibility for timely grievance redress on environmental and social safeguards issues and for registration of grievances, related disclosure, and communication with the aggrieved party. A copy of a proposed outline of a grievance registration form is given in (**Appendix 6**). All the documents made available to the public will include information on the contact number, address and contact person for registering grievances, and will be disseminated throughout the program area by the SO in the PIU with support from the CMRC and PMC.

106. **Existing GRM:** DJB currently has an established public GRM and has established 25 complaint receiving cells called Water Emergencies. There is also a central control room for coordination. The concerned DJB engineers/ officials contact details are publicized and made available to the public to register complaints. Alternatively, the public can 'call', 'send a message', 'register' a complaint through the DJB website or through GNCTD grievances websites. Complaints are forwarded to concerned engineers for their action. After taking feedback from concerned engineers on redress, an action taken report will be posted on the website. If no action is taken within 21 days, then the complaint is taken *suo moto* by the public grievance commission for hearing.

A. Establishment of the Land Acquisition, Rehabilitation and Resettlement Authority

107. For the purpose of speedy disposal of disputes relating to land acquisition, compensation and R&R, the GNCTD has to establish by notification, one or more authorities to be known as the Land Acquisition Rehabilitation and Resettlement Authority (LARRA). The LARRA shall consist of one person called the preceding officer. The preceding officer shall be either a district judge (or has been a district judge) or a qualified legal practitioner with a minimum of 7 years of service and shall be appointed in consultation with the chief justice of the High Court within the investment program jurisdiction. He/ she shall hold the office for three years and shall be supported by the Registrar and other officers.

108. The LARRA shall, for the purposes of its functions under the RFCTLARRA, shall have the same powers as are vested in a civil court under the Code of Civil Procedure, 1908. The LARRA shall dispose of any matter received within six months. All proceedings before the LARRA shall be judicial proceedings and shall take place in public. No civil court (other than High Court or the Supreme Court) shall have jurisdiction to entertain any dispute relating to land acquisition in respect of which the collector or the LARRA is empowered by or under the RFCTLARRA, and no injunction shall be granted by any court in respect of any such matter. Applications first go to the collector and within 30 days he can refer (if required) to the LARRA. Such applications can be made within 6 weeks by the applicant (if he or his representative is personally present) after the date of award, and in other cases within 6 months. The collector may also accept any application within one year if considered appropriate. Interests are payable for delayed and excess payments. All proceedings shall take place in public.

109. **Proposed DWSIIP GRM.** In case of grievances that are immediate and urgent in the perception of the complainant, the contractor, and supervision personnel from the PIU and the

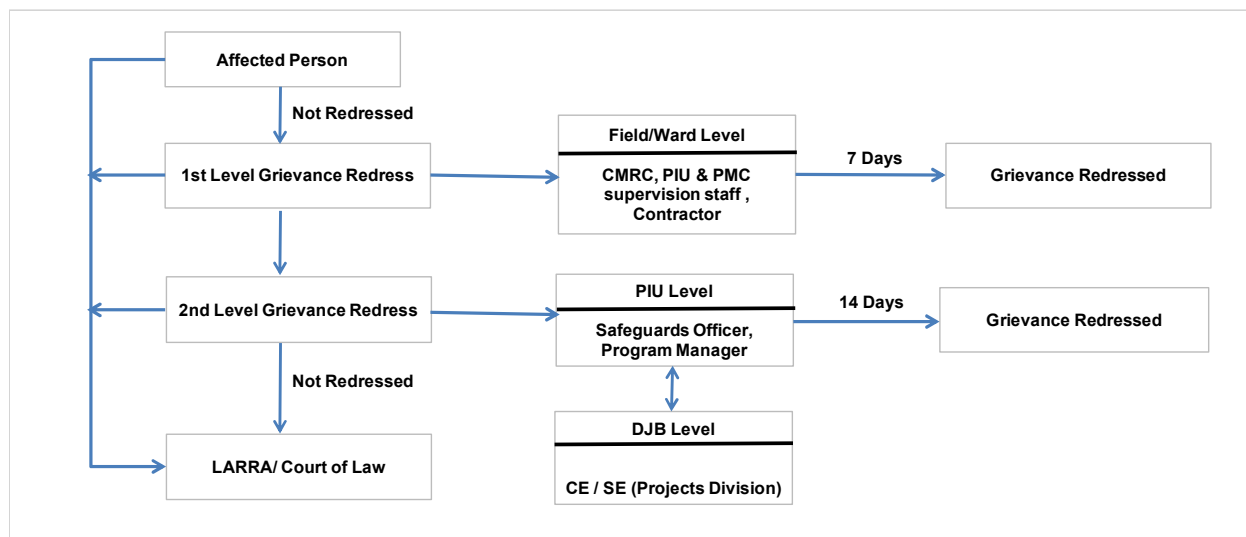
PMC on-site supervision staff will provide the most easily accessible or first level of contact for the quick resolution of grievances. Contact phone numbers and names of the concerned staff and contractors, will be posted at all construction sites in visible locations.

- (i) **1st level grievance.** The CMRC or on-site junior engineer of the PIU will receive and record the complaint at the site. Alternatively, the complaint can be registered by phone call, message, email, or on the DJB website. The complaint will be reviewed and, if necessary, forwarded to the contractor and PMC supervision staff for immediate resolution of the issue on-site in consultation with the CMRC and will be required to do so within 7 days of receipt of a complaint/ grievance.
- (ii) **2nd level grievance.** All grievances that cannot be redressed within 7 days at the field/ward level will be brought to the notice of the safeguard officer of the PIU, and the PMC resettlement specialist. The PIU safeguard officer will resolve the grievance within 14 days of receipt of a complaint/ grievance in discussion with the CMRC and under the direction of the PIU program manager. If the grievance is not resolved at program manager level, the grievance will be referred internally to superintending engineer (SE), and the chief engineer (CE) in the projects division of DJB. Notwithstanding the referral to SE/ CE, the grievance at this 2nd level should be resolved in 14 days of its receipt.

110. The program GRM notwithstanding, an aggrieved person shall have access to the country's legal system at any stage. This can run parallel to accessing the GRM and is not dependent on the negative outcome of the GRM. Alternatively, if the grievance is related to land acquisition or R&R²⁶, the displaced persons can approach the LARRA. As per the recently implemented RFCTLARRA 2013, the GNCTD will establish the LARRA to address grievances during implementation.

111. In the event that the established GRM is not in a position to resolve the issue, the affected persons can also use the ADB Accountability Mechanism by directly contacting (in writing) the complaint receiving officer at ADB headquarters or the ADB India Resident Mission. The complaint can be submitted in any of the official languages of ADB's Developing Member Countries. The ADB Accountability Mechanism information will be included in the project information document to be distributed to the affected communities, as part of the project GRM

²⁶ LARRA admits grievances only with reference to the land acquisition and R&R issues under the RFCTLARRA.

Figure 2: Grievance Redress Process

112. **Record-keeping.** The PIU/ PMU/ contractor will keep records of grievances received, including contact details of the complainant, the date the complaint was received, the nature of the grievance, agreed corrective actions and the date these were affected and the final outcome. The number of grievances recorded and resolved and the outcomes will be displayed/disclosed in the PIU office, and on the DJB website, as well as reported in monitoring reports submitted to ADB on a semi-annual basis.

113. **Periodic review and documentation of lessons learned.** The PMU will periodically review the functioning of the GRM and record information on the effectiveness of the mechanism, especially on the program's ability to prevent and address grievances.

114. **Costs.** All costs involved in resolving the complaints (meetings, consultations, communication and reporting/ information dissemination) will be borne by the PIU.

115. **Integration of the DWSIIP GRM with the Existing GRM.** The DWSIIP GRM will be investment program specific, and will ensure that the program related grievances are received, registered and addressed in a smooth, time-bound and responsive manner. The program specific grievances are expected to be mostly related to construction work, while general grievances received by DJB's GRM are of a wider variety. However, integration of both systems is a necessity. The DWSIIP specific system will be established such that the program grievances can also be registered in DJB's general GRM. However, for the redress, all DWSIIP grievances will flow through DWSIIP GRM. After redress, the action taken report will be uploaded in the general system as per current procedures.

VII. INSTITUTIONAL ARRANGEMENTS AND RESPONSIBILITIES

A. Implementation Arrangement

116. The DWSIIP will be carried out under the oversight of the GNCTD. The DJB has been appointed as the executing agency and will be responsible for the management, coordination and execution of all the activities funded under the MFF. DJB has established a program steering committee (PSC), which will be chaired by the member (Water Supply). A PMU has

been established under the PSC, headed by the project director at the rank of chief engineer(Projects Water). A PIU has been established under the overall management of the PMU and will act as the implementing agency. The program manager, will head the PIU and oversee the investment program and will be responsible for the day-to-day management and implementation of the program. The DWSIIP implementation arrangements are summarized in **Figure 3**.

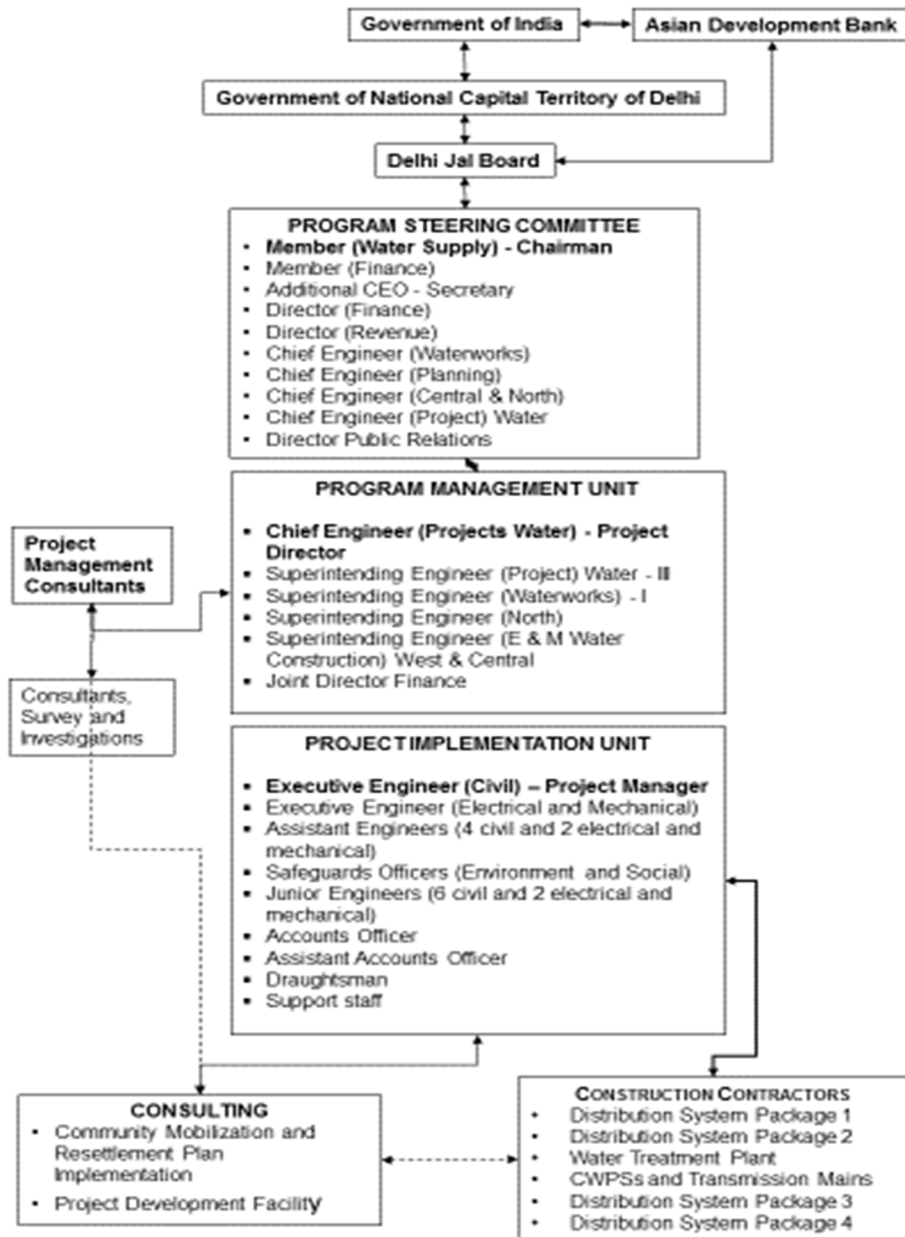
117. The Project Manager will be an Executive Engineer (Civil) rank officer and will be supported by technical, financial, safeguards and administrative staff. The PIU staff will mostly be drawn from DJB, and if required, will also be seconded from the other government departments on deputation. The PIU will be assisted by a PMC in the implementation, management and monitoring of the investment program. The PMC will design the infrastructure, manage the tendering of contracts, supervise the construction process, assure the technical quality of design and construction, and provide advice/ assistance on institutional capacity development. The PIU will appoint the contractors to build the infrastructure elements and will manage the construction and commissioning activities. The PIU will also appoint the CMRC to assist in program implementation.

118. **Commissioner:** The GNCTD shall appoint an officer of the rank of commissioner or secretary for R&R of displaced persons under the RFCTLARRA, 2013 to be called the commissioner for R&R. The commissioner for R&R shall be responsible for supervising the formulation of R&R schemes or plans, their proper implementation and conducting post-implementation social-audit in consultation with the appropriate government. The commissioner for R&R shall also establish a R&R Committee at program level to monitor and review the progress, under the chairmanship of the Collector, if land acquisition is more than 100 acres.

119. **Administrator.** If involuntary displacement of persons is involved then the GNCTD shall, by notification, appoint an officer not below the rank of joint collector or additional collector or deputy collector or equivalent official of the revenue department to be the administrator for R&R. formulation, execution and monitoring of the R&R Scheme shall vest in the administrator.

120. The PIU staff will include a safeguards officer, who will be an assistant engineer rank officer, and will be responsible for all environment, health and safety, social, and grievance redress tasks. The safeguards officer will be a qualified engineer (preferably an environmental engineer). The safeguards officer can also be deputed from other government organizations. Environmental and social safeguard specialists of the PMC will assist the safeguards officer.

Figure 3: DWSIIP Implementation Arrangements



121. The PIU will be responsible for the following social safeguard activities:

- (i) Appointing the CMRC;
- (ii) Implementation of the RPs;
- (iii) Providing support to the office of the district commissioner for land acquisition;
- (iv) Ensuring availability of budget for R&R activities;
- (v) Ensuring timely disbursement of compensation and assistance to the displaced persons in close coordination with the concerned line department;
- (vi) Liaison with district administration for land acquisition and implementation of RPs,
- (vii) Addressing grievances; and
- (viii) Ensuring disclosure of resettlement framework, resettlement plan, and monitoring documents.

122. The PIU safeguards officer will undertake internal monitoring and supervision and record observations throughout the program period to ensure that the safeguards and mitigation measures are provided as intended. He /she will have the following responsibilities: (i) addressing social safeguards issues; (ii) implementing the resettlement framework; (iii) liaising with district administration for land acquisition and resettlement plan implementation; (iv) implementing and monitoring safeguards compliance activities, public relations activities, gender mainstreaming activities; and (v) endorsing and submitting periodic monitoring reports²⁷ received from the PMC to the PIU, who will then submit these to the ADB. If deemed necessary, based on the extent of land acquisition, the PIU will also be staffed by a land acquisition officer, who will primarily be responsible for the following: (i) liaising with the district administration for land acquisition; (ii) addressing any problems and/or delays in the land acquisition process; and (iii) monitoring physical and financial progress on land acquisition activities and updating the PIU.

123. The PIU will seek government clearance for submission and disclosure of the social and resettlement monitoring report to ADB. It will also coordinate with national and state agencies to resolve any interdepartmental issues arising.

124. The PIU will be supported by a PMC social safeguards specialist who will assist: (i) in the monitoring and supervision of ongoing subprojects and resettlement plan implementation; (ii) preparing RPs for new subprojects, where required to comply with national law and/or ADB procedures; (iii) update RPs as required and conduct surveys; (iv) ensure all subprojects meet safeguard requirements as agreed in the loan covenant and in line with this resettlement framework; (v) provide support to the PIU for consultations; and (vi) provide advice on policy changes. In addition, the PMC social safeguards specialist will assist the PIU in all activities related to the implementation of social safeguards; play a central role in ensuring capacity building on resettlement management of the PIU, NGO, and line departments through capacity development support and training.

²⁷ The semiannual monitoring report will focus on the progress of implementation of the safeguard, issues encountered and measures adopted, follow-up actions required, if any, as well as the status of compliance with subprojects election criteria and relevant loan covenants.

125. A dedicated Assistant Engineer in-charge of Social Safeguards/ Resettlement Officer will be required for Category A and Category B resettlement plan implementation. For Category C projects a dedicated officer is not required and can be clubbed with the Environment SO.

126. **Community Mobilization and Resettlement Consultant (CMRC).** A CMRC will be recruited to assist the PIU in the preparation and implementation of the RPs, if required, and the application of the MFF resettlement framework. Key tasks include the identification and survey of all displaced persons and the implementation of measures to address temporary impacts resulting from program construction activities.

127. Key activities of CMRC in relation to resettlement planning and implementation include: (i) conducting detailed survey of physically and economically displaced persons based on the detailed design, and identifying poor, female-headed, and vulnerable households affected by land acquisition and resettlement; (ii) preparing the list of the potential displaced persons and issuing identification cards; (iii) facilitating the process of disbursement of compensation to the displaced persons, coordinating with the revenue department and informing the displaced persons of the compensation disbursement process and timeline; (iv) assisting displaced persons in opening bank accounts, explaining the implications, rules, and obligations of a joint account and how he or she can access the resources he or she is entitled to; (v) assisting the EA in ensuring a smooth transition (during the partial or full relocation of the displaced persons). In close consultation with the displaced persons, the CMRC shall inform the PIU about the shifting dates agreed upon and the arrangements they desire with respect to their entitlements; (vi) organizing training programs for income restoration (after conducting a training needs program the CMRC will ensure training through industrial training institutes, if the DP so desires); (vii) conducting meaningful, ongoing consultation and ensuring disclosure of RPs in an accessible manner to the displaced persons; (viii) assisting the PIU in establishing a GRM; (ix) assisting the PIU in keeping detailed records of progress and establishing monitoring and reporting systems of resettlement; (x) acting as a platform for public interface for community interaction throughout the program, and liaising between community, contractors, and program management and implementing units during the execution of the works; and (xi) providing advice and other support to the PIU as required. The Terms of Reference of the CMRC is included in **Appendix 7**.

B. Institutional Capacity Development Program

128. As stated above, the safeguards officer will be drawn from DJB's engineering staff, although it should be noted that DJB staff have limited experience in dealing with social safeguard issues. It is therefore essential that the safeguards officer is provided with the necessary training to deal with environmental and social safeguard tasks following ADB SPS 2009. The safeguards officer will be trained through a series of programs periodically conducted by ADB for executing agencies and implementing agencies on safeguards.

129. The PMC resettlement specialist will conduct a training and capacity building program on resettlement management for the PIU staff on issues concerning: (i) principles and procedures of land acquisition; (ii) public consultation and participation; (iii) entitlements and compensation disbursement mechanisms; (iv) grievance redress; (v) monitoring of resettlement operation; and (vi) disclosure methods. Specific modules customized for the available skill set shall be devised after assessing the capabilities of the target participants and the requirements of the investment program. Institutional capacity building programs will involve training on environmental and social safeguards for the PIU staff and the contractors' employees.

C. Implementation Schedule

130. The program will be implemented over 8 years, from July 2017 to July 2025. The RP implementation schedule will vary from subproject to subproject. In general, the program implementation will consist of the three major phases, namely project preparation, land acquisition, and monitoring and evaluation. In line with the principles laid down in this RF, the EA and IA will ensure that program activities are synchronized between the RP implementation activities and the subproject implementation. The EA and IA will ensure that no physical or economic displacement of displaced persons will occur until: (i) compensation at full replacement cost has been paid to each DP for project components or sections that are ready to be constructed; (ii) other entitlements listed in the RP are provided to the displaced persons; and (iii) a comprehensive income and livelihood rehabilitation program, supported by an adequate budget, is in place to help displaced persons improve, or at least restore, their incomes and livelihoods. **Table 7** provides the overall implementation schedule.

Table 7: Social Safeguards Implementation Schedule

R&R Activities	2014	2015	2016	2017	2018	2019	2020	2021	2022
A. Project preparation phase									
Preparation of RF									
Appointment of PMC									
Socioeconomic Census survey of the subproject									
Preparation of resettlement plan/ due diligence reports									
Establishment of PIU									
CMRC recruitment									
Final detailed design of subprojects									
Updating of displaced person list based on final detailed design									
Submission of resettlement plan based on final detailed design									
Review and Approval of resettlement plan									
RP disclosure									
Information campaign and community consultation									
B. RP implementation									
Land acquisition (none identified at this stage)									
Grievance redress									
Final list of displaced persons and distribution of ID cards									
Payment of compensation for temporary impacts									
Payment of all other eligible assistance									
C. Monitoring and evaluation									
Monitoring and report preparation									

VIII. BUDGET AND FINANCING

131. Detailed budget estimates for each resettlement plan will be prepared by the PMC, which will be included in the overall project budget. The budget shall include: (i) detailed costs of land acquisition and livelihood and income restoration and improvement; (ii) source of funding; (iii) administrative and staff training; (iv) cost for GRM and consultation/disclosure; and (iv) monitoring costs. All land acquisition and resettlement costs will be borne by the GNCTD and

must be provided in a timely manner to ensure payment of all entitlements prior to displacement.

132. The disbursement of compensation for land and acquisition of assets will be carried out by the Deputy Commissioners Office/ Delhi Development Authority, and calculated as per the basis given in the entitlement Matrix. In the case of assistance, the PIU will directly pay into the individual accounts of displaced persons. The CMRC will be involved in facilitating the disbursement process and rehabilitation program, and will facilitate opening bank accounts for the displaced persons who do not have them.

133. All entitlements and costs presented in the entitlement matrix will be increased annually on the 1st of April in accordance with appropriate price indices.

IX. MONITORING AND REPORTING

A. Internal Monitoring

134. Internal monitoring will be undertaken by the PIU with assistance from the PMC. Internal monitoring will ensure all land acquisition and resettlement activities are implemented according to the approved RPs in accordance with this RF.

135. The PIU SO will prepare quarterly progress reports and submit to the program manager. The PIU will prepare semi-annual monitoring reports and submit to the ADB. The PMC/ CMRC will submit quarterly progress reports to PIU to inform them of resettlement plan implementation activities. These reports will describe the progress of the implementation of resettlement activities and any compliance issues and corrective actions. These reports will closely follow the involuntary resettlement monitoring indicators agreed at the time of resettlement plan approval. Sample monitoring indicators are presented in **Appendix 8**. Outline of a semiannual safeguard monitoring report is provided in **Appendix 9**.

B. External Monitoring

136. External monitoring is only needed for Category A projects and as per current expectations, is not required under the DWSIIP.

APPENDIX 1: INVOLUNTARY RESETTLEMENT IMPACT CATEGORIZATION CHECKLIST

Probable Involuntary Resettlement Impacts	Yes	No	Not Known	Remarks
Involuntary acquisition of land				
1. Will there be land acquisition?				
2. Is the site for land acquisition known?				
3. Is the ownership status and current usage of land to be acquired known?				
4. Will easement be utilized within an existing right of way?				
5. Will there be loss of shelter and residential land due to land acquisition?				
6. Will there be loss of agricultural and other productive assets due to land acquisition?				
7. Will there be loss of crops, trees, and fixed assets due to land acquisition?				
8. Will there be loss of businesses or enterprises due to land acquisition?				
9. Will there be loss of income sources and means of livelihood due to land acquisition?				
Involuntary restrictions on land use or on access to legally designated parks and protected areas				
10. Will people lose access to natural resources, communal facilities and services?				
11. If land use is changed, will it have an adverse impact on social and economic activities?				
12. Will access to land and resources owned communally or by the state be restricted?				
Information on displaced persons:				
Any estimate of the likely number of persons that will be displaced by the project? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, Approximately how many?				
Are any of the poor, female heads of households vulnerable to poverty risks? <input type="checkbox"/> No <input type="checkbox"/> Yes				
Are any displaced persons from indigenous or ethnic minority groups? <input type="checkbox"/> No <input type="checkbox"/> Yes				

APPENDIX 2: CENSUS AND BASELINE SOCIOECONOMIC SURVEY GUIDELINES

A. Census Requirement and Contents

1. The cut-off date for those who have legal title is the date of notification under Section 11 of the RFCTLARRA 2013. The date of census is the cut-off date for those who do not have legal standing for eligibility of assistance under the project. People moving into the project area after this cut-off date will not be entitled to support. Persons, who were not enumerated during the census but can show documentation or evidence that the person is rightfully a displaced person, will be included. DJB is responsible for such verification. Only those displaced persons within the project affected area will be considered eligible for support under the sub-project.

B. Census Requirement and Contents

2. A census of households and individuals located within the project area has to be undertaken to register and document the status of the displaced persons. It will provide a demographic overview of the population served by the RPs and profiles of household assets and main sources of livelihood. It will cover 100% of the potential displaced persons within the project impact area.

- (i) **Resource Base.** The resource base including land, water and forest etc., with an assessment of its development and ecological potential in the pre-project conditions. During the conduct of the census, legal boundaries of affected properties and the rights of way are to be verified. Structures trees and other assets are to be recorded.
- (ii) **Economy Base.** The economy base of the displaced persons including the type and quantum of production, consumption pattern, related economic institutions and allocation of various productive resources.
- (iii) **Household Census.** Household census covers immovable property owned by the displaced persons and other resources in their possession/use. These surveys will be carried out in association with local and host communities as well as with the local representatives.
- (iv) **Social Structures.** This includes social structure, norms, customs, cultural centers, traditions, patterns of leadership and institutions of social network.
- (v) **Displaced Persons.** The census will identify tenants, sharecroppers, encroachers and agricultural day laborers. During the census, those displaced persons who are dependent on the acquired land for their livelihood, shall also be identified and listed along with their income. Furthermore, the census will also identify displaced persons who are Scheduled Caste populations in accordance with lists of the Government, and the vulnerable displaced persons such as those above 60 years of age, physically handicapped and those BPL.

C. Census Procedures

3. The following procedures are to be adopted in carrying out the census:

- (i) Preliminary screening to provide the minimum information on social impacts;
- (ii) Verification of legal boundaries of the project area, to document existing structures, land plots and others physical assets. This involves:
 - (a) Identification of suitable resettlement sites, in close proximity to the affected area if required;
 - (b) All encroachments, private land holdings and other assets in the project area are to be documented;
 - (c) Assets, structures, land holdings, trees, etc. to be recorded; and
 - (d) All information is to be computerized; photography/video recordings to be used to document existing structures.
- (iii) The baseline socioeconomic survey shall cover information on the various categories of losses and other adverse impacts likely under the project;
- (iv) The census shall identify potential displaced persons with special attention to vulnerable groups; and
- (v) Assessment on the value of various assets to be made.

D. Database Management

- (i) **Data Sources.** As a pre-requisite for conducting the primary household surveys, relevant information is to be collected from secondary sources. These include:
 - (a) Revenue records maintained at the Municipal Corporation of Delhi/ Deputy Commissioner's Office with regard to land particulars for facilitating the acquisition of properties and resettlement;
 - (b) Census records for demographic information;
 - (c) Planning Commission Department, to get information on various developmental programs for specific sections of population like those living BPL, Scheduled Castes, etc.; and
 - (d) Local organizations including NGOs in order to involve them and integrate their activities in the economic development programs of the displaced population.
- (ii) **Data Collection.** Household level contacts and interviews with each DH for completing the household socio-economic profile. Each of the households surveyed and the structure/ land likely to be affected by the project has to be numbered, documented and photographed. Public consultation exercises in different project areas to be conducted with the involvement of displaced persons. In these exercises, women are to be involved to elicit their views and opinions on the overall planning of resettlement activities. Discussions with a cross-section of the displaced persons will help towards understanding the problems and preferences of the displaced persons.
- (iii) **Data Analysis.** The analysis will cover population, population density, age, sex ratio, literacy rates/ education, gender issues, religious groups, income, occupation and poverty line.
- (iv) **Data Update.** Since there is generally a time gap between the census and land

acquisition procedure, actual physical relocation of displaced persons may be delayed by over a year. The PMC/ CMRC responsible for implementation of the RPs, along with the PIU, should conduct a rapid appraisal to continuously update information.

APPENDIX 3: OUTLINE OF A RESETTLEMENT PLAN

1. This outline is part of the ADB SPS Safeguard Requirements.
2. A resettlement plan is required for all projects with involuntary resettlement impacts. Its level of detail and comprehensiveness is commensurate with the significance of potential involuntary resettlement impacts and risks. The substantive aspects of the outline will guide the preparation of the RPs, although not necessarily in the order shown.

A. Executive Summary

3. This section provides a concise statement of project scope, key survey findings, entitlements, and recommended actions.

B. Project Description

4. This section provides a general description of the project, discusses project components that result in land acquisition, involuntary resettlement, or both, and identify the project area. It also describes the alternatives considered to avoid or minimize resettlement. It includes a table with quantified data and provides a rationale for the final decision.

C. Scope of Land Acquisition and Resettlement

5. This section:
 - (i) Discusses the project's potential impacts, and includes maps of the areas or zone of impact of project components or activities;
 - (ii) Describes the scope of land acquisition provides maps and explains why it is necessary for the main investment project;
 - (iii) Summarizes the key effects in terms of assets acquired and displaced persons; and
 - (iv) Provides details of any common property resources that will be acquired.

D. Socio-economic Information and Profile

6. This section outlines the results of the SIA, the census survey, and other studies, with information and data disaggregated by gender, vulnerability, and other social groupings, including:
 - (i) Defining, identifying, and enumerating the people and communities to be affected;
 - (ii) Describing the likely impacts of land and asset acquisition on the people and communities affected, taking social, cultural, and economic parameters into account;
 - (iii) Discussing the project's impacts on the poor, indigenous, and/or ethnic minorities, and other vulnerable groups; and
 - (iv) Identifying gender and resettlement impacts and the socioeconomic situation, impacts, needs, and priorities of women.

E. Information Disclosure, Consultation, and Participation

7. This section:

- (i) Identifies project stakeholders, especially primary stakeholders;
- (ii) Describes the consultation and participation mechanisms to be used during the different stages of the project cycle;
- (iii) Describes the activities undertaken to disseminate project and resettlement information during project design and preparation for engaging stakeholders;
- (iv) Summarizes the results of consultations with displaced persons (including host communities), and discusses how concerns raised and recommendations made were addressed in the resettlement plan;
- (v) Confirms disclosure of the draft resettlement plan to displaced persons, and includes arrangements to disclose any subsequent plans; and
- (vi) Describes the planned information disclosure measures (including the type of information to be disseminated and the method of dissemination) and the process for consultation with displaced persons during project implementation.

F. Grievance Redress Mechanisms

8. This section describes mechanisms to receive and facilitate the resolution of displaced persons' concerns and grievances. It explains how the procedures are accessible to displaced persons and are gender sensitive.

G. Legal Framework

9. This section:

- (i) Describes national and local laws and regulations that apply to the project, identifies gaps between local laws and ADB's policy requirements, and discusses how any gaps will be addressed;
- (ii) Describes the legal and policy commitments of the executing agency for all types of displaced persons;
- (iii) Outlines the principles and methodologies used for determining valuations and compensation rates at replacement cost for assets, incomes, and livelihoods, and sets out the compensation and assistance eligibility criteria and how and when compensation and assistance will be provided; and
- (iv) Describes the land acquisition process, and prepares a schedule for meeting key procedural requirements.

H. Entitlements, Assistance and Benefits

10. This section:

- (i) Defines entitlements and eligibility of displaced persons, and describes all resettlement assistance measures (includes an entitlement matrix);
- (ii) Specifies all assistance to vulnerable groups, including women and other special groups; and
- (iii) Outlines opportunities for displaced persons to derive appropriate development benefits from the project.

I. Relocation of Housing and Settlements

11. This section:

- (i) Describes options for relocating housing and other structures, including replacement housing, replacement cash compensation and/or self-selection (ensuring that gender concerns and support to vulnerable groups are identified);
- (ii) Describes alternative relocation sites considered, community consultations conducted and justification for selected sites, including details about location, environmental assessment to sites and development needs;
- (iii) Provides time tables for site preparation and transfer;
- (iv) Describes the legal arrangements to regularize tenure and transfer titles to resettled persons;
- (v) Outlines measures to assist displaced persons with their transfer and establishment at new sites;
- (vi) Describes plans to provide civic infrastructure; and
- (vii) Explains how integration with host populations will be carried out.

J. Income Restoration and Rehabilitation

12. This section:

- (i) Identifies livelihood risks and prepares disaggregated tables based on demographic data and livelihood sources;
- (ii) Describes income restoration programs, including multiple options for restoring all types of livelihoods (e.g. project benefit sharing, revenue sharing arrangements,
- (iii) Joint stock for equity contributions such as land, while discussing sustainability and safety nets);
- (iv) Outlines measures to provide a social safety net through social insurance and/or project special funds;
- (v) Describes special measures to support vulnerable groups;
- (vi) Explains gender considerations; and
- (vii) Describes training programs.

K. Resettlement Budget and Financing Plan

13. This section:

- (i) Provides an itemized budget for all resettlement activities, including for the resettlement unit, staff training, monitoring and evaluation, and preparation of RPs during loan implementation;
- (ii) Describes the flow of funds (the annual resettlement budget should show the budget-scheduled expenditure for key items);
- (iii) Includes a justification for all assumptions made in calculating compensation rates and other cost estimates taking into account both physical and cost contingencies, plus replacement costs; and
- (iv) Includes information on the source of funding for the resettlement plan budget.

L. Institutional Arrangements

14. This section:

- (i) Describes institutional arrangement responsibilities and mechanisms for carrying out the measures of the resettlement plan;
- (ii) Includes institutional capacity building programs, including technical assistance, if required;
- (iii) Describes the role of NGOs, if involved, and organizations of displaced persons in resettlement planning and management; and
- (iv) Describes how women's groups will be involved in resettlement planning and management.

M. Implementation Schedule

15. This section includes a detailed, time-bound implementation schedule for all key resettlement and rehabilitation activities. The implementation schedule should cover all aspects of resettlement activities synchronized with the project schedule of civil works construction and provide the land acquisition process and timeline.

N. Monitoring and Reporting

16. This section describes the mechanisms and benchmarks appropriate to the project for monitoring and evaluating the implementation of the resettlement plan. It specifies arrangements for participation of displaced persons in the monitoring process. This section will also describe reporting procedures.

APPENDIX 4: SAMPLE IDENTIFICATION CARD

Government of NCT of Delhi Delhi Jal Board IDENTITY CARD <div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; text-align: center; padding: 5px;"> Photo of Displaced Person </div> ID NO Name: Father/Mother/Husband: Address: Vulnerable Category: Details of Family Members	<u>BANK DETAILS</u> <table border="1" style="width: 100%;"> <tr> <td style="width: 33%;">Bank Account No.</td> <td style="width: 33%;">Bank Name</td> <td style="width: 33%;">Branch Name</td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td colspan="3">IFSC Code / Branch Code</td> </tr> </table>			Bank Account No.	Bank Name	Branch Name				IFSC Code / Branch Code														
	Bank Account No.	Bank Name	Branch Name																					
IFSC Code / Branch Code																								
	<u>ENTITLEMENTS</u> <table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 10%;">Sl. No.</th> <th style="width: 60%;">Entitlements</th> <th style="width: 30%;">Eligible Amount (Rs/-)</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td>Temporary Loss of Income</td> <td> </td> </tr> <tr> <td style="text-align: center;">2</td> <td>Vulnerability allowance</td> <td> </td> </tr> <tr> <td style="text-align: center;">3</td> <td> </td> <td> </td> </tr> <tr> <td style="text-align: center;">4</td> <td> </td> <td> </td> </tr> <tr> <td style="text-align: center;">5</td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td style="text-align: right;">Total</td> <td> </td> </tr> </tbody> </table> Signature of Displaced Person Signature of CMRC/ Executive Engineer Date of Issue:			Sl. No.	Entitlements	Eligible Amount (Rs/-)	1	Temporary Loss of Income		2	Vulnerability allowance		3			4			5				Total	
Sl. No.	Entitlements	Eligible Amount (Rs/-)																						
1	Temporary Loss of Income																							
2	Vulnerability allowance																							
3																								
4																								
5																								
	Total																							

APPENDIX 5: TEMPLATE FOR R&R INFORMATION DISCLOSURE

GOVERNMENT OF NCT of DELHI



DELHI JAL BOARD

**DELHI WATER SUPPLY IMPROVEMENT INVESTMENT
PROGRAM**

PROJECT INFORMATION BROCHURE

RESETTLEMENT & REHABILITATION

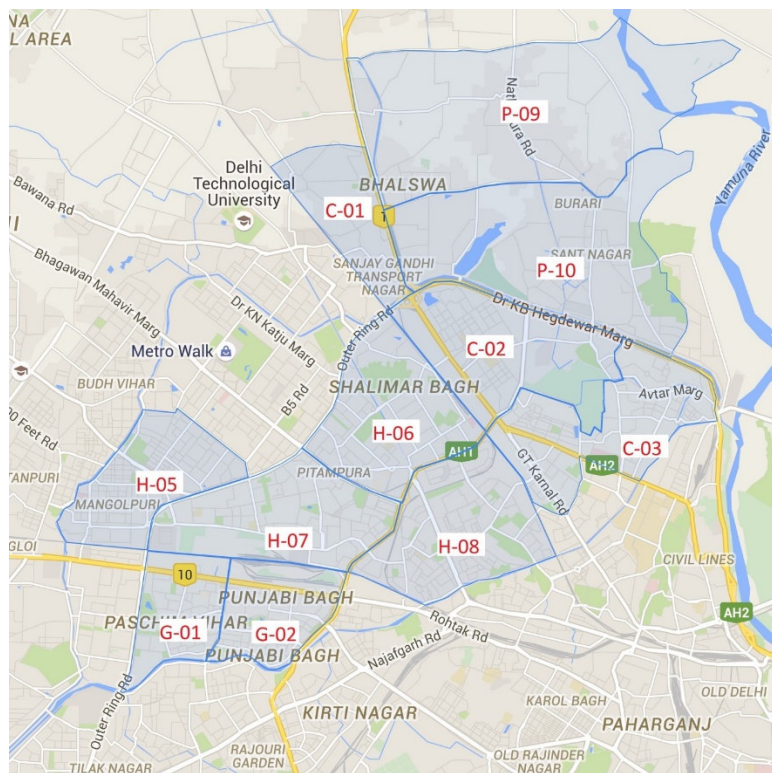
THIS IS ONLY A TEMPLATE.

THIS WILL HAVE TO BE TRANSLATED IN HINDI

A. Overview of the Investment Program

1. The Delhi Water Supply Improvement Investment Program (DWSIIP) will be implemented over a eight -year period and will improve the infrastructure, management and performance of the water supply services in the proposed Wazirabad Water Treatment Plant (WTP) command area located in North Delhi and having a 2051 design population of 2.64 million (approximately 10 percent of Delhi’s projected population by that time). The DWSIIP will help achieve the National Capital Territory of Delhi Water Supply Master Plan ¹ objectives of reduced non-revenue water and equitable access to water supply services. The investment program will include the rehabilitation, upgrading and/or replacement of key water supply infrastructure, improvements in the management of the infrastructure and improved customer related services within the Wazirabad WTP command area. The DWSIIP will be implemented as a multi-tranche financing facility (MFF) having two Projects. The Wazirabad WTP command area location is presented in Figure 1.

Figure 5A.1: Location Map of the Wazirabad WTP Command Area



2. The impact of the DWSIIP will be improved water supply services in the Wazirabad WTP Command Area. The outcome will be improved access to reliable, continuous and sustainable water supply services in the Wazirabad WTP command area.

3. The DWSIIP will have three outputs.

¹ Study on Improvement of Water Supply System in Delhi in the Republic of India; Japan International Cooperation Agency September 2011.

4. Output 1: Distribution network improved in the Wazirabad WTP Command Area.

This will include (i) establishment and commissioning of DMAs for NRW reduction; (ii) provision of house service connections to residents, especially the poor and female-headed households; (iii) provision of 24-hour water supply; and (iv) improvement of water supply efficiency by reducing NRW and energy losses of electromechanical machinery.

5. Output 1 will support smart water management in the Wazirabad WTP command area to a prospective population of 2.41 million by year 2025.² The key activities of constructing new water supply pipelines, establishing and commissioning DMAs, and providing metered house service connections will benefit the residents through continuous pressurized water supply and reduction of NRW to less than 15%. Appropriate long-term (at least 10 years) operation and maintenance (O&M)-embedded performance-based contracts will be put in place to ensure operational sustainability.

6. Output 2: Water treatment and transmission systems improved in the Wazirabad WTP command area. This will include (i) rehabilitation and upgrading of the existing 120 million gallons per day (MGD) WTP; (ii) rehabilitation and construction of clear water pumping stations, underground reservoirs (UGRs) and booster stations; and (iii) rehabilitation and construction of new transmission mains.

7. Output 2 will support increasing energy efficiency in clear water pumping, reduction of clear water transmission losses, rehabilitation or construction of the WTP, as appropriate, and avoidance of shut down of the WTP to consistently meet the drinking water quality standards. Old pumping system in the clear water pump stations shall be upgraded with energy efficient pumps and the transmission pipelines shall be replaced. With use of instrumentation and automation through supervisory control and data acquisition (SCADA) at treatment, transmission, storage, and supply, operational efficiency is expected to be improved.

8. Output 3: Institutional capacity, DMA management and program management strengthened. This will include (i) implementation of capacity development plans including training on gender and establishment of a training center or institute; (ii) organizational restructuring for effective and sustainable DMA management; (iii) establishment of PDF to prepare future projects; (iv) preparation and implementation of an effective community mobilization plan and gender equity and social inclusion (GESI) action plan; (v) preparation and implementation of asset management plan through use of geographic information system (GIS), hydraulic modelling and SCADA system; (vi) implementation of O&M-embedded performance-based contracts; (vii) establishment and operationalization of water quality monitoring system; and (viii) strengthening of program management capacities.

9. Output 3 will focus promotion of a customer-focused culture within the DJB that includes measures to improve customer satisfaction, accurate and regular meter reading, billing, revenue collection, and an effective customer complaints mechanism. A comprehensive public outreach campaign under the community mobilization component will be the driver under the DWSIIP to mobilize community and enable consumers' involvement in the provision of services by the DJB.

10. Capacity development under Output 3 will help improve organizational efficiencies through data collection and assessment, review and updating of the master plan, network modelling, asset condition assessments, updating the existing GIS, conducting a

² The NCTD's current population, estimated to be 17.81 million, is expected to grow to 27 million by 2051 as per Water Policy for Delhi (footnote 25).

comprehensive NRW survey, developing a SCADA system for the WTP, transmission main and distribution system, preparing recommendations for institutional development and DMA-based organizational restructuring.

11. Project 1 of the DWSIIP will include (i) a project management consultant (PMC); (ii) a civil works package (DWSIIP/01) for improvement of distribution network, UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas C-02 (Chitranjan Das Park Jahangirpuri) and C-03 (Model Town); (iii) a civil works package (DWSIIP/02) for improvement of distribution network, UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas G-02 (Punjabi Bagh), H-07 (Shakur Basti) and H-08 (Lawrence Road); and (iv) a civil works package (DWSIIP/04) for transmission mains and clear water pumping stations, and instrumentation and automation (SCADA).

12. Project 2 of the DWSIIP will include (i) a civil works package (DWSIIP/03) for rehabilitation or construction of the Wazirabad WTP; (ii) a civil works package (DWSIIP/05) for improvement of distribution network, UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas G-01 (Piragarhi), H-05 (Avantika), H-06 (Pitampura); and (iii) a civil works package (DWSIIP/06) for improvement of distribution network, UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas C-01 (Sanjay Gandhi Transport Nagar), P-09 (Burari-A) and P-10 (Burari Transport Planning Authority).

Table 5A.1: Summary of Works Packages Table

	Package	Tranche	Description
1	DWSIIP /01	1	Distribution Network Improvement in UGR Command Areas C-02 and C-03 Targeting Continuous Pressurized Water Supply and DMA-Based NRW Reduction and Providing House Service Connections.
2	DWSIIP /02	1	Distribution Network Improvement in UGR Command Areas G-02, H-07 and H-08 Targeting Continuous Pressurized Water Supply and DMA-Based NRW Reduction and Providing House Service Connections.
3	DWSIIP /03	2	Augmentation of water supply–Modernization and Operational Improvements of Wazirabad Water Treatment Plant SCADA System in 11 UGR Command Areas.
4	DWSIIP /04	1	Transmission System Improvements - Providing, Laying and Maintaining New Ductile Iron Transmission Pipelines from Wazirabad WTP to various UGRs, and Automation and Instrumentation: Providing, Installing and Maintaining.
5	DWSIIP /05	2	Distribution Network Improvement in UGR Command Areas G-01, H-05 and H-06 Targeting Continuous Pressurized Water Supply and DMA-Based NRW Reduction and Providing House Service Connections.
6	DWSIIP /06	2	Distribution Network Improvement in UGR Command Areas C-01, P-09 and P-10 Targeting Continuous Pressurized Water Supply and DMA-Based NRW Reduction and Providing House Service Connections.

13. The PMC will be responsible for the technical and financial management and coordination of the DWSIIP including the undertaking of a public outreach program and ensuring safeguard compliance in line with ADB requirements. The Delhi Jal Board (DJB) will also recruit a community mobilization and resettlement plan implementation assistance consultant (CMRC) to assist in the implementation of any land acquisition and resettlement issues arising, including temporary impacts.

14. The UGR command areas included under the DWSIIP are summarized in **Table 2**, together with population estimates and the number of district metering areas (DMAs).

Table 5A.2: UGRs Proposed Under the DWSIIP

Works Package	UGR Ref.	UGR Name	Area (Ha)	Maximum Population (million)	Population (million)		DMAs (No.)
					2011	2051	
P1	C-02	CD Park Jahangirpuri	1018	0.255	0.232	0.264	38
P1	C-03	Model Town	948	0.237	0.166	0.226	33
Sub Total			1966	0.492	0.398	0.490	71
P2	G-02	Punjabi Bagh	532	0.133	0.129	0.168	24
P2	H-07	Shakur Basti	947	0.237	0.189	0.234	34
P2	H-08	Lawrence Road	972	0.243	0.290	0.305	44
Sub Total			2451	0.613	0.608	0.707	102
P3	G-01	Piragarhi	484	0.121	0.092	0.121	17
P3	H-05	Avantika	706	0.177	0.319	0.319	46
P3	H-06	Pitampura	926	0.231	0.214	0.240	34
Sub Total			2116	0.529	0.624	0.680	97
P4	C-01	SGT Nagar	537	0.134	0.076	0.118	17
P4	P-09	Burari A	2356	0.589	0.183	0.289	42
P4	P-10	Burari TPA	3531	0.883	0.312	0.358	51
Sub Total			6423	1.606	0.571	0.765	110
Total			12956	3.239	2.201	2.643	380

Note: Maximum population based on 250 persons/ Ha.

B. Specific Project Components

Include the specific component of the subproject for this section.

C. Legal Framework

15. Any impact to land, assets and livelihood by the project activities will be compensated by the project based on the resettlement framework.

16. The resettlement framework has been prepared based on ADB's Safeguard Policy Statement 2009, ADBs Operational Manual Section D 14/BP on Multi Tranche Financing Facility³, ADBs Operation Manual Section F1/BP⁴ on SPS, and The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act (RFCTLARRA)

³ Issued on 1st February 2014.

⁴ Issued on 1st October 2013.

2013. Any component included in the investment program shall comply with the requirements as outlined in this Framework. All resettlement planning documents will be endorsed and approved by DJB and ADB.

D. Entitlement Matrix

17. All displaced persons of the investment program will be assisted based on the compensation and assistance provided under the various categories mentioned in the entitlement matrix. This matrix is a part of the resettlement framework.

Type of Loss	Identification of Displaced Persons	Details
I.		
I.1. Temporarily affected agricultural land / plot	Titleholder, traditional land rights and non-titleholders	<ol style="list-style-type: none"> 1. In case of standing crops, cash compensation for loss of agricultural crops at current market value; 2. Compensation for loss of trees at current market value; 3. Restoration of land to its previous or better quality; 4. This resettlement plan will be complied with where construction activities undertaken will lead to impacts on land in terms of damage or loss; and 5. DHs will be notified and given 60 days' advance notice to remove trees and 6 months' notice to harvest crops and fruit trees.
I.2. Structures temporarily demolished for project activities	Titleholders/ non titled holders building owners	<ol style="list-style-type: none"> 1. Compensation for assets lost at replacement value without depreciation; 2. Rental assistance will be provided at the prevalent rate of the area for the duration of project construction activities, in case the DP has to relocate to an alternate structure for commercial/ residential purposes; 3. One-time financial assistance of INR25,000 for temporary removal/ replacement; 4. Subsistence allowance at INR3,000 per month for 3 months; and 5. This resettlement framework will be complied with where construction activities undertaken by the project leads to impacts on structures in terms of damage/ loss or loss of livelihood.
I.3. Temporary loss of livelihood	Business owners, tenants, leaseholders, employees, hawkers/vendors	<ol style="list-style-type: none"> 1. During work plan submission, it will be ensured all precautions are taken in the design, execution and actual implementation of works to ensure that access to business premises and residences, schools and other community assets are maintained at all times. 2. For shops or businesses experiencing full closure of commercial activity due to the construction activities, one-time cash assistance equal to the loss of net income

Type of Loss	Identification of Displaced Persons	Details
		during period of disruption will be provided.
J.	Other Unanticipated Impacts	
J.1. Temporary impacts during construction	All displaced persons	<ol style="list-style-type: none"> 1. The provisions in this Entitlement Matrix will be followed for any impact on structures or land due to movement of machinery etc. during construction or the establishment of construction plant; 2. Compensation for standing crops and trees as per the market rate; 3. Time bound restoration of land to its previous or better quality; and 4. The project will maintain access to all properties and businesses at all times.
J.2. Any unanticipated impacts due to project intervention		<ol style="list-style-type: none"> 1. Any unanticipated impacts of the project will be documented and mitigated based on the spirit of the principles agreed upon in this RF and the RFCTLARRA 2013.

E. Grievance Redress Procedure

18. For registering grievances related to resettlement, rehabilitation, payment of compensation, the following process is to be followed. Any costs related with filing grievances will be borne by the PIU.

- (i) Grievance register is available at the office of the PIU;
- (ii) Fill up the form;
- (iii) Ensure you get a receipt, with date of complaint registration or an identification number for follow up;
- (iv) Resolution to the problem has to be provided within 7 days, by the site engineer/contractor/ PMC;
- (v) If not resolved after 7 days, the grievance has to be forwarded to the PIU. The PIU has 14 days to address the problem;
- (vi) At any point the displaced person can approach the preceding officer of the Land Acquisition Rehabilitation and Resettlement Authority; and
- (vii) If not resolved, the complainant can go to court of law and/or use ADBs Accountability Mechanism,⁵. Legal recourse through courts of law is available to affected persons at any time, not as a last option in grievance redressal.

⁵ The ADB Accountability Mechanism provides an independent forum for people adversely affected by ADB-assisted projects. It allows project-affected people to voice their concerns and seek solutions to their problems. They can also request compliance review of alleged noncompliance by ADB with its operational policies and procedures. ADB, through its project design and implementation procedures, makes every effort to prevent problems and ensure compliance from the outset. The Accountability Mechanism is a last resort.

Disclosure

All social safeguard documents for the investment program will be posted on the program website and the ADB website www.adb.org.

CONTACT FOR GRIEVANCE

OFFICE OF THE EXECUTIVE ENGINEER (DWARKA WTP)
DELHI JAL BOARD
ASHOK VIHAR,
NEW DELHI - 110052

CONTACT NO: 011-27301179

APPENDIX 6: SAMPLE GRIEVANCE FORM*(To be available in Hindi)*

The Delhi Water Supply Improvement Investment Program welcomes complaints, suggestions, queries, and comments regarding program implementation. We encourage persons with a grievance to provide their name and contact information to enable us to get in touch with you for clarification and feedback.

In case you want to include your personal details but want information to remain confidential, please type CONFIDENTIAL above your name.

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

FOR OFFICIAL USE ONLY

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

APPENDIX 7: TERMS OF REFERENCE FOR COMMUNITY MOBILIZATION AND THE RESETTLEMENT CONSULTANT

A Overview of Investment Program

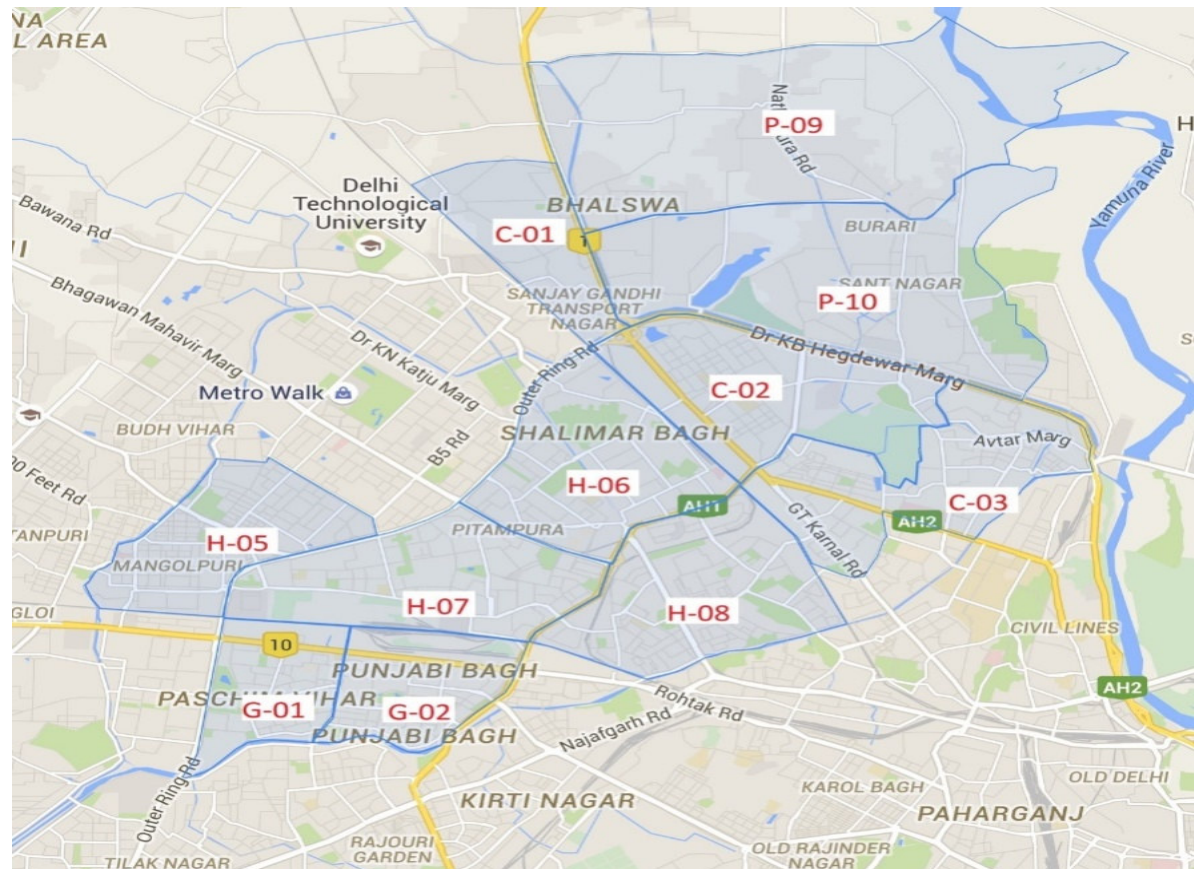
1. The Delhi Water Supply Improvement Investment Program (DWSIIP) will be implemented over a six-year period and will improve the infrastructure, management and performance of the water supply services in the proposed Wazirabad Water Treatment Plant (WTP) command area located in North Delhi and having a 2051 design population of 2.64 million (approximately 10% of Delhi's projected population by that time). The DWSIIP will help achieve the National Capital Territory of Delhi Water Supply Master Plan objectives of reduced non-revenue water and equitable access to water supply services. The investment program will include the rehabilitation, upgrading and/or replacement of key water supply infrastructure, improvements in the management of the infrastructure and improved customer related services within the Wazirabad WTP command area. The DWSIIP will be implemented as a multi-tranche financing facility (MFF) having two tranches and with each tranche constituting a project loan.

2. The MFF targets a complete improvement to water treatment, transmission and distribution network improvements to Wazirabad Water Treatment Plant Command area to ensure the objective of improved water supply services.

3. ¹ The MFF targets benefits to 2.64 million population in terms of 24x7 and quality supply of water. Overall the target includes strengthening 120 MGD water treatment plant, improvements to 54 km of transmission and associated pumping arrangements, and distribution network improvements through 350 DMAs spread over 11 UGR Commands laying of 1,224 km of distribution network. The institutional development actions to support sustainable service delivery includes: (i) implementation of capacity development plans including training on gender and establishment of a training center or institute; (ii) organizational restructuring for effective and sustainable DMA management; (iii) establishment of project development facility to prepare future projects; (iv) preparation and implementation of an effective community mobilization plan and GESI action plan; (v) preparation and implementation of asset management plan through use of geographic information system (GIS), hydraulic modelling and supervisory control and data acquisition (SCADA) system; (vi) implementation of O&M embedded performance-based contracts; (vii) establishment and operationalization of water quality monitoring system; and (viii) strengthening of program management capacities. Commonalty mobilization and outreach program will be a key feature of this MFF.

¹ ADB, October 2013. *Country Partnership Strategy (2013-2017)*.

Figure 7A: UGR Command Areas



4. Project 1 of the DWSIIP will include (i) a project management consultant (PMC); (ii) a civil works package (DWSIIP/01) for distribution network improvement, including UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas C-02 (Chitrnanjan Das Park Jahangirpuri) and C-03 (Model Town); (iii) a civil works package (DWSIIP/01) for distribution network improvement, including UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas G-02 (Punjabi Bagh), H-07 (Shakur Basti) and H-08 (Lawrence Road); and (iv) a civil works package (DWSIIP/04) for transmission mains and clear water pumping stations, and instrumentation and automation (SCADA).

5. Project 2 of the DWSIIP will include (i) a civil works package (DWSIIP/03) for rehabilitation or construction of the Wazirabad WTP; (ii) a civil works package (DWSIIP/05) for distribution network improvement, including UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas G-01 (Piragarhi), H-05 (Avantika), H-06 (Pitampura); and (iii) a civil works package (DWSIIP/06) for distribution network improvement, including UGR, clear water pumping station, DMA feeder mains and distribution pipes, bulk flow meters and house service connections for UGR command areas C-01 (Sanjay Gandhi Transport Nagar), P-09 (Burari-A) and P-10 (Burari Transport Planning Authority).

6. Project 2 will also support a PDF to enhance readiness of future investment projects by taking advance actions to prepare the projects. Specifically, the facility can be used for: (i) feasibility studies including techno-economic assessments; (ii) surveys and investigations; (iii) engineering design of projects; (iv) preparation of bidding documents; (v) support for policy, regulatory, and governance reforms; and (vi) capacity building support to the government agencies.

Table 7A.1: Summary of Works Packages

S.No	Package No	Description	Tranche
1	DWSIIP/01	Distribution Network Improvement in UGR Command Areas C-02 and C-03 Targeting Continuous Pressurized Water Supply and DMA Based NRW Reduction and Providing House Service Connections.	1
2	DWSIIP/02	Distribution Network Improvement in UGR Command Areas G-02, H-07 and H-08 Targeting Continuous Pressurized Water Supply and DMA Based NRW Reduction and Providing House Service Connections.	1
3	DWSIIP/03	Augmentation of water supply–Modernization and Operational Improvements of Wazirabad Water Treatment Plant, :	2
4	DWSIIP/04	Transmission System Improvements-Providing, Laying and Maintaining New DI Transmission Pipelines from Wazirabad WTP to Various UGRs and Providing, Installing and Maintaining SCADA System in 11 UGR Command Areas.	1
5	DWSIIP/05	Distribution Network Improvement in UGR Command Areas G-01, H-05 and H-06 Targeting Continuous Pressurized Water Supply and DMA Based NRW Reduction and Providing House Service Connections.	2
6	DWSIIP/06	Distribution Network Improvement in UGR Command Areas C-01, P-09 and P-10 Targeting Continuous Pressurized Water Supply and DMA Based NRW Reduction and Providing House Service Connections.	2

B. Objectives of the Assignment

7. The objective of Community Mobilization and Resettlement (CMRC) consultant is to support DWSIIP in: (i) community mobilization; (ii) public relations and awareness; (iii) implementation of the resettlement plan, and (iv) ensure gender equity and social inclusion (GESI) and its monitoring.

8. The consultant would be required to work/interact with city-level NGOs, civil society organizations, resident welfare associations and other stakeholders. The CMRC consultant will coordinate with the project management consultant (PMC) to mobilize the community, bring about awareness as per the CPP of this project (**Appendix 11**) and support PIU in various process support to enhance access to metered connections.

C. Scope of services, tasks (Components) and expected deliverables

9. CMRC will work for design and implementation of all community mobilization and participation activities (CMP), implementation of gender equality and social inclusion (GESI) action plan, capacity building of DJB/ DWSIIP and other stakeholders as detailed below:

- (i) Design and implement community awareness and public participation activities on DWSIIP works;
- (ii) Create awareness on the project and urban management issues like water conservation and water metering, solid waste management, waste water management etc.;
- (iii) Motivate and facilitate the end users in accessing connections, metering and to pay the user charges applicable;
- (iv) Coordinate with elected representatives, NGOs and community to facilitate project implementation and sustainability;
- (v) Conduct baseline surveys for the service delivery, socioeconomic status, vulnerability, consumer connections, urban service level;
- (vi) Conduct special campaign for 100% metering and NRW reduction;
- (vii) Implement gender equality and social inclusion action plan as per approved GESI, training on GESI activities;
- (viii) Training programs and community based programs including poverty alleviation plans as required for the target communities;
- (ix) Conduct Health and Hygiene Education program;
- (x) Conduct project awareness program (pre-construction, construction and post construction);
- (xi) Design and implementation of extensive media-based awareness programs as per needs of the project;
- (xii) Involve the community, ward committees, educational institutes, CBOs and other relevant organizations in awareness campaign;
- (xiii) Develop “exit strategy” to be taken over and carried on by others;
- (xiv) Conduct awareness and publicity program of DWSIIP works; and
- (xv) Support the project in preparation and implementation of resettlement plans for affected persons.

D. Baseline Information Collection/ Survey:

- (i) Collect and compiled segregated information on socio economic status, vulnerability, geographical areas with concentration of marginalized and poor, available social capital and organizations working among communities in the communities scattered, prepare a community profile for each project city.
- (ii) Conduct census survey for resettlement plan updating and preparation, in coordination with the PMC’s social safeguards specialist, PMU’s and PIU’s safeguards officers
- (iii) Conduct consultation on project’s resettlement plans and framework with identified APs
- (iv) Baseline information collection/ survey will include sex disaggregated community profile
- (v) Survey of female-headed households.
- (vi) Linking of these surveys and other surveys for achievement of DMF requirements of providing BPL households and female-headed households with individual water supply and sewer connections.

E. Implement Community Awareness and Participation plan and Health and Hygiene Education:

- (i) Identify and conduct the stakeholders meeting and stakeholder mapping.

- (ii) Conduct community outreach and awareness building on water supply and sanitation in poor and non-poor communities.
- (iii) Community campaign for women on awareness on Health and Hygiene Education at ward/community level in each program city
- (iv) Conduct project awareness program during Pre-construction, construction and post construction;
- (v) Prepare a Health and Hygiene Education (HHE) that includes water and sanitation, public health awareness campaign and activities at various levels (mass level, community, and schools) at all stages of project implementation. Involve the community, ward committees, program's town schools, CBOs and other relevant organizations in the public health education and campaigns;
- (vi) Prepare records (digital & audio visual) of every consultation/ discussions, take actions on recommendations arising from each of the consultations; prepare and disseminate action- taken reports in subsequent meetings;
- (vii) Plan and implement various information, education and communication (IEC) strategies such as use of electronic and print mass media; distribution of leaflets, posters, banners, locally relevant user-friendly audio-visual material and broadcast/ telecast on local radio/ cable, etc.;
- (viii) Train and facilitate ward based health and sanitation groups, particularly in the poor areas with the objective of improving personal health and hygiene, household cleanliness, keeping drinking water safe and clean, use of toilets, washing hands, etc.
- (ix) Organize water connection camp and motivate/ support the consumers for 100% connectivity.
- (x) Design and implement extensive community awareness and education programs designed to ensure that community residents become and remain cognizant of project cost, duration, outcomes, progress, goals and objectives and of their responsibilities for construction and maintenance of the new infrastructure.
- (xi) Design and use mass media and city level meetings with the DJB, local authorities and stakeholders to inform potential beneficiaries of the Project, especially women, community leaders, political leaders and NGOs.
- (xii) Develop a sense of community "ownership" of local infrastructure and services, as well as a community cognizance of the importance of maintenance, and the necessity of paying sufficient fees to cover operations and maintenance costs. Help develop management skills, community awareness and operation and maintenance responsibility for the schemes, especially for the slum area improvements.
- (xiii) Promote education for attitude change and awareness in the target communities on solid waste disposal, environmental protection and conservation. Assist communities, as appropriate, to design and implement structures to discharge their responsibilities and to facilitate community inputs into design requirements.
- (xiv) Introduce participatory community-based approaches to the communities in implementation of the project, and further educate them on their roles and responsibilities under such an approach. Help ensure that the targeted communities are in need of improved urban infrastructure and services, water supply and sanitation systems.
- (xv) Promote taking of connections to the water and sewer piping systems, and create a genuine commitment to the appropriate use of improved sewerage systems for disposal of household and industrial wastewater. Help ensure that they are willing to contribute to the construction and management, particularly for water supply and sanitation services.

F. Implement Gender Equality and Social Inclusion (GESI) Action Plan:

- (i) Implement all actions identified in the GESI Action Plan for the project;
- (ii) In coordination with the PMC, plan and monitor all the project activities including construction for ensuring gender sensitivity and social inclusion as per project designs;
- (iii) Assist the PMU in ensuring participation of women and disadvantaged group members of the relevant committees of any user groups if formed in important stakeholder meetings and decisions during the project implementation; and
- (iv) Orient and sensitize the community and the relevant institutions including other stakeholders on gender and social inclusion with respect to the project design, implementation and operation and maintenance services etc.
- (v) Support BPL, female headed families to take individual water and sewerage connections

G. Design and implementation of training programs:

- (i) Design training programs as required, for the target communities, DJB staff/ local SHG group/ local CBOs/ NGOs/ enumerators/ community workers. Such activities will be thoroughly documented (Hard, digitized copy and audio visual), and a thorough assessment of outcomes to be made.
- (ii) Implement trainings programs & seminars/ workshop to NGOs, community leaders, DJB staff, enumerators/ community workers , political leaders, PMU, PIU and contractor's staff (including laborers) on gender policy, safety, sanitation, health hygiene, construction management system (CMS), O&M of developed infrastructure, safeguard policy, GESI action plan and any specific aspects of all important development activities. Design and implement specific subprojects training program which meet the needs of local communities.

H. Design and implementation of extensive media-based programs:

10. The CMRC will be responsible to inform and educate policy makers, stakeholders and the general public about the proper and effective use of environmental services (water supply, sanitation, solid waste disposal, etc.) and the need to pay for the costs of providing such services. In addition to the tasks described above, tasks will include:

- (i) Within the approved framework, design a series of centrally administered programs designed to foster community awareness and commitment, taking full advantage of appropriate media.
- (ii) Design and implement an extensive, long-term, media-based program, suitable for city-wide replication, to inform and educate government officials, policy makers and the general public about the need to establish appropriate charges and an enhanced willingness to pay on the part of the consumers for improved level and quality environmental services, particularly for water supply, sanitation and solid waste management.
- (iii) In conjunction with the preceding activity, design and implement an extensive, long-term, media-based program, suitable for state-wide replication, to encourage and promote attitudinal changes. Design and implement periodic "consumer surveys" to assess the impacts of the above programs on the knowledge and attitudes of the government officials, policy makers and general public, and to help identify any changes in programming that may be required to attain the desired objectives. Media

Strategy could be framed as following:

I. Electronic Media:

▪ Television & Radio:

- (i) Documentary films: Production of documentary films on DWSIIP initiatives in general and in particular on water conservation, sewerage connectivity and reuse of treated waste water initiatives undertaken by CAPC, technical achievements and quality control measures undertaken by DWSIIP. Films could be telecast through regional channel/ local cable network.
- (ii) Message Spots: ad spots on issues related to civic sense, traffic rules, proper disposal of waste, save water, payment for the improved facilities, operation and maintenance of improved facilities. Medium of production selected should be such which could be displayed on cinema halls during intervals and before starting of commercial films as well as through TV channels.
- (iii) Audio Visual Jingles: Prepare audio-visual jingle which clearly displays the mission, vision and activities of DWSIIP. .
- (iv) Quiz program through TV: Organize live quiz competitions among government and private school children about works of DWSIIP and proper disposal of solid and liquid waste. This could be telecasted through local channels.
- (v) Scroll: Scroll message through local channel could be displayed on works of DWSIIP issues of social concern. Appeal for operation and maintenance of improved facilities and payment for the improved facilities especially water supply and sewerage connectivity. This could be telecasted through TV channels.
- (vi) Video Documentation of major events and use in publicity: Video documentation of major events organized by DWSIIP and telecast from local channel for wider publicity.
- (vii) Dramas through Radio: Broadcast dramas on operation and maintenance of improved systems for sustainability and payment for improved facilities especially for water supply and sewerage connectivity.
- (viii) News coverage of major initiatives: Develop a proper mechanism and coordination in a manner which, facilitate media partners to cover DWSIIP initiatives on a frequent basis.
- (ix) Songs with drama: Produce Audio albums to be broadcasted through all mediums of Radio.
- (x) Social media:
- (xi) Social Networks: Develop a social network on social sites such as Facebook, to connect with other people of similar interests and background, setup groups.
- (xii) Social News & Media Sharing: Upload pictures and video of CAPP activities/ message on various media and share it to communicate public
- (xiii) Mobile phone:
- (xiv) Bulk SMS: Collect the mobile number of households and send messages about the DWSIIP works, project outcomes, and awareness messages.
- (xv) Voice Calls: Send voice calls for DWSIIP works
- (xvi) Picture and video message: upload and share various media such as pictures and video as well on Messenger like *WhatsApp*.

▪ Media

- (i) Print media newspaper, magazines, booklets, brochures, leaflets, pamphlets appeals, posters, stickers, calendar and advertisements etc.
- (ii) Unconventional Media: Postal stationary, events like fairs and festival, cinema vans, shop fronts, media vehicle, stickers putting on tree guards etc.
- (iii) Traditional Media: Street plays, puppet shows, dramas, dance, storytelling, song, music, painting, motifs and symbols etc.

J. Developing an Appropriate "Exit Strategy" for the CMRC:

11. During the course of the project, CMRC will develop an appropriate exit strategy to help ensure that the initiatives can be taken over and carried on by others after the Project is completed. Tasks will include:

- (i) Identify appropriate agencies and/or NGOs/CBOs and/or social organizations, etc., who would be willing and able to carry on with the programs that have been developed the project is completed.
- (ii) Develop and maintain a comprehensive resource library of all relevant documents, media materials and training manuals, etc., and hand these over to the PMU or to other agencies as may be otherwise agreed by the PMU, upon completion of the services so that the programs initiated under the CMRC can be replicated by others in the future.
- (iii) Develop an "exit strategy" for smooth handover of the appropriate resources/ resource materials and responsibilities to the identified agencies, and obtain PMU approval for the proposed actions.
- (iv) Assist to PMU and PIUs in development of exit protocol.
- (v) Ensure that the selected agencies are actively involved in the programs for which they will become responsible before completion of the services, and impart, as necessary, appropriate training to personnel from the selected agencies.

12. The consultant will submit their assessment of alternative ways and means of helping ensure the long term benefits of the initiatives taken up under the CMRC, along with a proposed "exit strategy" to the PMU six months prior to completion of the Services. Following approval of the PMU, the consultant will actively engage the selected agency(s) in the implementation of the program to transfer skills and knowledge, and finalize details of handover arrangements.

K. Scope of Services Resettlement Planning

13. The CMRC will be required to mobilize appropriate specialists, as and when required, to assist the PIU in preparing and implementing the resettlement plan and performing consultation activities as necessary. Key tasks include the identification and survey of all displaced persons (displaced persons) and the implementation of measures to address temporary impacts resulting from program construction activities.

14. If required, the RPs will be prepared by the resettlement specialist of the PMC, with survey and implementation support from the CMRC. The CMRC will therefore be required to work in close association with the PMC Resettlement Specialist to ensure smooth implementation of the program.

15. The specific scope of activities include:

- (i) Organize and execute stakeholder consultation and feedback sessions regarding:

- (a) The investment program, its components and the anticipated benefits and impacts on the community;
 - (b) The anticipated extent of resettlement, if any, and the level of temporary impacts;
 - (c) The resettlement and rehabilitation policy and the entitlements;
 - (d) Mechanisms and arrangements to assist displaced persons; and
 - (e) The role of the CMRC in assisting them in availing their entitlements, assistance in proper utilization of the same as well as mechanisms to voice their grievances and concerns.
- (ii) Assist in providing assistance to the displaced persons during the resettlement and rehabilitation process and to ensure all entitlements are made in a timely manner prior to displacement;
 - (iii) Work in close association with the affected community and disseminate information to ensure correct and complete information is available to affected households;
 - (iv) Take the lead responsibility in planning and implementing the livelihood activities identified under the resettlement plans;
 - (v) Ensure gender equality and safeguard the interests of the poor and marginalized;
 - (vi) Issue identity cards and entitlement cards;
 - (vii) Conduct revalidation surveys of the displaced persons (titled and non-titled) experiencing land acquisition and resettlement impacts;
 - (viii) Verify and update the inventory of loss;
 - (ix) Record details of the extent of land available in the resettlement area (in the cases where resettlement is to be done) for resettling and for allotment of land to the affected households;
 - (x) Estimate the monthly earnings of each household and assess the extent of possession of immovable properties;
 - (xi) Prepare a list of persons who have lost or are likely to lose their employment or livelihood or who have been or likely to be alienated wholly or substantially from their main sources of trade, business, occupation or vocation consequent to the acquisition of land or the project or involuntary displacement due to any other cause;
 - (xii) Ensure that each of the eligible displaced persons are contacted and consulted, either individually or in groups. It is imperative to carry out consultations with the vulnerable groups which include the following:
 - (a) Those who are BPL;
 - (b) Those who belong to the scheduled castes;
 - (c) Those who belong to the scheduled tribes;
 - (d) Female headed households;
 - (e) Elderly; and
 - (f) Household where head of household is physically handicapped
 - (g) Landless and non-titled households.
 - (xiii) Facilitate the process of disbursement of compensation to the displaced persons, coordinating with the revenue department, informing the displaced persons of the compensation disbursement process and timeline;
 - (xiv) Assist displaced persons in opening bank accounts explaining the implications, the rules and the obligations of a joint account and how she/ he can access the resources she/he is entitled to;

- (xv) In close consultation with the displaced persons, the CMRC shall inform the Land Acquisition Officer about the shifting dates agreed with the displaced persons in writing and the arrangements desired by the displaced persons with respect to their entitlements;
- (xvi) Assist the PIU in ensuring transition (during the part or full relocation of the displaced persons), helping the displaced persons to take salvaged materials and shift;
- (xvii) Organize training programs for income restoration;
- (xviii) Assist the PIU in establishing the grievance redress mechanism;
- (xix) Participate in the grievance redressal process;
- (xx) Assist the PIU in keeping detailed records of progress and establish monitoring and reporting systems regarding resettlement;
- (xxi) Maintaining a computerized database of displaced persons;
- (xxii) Assist the displaced persons to access and participate in the grievance redress process and also in availing their entitlements and proper utilization of the same;
- (xxiii) Tracking and recording the disbursement of assistances;
- (xxiv) Act as the information source center for community interaction with the investment program and maintain liaison between the community, contractors and project management and implementing units during the execution of the works;
- (xxv) Assist the PIU in carrying out the asset acquisition process and disbursement of entitlements; and
- (xxvi) Assist the PIU in the implementation of the provisions of the RF relating to temporary impacts.

16. The CMRC will assist the PIU in the following tasks:

- (i) Carry out the asset acquisition process through identification and verification of the eligible DP's;
- (ii) Inform the community about the investment program, of any changes in the technical design, Resettlement & Rehabilitation policy, entitlements, progress of the resettlement plan implementation etc.;
- (iii) Disburse the assistance due to the affected households;
- (iv) Maintain a database of all the transactions related to the disbursements of entitlements and the progress of the same;
- (v) Carry out consultations with the affected community especially the vulnerable section of the affected community; and
- (vi) Provide with suggestions and other supportive services to the PIU as and when required.

L. Staffing Requirements

17. Team composition & qualification requirements for the key experts and any other requirements which will be used for evaluating the key experts. The personnel requirements are estimated in **Table 7A.2**. The basic requirements are shown in **Table 7A.3**.

Table 7A.2: Personnel requirements for CAPC

S. N.	Position	Person	Person Months
1	Team Leader cum Community Development Expert	1	32
2	Deputy Team Leader Team Leader/ Social Development Specialist	1	18
3	Communication Expert	1	30

S. N.	Position	Person	Person Months
4	Community Development and Resettlement Specialist	2	40
5	Gender Specialist	1	20
6	Training Specialist	1	15
7	Resettlement Coordinator	1	24
8	Monitoring & Evaluation Specialist	1	30
9	Social Development Expert cum Gender executive	2	70
10	Community Relation Executive	3	70
	Total	14	349

Table 7A.3: Qualification Requirements for the Key experts

S. No.	Position	Qualification Requirement	Responsibility
1.	Team Leader cum Community Development Expert	<ul style="list-style-type: none"> • Graduate degree with post graduate degree in social science or equivalent; • Good experience as a team leader or at senior position; and • 15 years of total experience in community development activities experience in design and implementation of community based programs in water supply and sewerage projects. 	<ul style="list-style-type: none"> (i) Overall Project Management and Administration of CAPP CMRC Activities (ii) Overall supervision for mobilization of CMRC team personnel in terms of agreed manpower in required time frame. (iii) Co-ordination with Project Management Unit (PMU), Project Implementation Units (PIU), PMC and line agencies. (iv) Design of CAPP CMRC programs and community-level programs (v) Selection and supervision activities of local NGOs as required (vi) Supervision for the CAPP of CMRC activities. (vii) Prepare and submit post facto analysis of implemented CAPP CMRC activities/ safeguard activities.
2	Deputy Team Leader Team Leader/ Social Development Specialist	<ul style="list-style-type: none"> ▪ A post-graduate qualification in sociology or a related field, with at least 10 years' experience in resettlement planning and implementation projects and programs; ▪ Conversant with the India land administration system and land acquisition laws; ▪ Report writing capability and ability to demonstrate personal and accountable work environment; and ▪ Handling externally funded projects will be an added advantage. 	<ul style="list-style-type: none"> (i) Coordinate and provide assistance in the implementation of the resettlement plans. She/he will take the lead responsibility in handling all resettlement related issues including safeguards. She/he will also coordinate and assist in conducting of validation surveys during resettlement plan implementation. (ii) Coordination and networking with all the stakeholders in the various sub-projects and providing guidance to all team members. (iii) She/ he, along with the sector specialists, will be responsible for: managing a detailed analytical framework capturing the direct and indirect impact on economic and social indicators related to program investments; (iv) Identification of displaced persons within the program target groups; (v) Assist in implementation of safeguard measures for identified target groups; (vi) Design and implementation of the strategy relating to the resettlement plan, rapport development with the affected community members; (vii) Assist and guide in implementation of the gender equality and social inclusion action plan; (viii) Continuously monitor the progress of the activities as per the prepared resettlement plan and take appropriate

S. No.	Position	Qualification Requirement	Responsibility
			(ix) corrective action; and Submission of all reports and prepare the detailed work plan based on action to be taken at the field level and monitor the progress of the activities undertaken, attend client meetings and workshops as and when required and assist with the determination of all program requirements from time to time.
3	Communication Expert	<ul style="list-style-type: none"> • Graduate degree in Public Relations, Communications, Media Management or related disciplines; • Diploma in design and production of mass media will be preferred; • 10 years' experience in media/ communication/ education work; • Experience in production of mass media in both Hindi and English; and • Experience in IEC designing. 	<ul style="list-style-type: none"> (i) General management and administration of team activities; (ii) Liaison with PMU and PIU. Preparation of all reports; (iii) Preparation of advertisements/ media campaign/ leaflets for community awareness; (iv) Preparation of video clippings and documentaries for community awareness/ audio visual and print media advertisement; (v) Conceptualization, drafting, framing workshops/ rallies/ nukkar natak/ talk shows etc, for public awareness; (vi) Conceptualization, drafting, framing of community-level programs; and (vii) Preparation of IEC material gender mainstreaming and equality.
4	Community Development and Resettlement Specialist	<p>A post-graduate qualification in sociology or a related field with at least 7 years' experience in:</p> <ul style="list-style-type: none"> ▪ Public participation and community development techniques; ▪ Community mobilization, especially on social and environment safeguards, sanitation, gender, HIV/AIDS etc.; ▪ Livelihood and social development work, especially in the field of infrastructure; ▪ Working on programs for the poor and disadvantages groups, especially in externally funded projects; ▪ Implementation of 	<ul style="list-style-type: none"> (i) Develop and strengthen social networks and use them as agents of change on issues related to resettlement plan implementation; (ii) Needs analysis for specific communities for DWSIIP; (iii) Participate in capacity building workshops/ activities focused on participatory action planning; (iv) Assist the team leader in the implementation of the resettlement plans at community level; (v) Conduct frequent site visits and interact with community members; (vi) Assist in updating the resettlement plans in close coordination with the PIU and PMC; (vii) Distribute identification cards to displaced persons; (viii) Conduct consultations with the stakeholders and displaced persons

S. No.	Position	Qualification Requirement	Responsibility
		<p>resettlement and rehabilitation plans in urban infrastructure projects;</p> <ul style="list-style-type: none"> ▪ Conducting training and capacity building programs; and ▪ Fluency in Hindi and good writing skill in English is desirable. 	<p>and provide inputs from these consultations to the PIU and PMC for incorporating changes (if any) in the resettlement plans;</p> <ul style="list-style-type: none"> (ix) Ensure compensation, rehabilitation, and income restoration measures, are done prior to construction in relevant sections and as per the RPs; (x) Facilitate the PIU in responding to any public grievances and assist the PIU in maintaining a database of the grievances; (xi) Submit monthly reports on resettlement plan implementation; (xii) Assist in conducting validation surveys; (xiii) Assist in the implementation of Gender Equality and Social Inclusion action plan. (xiv) Liaison with local NGOs; (xv) Establish baseline and maintain a consumer database; (xvi) Analysis of baseline survey, house hold survey for community based future planning for optimum utilization of infrastructure facilities; (xvii) Prepare and assist in establishment of baseline and maintain a consumer database disaggregated by sex, ethnicity, poverty and vulnerability levels; and (xviii) Collection of information relative to needs of monitoring and evaluation system.
5	Gender Specialist	<ul style="list-style-type: none"> • Graduate degree in social science; • Post Graduate degree in social science and gender focus diploma will be preferred; • 8 years of experience in community mobilization and Social development works; and • Experience in implementation of gender action plan. 	<ul style="list-style-type: none"> (i) Implementation of gender action plan and monitoring and evaluation gender equality capturing result; (ii) Conceptualization, drafting, framing and conduct training program for women ward councilors and staff to include: relevant aspects of project preparation, appraisal, financing, supervision, monitoring and evaluation to develop effective and gender-inclusive management of water supply and sanitation schemes; (iii) Conduct training workshops on gender-responsive urban management for all officials and elected representative and Gender awareness training workshops;

S. No.	Position	Qualification Requirement	Responsibility
			<ul style="list-style-type: none"> (iv) Ensure effective participation of women councilors local bodies so that gender issues are adequately discussed so that; (v) Gender policy approved and adopted by LSGD, and gender action plan approved and adopted by each participating MB; and (vi) Ensure that health and welfare schemes targeting BPL/ FHH benefit the intended beneficiaries.
5	Training Specialist	<ul style="list-style-type: none"> • Graduate degree; • MBA HRD or Masters in Social Science will e preferred; • 8 years' experience in health and hygiene education and community development work; • Experience in design and implementation of trainings programs & seminars/ workshops for capacity building of urban local bodies; and • Experience in linking of public with health and social welfare schemes. 	<ul style="list-style-type: none"> (i) Prepare training manuals and modules and monitoring of the training programs and their effectiveness; (ii) Conceptualization, Drafting, Framing and Conduct training needs analysis for Community Liaison Officers and Identify training requirements & develop a comprehensive training plan to meet identified needs; (iii) Conceptualization, drafting, framing and implementation of competency- based / gender -based, training programs, seminars workshops & community awareness & participation program trainings for NGOs, community, leaders, local authorities, government staff and political leaders as well as for PMU, PIU & PMC staff; (iv) Assist to gender specialist in conducting training workshops on gender-responsive urban management for all officials and elected representative; and (v) Conducting effective hygiene education campaigns in the target communities and conduct a range of community orientation seminars on project-related issues such as procedures for water and sewerage connections, and tariffs;
6	Resettlement Coordinator	<p>A post-graduate qualification in sociology or a related field with at least 3 to 5 years' experience in:</p> <ul style="list-style-type: none"> ▪ Public participation and community development techniques; ▪ Community mobilization, especially on social and environment safeguards, 	<p>The coordinator will be hired from local population and will assist the team leader and community development and participation specialist in the implementation and coordination of activities including;</p> <ul style="list-style-type: none"> (i) assessment of displaced persons or property; (ii) collection of primary and secondary information;

S. No.	Position	Qualification Requirement	Responsibility
		<p>sanitation, gender, HIV/AIDS etc.;</p> <ul style="list-style-type: none"> ▪ Livelihood and social development work, especially in the field of infrastructure; ▪ Working on programs for the poor and disadvantaged groups, especially in externally funded projects; ▪ Handling of emergencies through a networking approach. ▪ Implementation of resettlement and rehabilitation plans in urban infrastructure projects; ▪ Conducting training and capacity building programs; and ▪ Fluency in Hindi and good writing skill in English is desirable. 	<ul style="list-style-type: none"> (iii) regular coordination with the PIU and PMC officials and experts, district administration for technical support and guidance required at field level; (iv) keep track of the day to day progress and provide overall support to the project team; (v) ensuring that the standards are met during resettlement plan implementation; (vi) coordinate with community workers for the timely completion of the assigned tasks within the stipulated time frame; and (vii) preparation of regular progress reports and take appropriate corrective action.
7	Monitoring & Evaluation Specialist	<ul style="list-style-type: none"> • Graduate degree in social science; and • 8 years of experience in surveys, making indicators, evaluation of benefits 	<ul style="list-style-type: none"> (i) Feedback survey executed awareness activities/ Training program/ GECI action plan and its monitoring & evaluation (ii) Ensure achievement of targets of the project and prepare work plans accordingly. (iii) Develop performance milestones for community-based programs and (iv) Organize surveys for data collection and analysis of investigation results (v) Aggregate, analyze data elicited from city-based programs and assess efficacy of programs. (vi) Train appropriate staff in collection, analysis and utilization of Monitoring information (vii) Design and implement computer-based monitoring and evaluation system to assess quality and outcomes of city-based programs (viii) Familiarize community leadership with monitoring and evaluation system. (viii) Prepare monitoring and evaluation reports for submission to PMU.
8	Social Development Expert cum	<ul style="list-style-type: none"> • Graduate Degree in social sciences or related field; • 10 year experiences in 	<ul style="list-style-type: none"> (i) Responsible for implementation of community program in field (ii) Conduct training program at city level

S. No.	Position	Qualification Requirement	Responsibility
	Gender Specialist	<p>design and implementation of community based programs; and</p> <ul style="list-style-type: none"> • Experience in implementation of gender action plan 	<ul style="list-style-type: none"> (iii) Public Consultation and effective participation of women councilors local bodies. (iv) Support in implementation of RPs, meetings with APs (v) Support in establishing grievance redressal mechanism at city level (vi) Awareness and health and welfare schemes targeting BPL/FHH with specific focus on women/children. (vii) Utilize strategies to create a women-friendly work environment and increase the proportion of women in PMU/PIU and contractor offices (viii) Conduct training programs, seminars workshops & Community Awareness & Participation Program (ix) Awareness campaign in water supply and sewerage connections, NRW reduction, contract works, O&M services at city level (x) Conduct a community orientation seminars / workshops/ consultation on project-related issues such as procedures for water and sewerage connections, and tariffs; public meetings and women-only FGDs with women leaders, RWAs, women's SHGs and other community-based groups on issues such as: water, sanitation and health, personal/female hygiene, social safety, women's access to property rights. (xi) Prepare the Monthly & Periodic progress report (xii) Needs analysis for specific communities & cities and design and implementation of city-specific programs
9	Community Relation Executive	<ul style="list-style-type: none"> ▪ A graduate in social science with at least 3-5 years' experience in organizing community level meetings; ▪ Social mobilization on health and hygiene, environment and sanitation, gender, and HIV/AIDS; ▪ Understanding of health hygiene and gender 	<p>The Community Relation Executives will assist in the implementation of responsibilities including:</p> <ul style="list-style-type: none"> (i) organizing community level meetings/consultations and ensure their participation and cooperation in resettlement plan implementation and community empowerment; (ii) social mobilization on water, health and hygiene etc.; (iii) environment and sanitation, gender issues, HIV/AIDS;

S. No.	Position	Qualification Requirement	Responsibility
		issues; <ul style="list-style-type: none"> ▪ Implementation of development projects/programs for the community in urban localities; ▪ Conducting census surveys for development projects; and ▪ Fluency in Hindi is desirable and a working knowledge of English will be an added advantage. 	<ul style="list-style-type: none"> (iv) maintain appropriate rapport with community and local authorities to steer the social mobilization; (v) encourage the participation of women as per the Gender Equality and Social Inclusion Action Plan; (vi) assist the community and the PIU in addressing grievance and redress related issues; (vii) ensure that the genuinely displaced persons get the timely compensation due under the resettlement plans

M. Time Frame

18. Consultancy contract will initially be made for 42 months, which can be extended further on mutual acceptance at the same terms and conditions for 24 more months.

N. Reporting Requirements and Time Schedule for Deliverables

19. As a minimum, following are the deliverables:

- a. Inception Report in 30 days time of mobilization of consultant containing approach, methodology, work plan and staffing schedule for the project activities and schedule for deliverables etc in hard and one soft copies. This would be in consultation with the PMC and PMU/ PIU;
- b. The initial consumer survey will be conducted within three months of inception of the Services to establish a base line of consumer knowledge and attitudes, and subsequent surveys will be conducted at the approximately six month intervals to assess any changes which have taken place;
- c. Monthly, quarterly progress reports; semiannual/biannual environmental and RP implementation reports in hard and soft copies and
- d. any other reports as required by DWSIIP.

O. Client's Input and Counterpart Personnel

- (a) Services, facilities and property to be made available to the Consultant by the Client: Office accommodation with power and water supply facility
- (b) Professional and support counterpart personnel may be assigned by the Client to the Consultant's team: Client will not provide any staff from DWSIIP to work as part of CAPP CMRC team. However counterpart staff will be available in PMU and PIU to interact and support their activities.
- (c) Client will provide the following inputs, project data and reports to facilitate preparation of the Proposals:
 - (i) Data, reports etc. as available with the government
 - (ii) PPTA report prepared by PPTA consultant engaged by ADB

APPENDIX 8: MONITORING INDICATORS

Ref.	Resettlement and Rehabilitation Activities	Progress	Remarks
Preconstruction activities and R&R activities			
1	Assessment of resettlement impacts due to changes in project design (if required)		
2	Preparation/updating of resettlement plan based on changes in project design		
3	Approval of updated resettlement plan from ADB		
4	Disclosure of updated resettlement plan		
5	Establishment of Grievance Redress Committee		
6	Capacity building of PIU		
7	Verification of displaced persons census list; finalization of compensation and assistance		
Resettlement plan implementation			
1	Payment of compensation as per replacement value of land and assets to displaced persons		
2	Disbursement of assistance to title holders		
3	Disbursement of assistance to non-title holders		
4	Disbursement of special assistance to vulnerable groups		
5	Replacement/shifting of community property resources		
6	Reinstallation of public utilities		
7	Records of grievance redressed		
8	Temporary relocation of hawkers and vendors		
9	Income restoration measures through training		
Income Restoration			
1.	Reestablishment of income generating activity to earlier levels of production / enterprise		
2.	Restoration of pre-project income levels and living standard		
3.	Training provided		
4.	Sustainability of income activity		
5.	Adequacy of assistance for establishment of income activity		

Social measures during construction as per contract provisions			
1	Prohibition of employment or use of children as labor		
2	Prohibition of forced or compulsory Labor		
3	Ensure equal pay for equal work to both men and women		
4	Implementation of all statutory provisions on labor like health, safety, welfare, sanitation, and working		
5	Maintenance of employment records of workers		

APPENDIX 9: OUTLINE OF SOCIAL SAFEGUARDS MONITORING REPORT

1. Following requirements of the ADB Safeguard Policy Statement (2009) and the *Operations Manual* section on safeguard policy (OM F1), borrowers/clients are required to establish and maintain procedures to monitor the status of implementation of safeguard plans and ensure progress is made toward the desired outcomes. For projects categorized as A or B in Involuntary Resettlement and/or Indigenous People, the Borrowers/clients are required to submit biannual monitoring reports for ADB review. The level of detail and comprehensiveness of a monitoring report is commensurate with the complexity and significance of social safeguards impacts (IR and IP). A safeguard monitoring report may include the following elements:

A. Executive Summary

2. This section provides a concise statement of project scope and impacts, key findings and recommended actions.

B. Background of the Report and Project Description

3. This section provides a general description of the project, including:

- a) Background/ context of the monitoring report which includes the information on the project, project components, safeguards categorizations, and institutional requirements
- b) Information on physical progress of project activities, scope of monitoring report and requirements, reporting period, including frequency of submission and changes in project scope and adjusted safeguard measures, if applicable
- c) Summary table of identified impacts and the mitigation actions.

C. Scope of Impacts

4. This section outlines the detail scale and scopes of the project's safeguards impacts, vulnerability status of the affected people/communities, entitlements matrix and other rehabilitation measures, as applicable, as described in the approved final RP(s) /IPP(s).

D. Compensation and Rehabilitation

5. This section describes the process and progress of the implementation of the safeguards plan and other required activities as determined in the plan. This includes payment of the affected assets compensation, allowances, loss of incomes, etc. to the entitled persons; provisions of other types of entitlement as described in the matrix and implementation of livelihood rehabilitation activities as determined in the plan. Quantitative as well as qualitative results of the monitoring parameters, as agreed in the plan, should be provided.

E. Project disclosure, public participation and consultation

6. This section describes project disclosure mechanism, public participation and consultations activities during the project implementation as agreed in the plan. This includes, numbers of activities conducted, issues raised during consultation and responses provided by the project team, implementing NGOs, project supervision consultants, contractors, etc.

F. Grievance Redress Mechanism (GRM)

7. This section described the implementation of project GRM as design in the approved RP/IPP. This includes evaluations of its effectiveness, procedures, complaints receive, timeliness to resolve issues/ complaints and resources provided to solve the complaints. Special attentions should be given if there are complaints received from the affected people or communities.

G. Institutional Arrangement

8. This section describes the actual implementation or any adjustment made to the institutional arrangement for managing the social safeguards issues in the projects. This includes the establishment of safeguards unit/ team and appointment of staff in the executing or implementing agencies; implementation of the GRM and its committee; supervision and coordination between institutions involved in the management and monitoring of safeguards issues, the roles of NGO and women's groups in the monitoring and implementation of the plan, if any.

H. Monitoring Results-Findings

9. This section describes the summary and key findings of the monitoring activities. The results are compared against previously established benchmarks and compliance status (e.g., adequacy of IR compensation rates and timeliness of payments, adequacy and timeliness of IR rehabilitation measures including serviced housing sites, house reconstruction, livelihood support measures, and training; budget for implementing EMP, resettlement plan, or IPP, timeliness and adequacy of capacity building, etc.). It also compared against the objectives of safeguards or desired outcomes documented (e.g. involuntary resettlement impacts avoided or minimized; livelihood restored or enhanced; IP's identity, human right, livelihood systems and cultural uniqueness fully respected; indigenous people not suffer adverse impacts, environmental impacts avoided or minimized, etc.). For FI projects this includes the effectiveness of the Environmental and Social Management System (ESMS) managed by the FI and its participating institutions. If noncompliance or any major gaps identified, include the recommendation of corrective action plan.

I. Follow up Actions, Recommendation and Disclosure

10. This section describes recommendations and further actions or items to focus on for the remaining monitoring period. It also includes lesson learned for improvement for future safeguards monitoring activities. Disclosure dates of the monitoring report to the affected communities should also be included. A time-bound summary table for required actions should be included.

Appendix 1

- (i) List of Affected Persons and Entitlements
- (ii) Summary of RP/IPP with entitlement matrix

Appendix 2

- (i) Copies of AP's certification of payment (signed by the APs)
- (ii) Summary of minutes of meetings during public consultations
- (iii) Summary of complaints received and solution status