

Resettlement Plan

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India: MFF Uttar Pradesh Power Distribution Network Rehabilitation Project

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CURRENCY EQUIVALENTS

(as of (as of 19 September 2020 (4 Month
forward rate as of 19 May 2020)

Currency Unit	=	Indian Rupee (₹)
₹1.00	=	\$0.013072
\$1.00	=	₹76.5129

ABBREVIATIONS

ABC	-	aerial bundled conductors
ADB	-	Asian Development Bank
ASI	-	archeological survey of India
ATC	-	aggregate technical and commercial (losses)
BCM	-	billion cubic meters
CEA	-	Central Electricity Authority
CERC	-	Central Electricity Regulatory Commission
CPCB	-	Central Pollution Control Board
DISCOM	-	distribution company
DVVNL	-	Dakshinanchal Vidyut Vitran Nigam Limited (South Distribution Company)
EFS	-	environmental framework and safeguards (of UPPCL)
EHS	-	environment, health, and safety
EIA	-	environmental impact assessment
EMF	-	electromagnetic field
EMP	-	environmental management plan
ESP	-	environmental and social policy (of UPPCL)
GFP	-	grievance focal person
GHG	-	greenhouse gas
GRC	-	grievance redress committee
GRM	-	grievance redress mechanism
ICNIRP	-	International Commission for Non-Ionizing Radiation Protection
IEE	-	initial environmental examination
IFC	-	International Finance Corporation
ILO	-	International Labour Organization
MFF	-	multitranches financing facility
MOEF&CC	-	Ministry of Environment, Forest, and Climate Change
MOP	-	Ministry of Power
MVVNL	-	Madhyanchal Vidyut Vitran Nigam Limited (Central Distribution Company)
OBC	-	other backward class
PCB	-	polychlorinated biphenyls
PIU	-	project implementation unit
PMA	-	project management agency
PMC	-	project management consultant
PMU	-	project management unit
POPs	-	persistent organic pollutants

PTW	-	private tube wells
PuVVNL	-	Purvanchal Vidyut Vitran Nigam Limited (East Distribution Company)
PVVNL	-	Pashchimanchal Vidyut Vitran Nigam Limited (West Distribution Company)
REA	-	rapid environmental assessment
ROW	-	right of way
R&R	-	resettlement and rehabilitation
SAUBHAG	-	Sahaj Bijili Har Ghar Yojana (Government of India project to provide electricity to the households)
HYA	-	
SARF	-	safeguard assessment and review framework (combined environmental assessment and review framework and resettlement framework under ADB's Safeguard Policy Statement (2009))
SDDR	-	Social Due Diligence Report
SEC	-	social and environmental cell (of UPPCL)
SEP	-	social and environmental policy (of UPPCL)
SP&P	-	social policy and procedure (of UPPCL)
TKC	-	turnkey contractor
UPPCB	-	Uttar Pradesh Pollution Control Board
UPPCL	-	Uttar Pradesh Power Corporation Limited
WHO	-	World Health Organization

WEIGHTS AND MEASURES

amp	-	ampere
ha	-	hectare
km	-	kilometer (1,000 meters)
kV	-	kilovolt (1,000 volts)
kW	-	kilowatt (1,000 watts)
mG	-	milligauss
Hz	-	hertz

NOTES

- (i) The fiscal year (FY) of the Government of India ends on 31 March. FY before a calendar year denotes the year in which the fiscal year ends, e.g., FY 2020 ends on 31 March 2020.
- (ii) In this report, "\$" refers to US dollars unless otherwise stated.

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CONTENTS

CONTENTS

LIST OF FIGURES

I.	EXECUTIVE SUMMARY	
II.	INTRODUCTION	1
	A. Project Background and Rationale	1
	B. Output 1 Subprojects and Construction Works	3
	C. Output 2 Subprojects and Construction Works	4
	D. Safeguard Assessment and Review Framework (SARF)	6
	E. MFF Project Implementation Schedule	6
III.	SCOPE OF IMPACTS	10
	A. Impacts for Output One: Rehabilitation of Distribution Networks	10
	B. Impacts for Output 2: Installation of New 11kV Distribution Lines	10
IV.	SOCIO ECONOMIC SURVEY	21
V.	INFORMATION, CONSULTATION AND DISCLOSURE	24
	A. Consultations conducted during preparation	24
	B. People's perceptions, opinions, and suggested measures	25
	C. Consultations to be conducted during Tranche One implementation stage	26
	D. Disclosure	27
VI.	LEGAL FRAMEWORK	27
	A. Applied Policies	27
	B. Policy Framework Gaps and Provisions	29
VII.	MITIGATION MEASURES AND ENTITLEMENT MATRIX	33
	A. Anticipated Impacts and Eligibility Criteria	33
	B. Subproject Component Eligibility Criteria	34
	C. Screening and Categorization	34
	D. Measures to avoid and reduce project impacts	35
	E. Compensation/Income Restoration	35
VIII.	GRIEVANCE REDRESS MECHANISM	38
IX.	INSTITUTIONAL ARRANGEMENTS AND RESPONSIBILITIES	45
	A. Project Implementation Arrangements	45
X.	BUDGET & SCHEDULE	53
XI.	MONITORING AND REPORTING	56
	APPENDIX 1: LIST OF PARTICIPANTS OF COMMUNITY CONSULTATIONS IN DVVNL	57
	APPENDIX 2: LIST OF PARTICIPANTS OF COMMUNITY CONSULTATIONS IN PVVNL	63
	APPENDIX 4: PHOTOGRAPHS OF COMMUNITY CONSULTATIONS IN PVVNL	83
	APPENDIX 5: SAFEGUARDS SCREENING FORM	91
	APPENDIX 6: SOCIAL DUE DILIGENCE REPORT OUTLINE	93
	APPENDIX 7: CONSULTATION PROFORMA	95
	APPENDIX 8: OUTLINE OF A SEMI-ANNUAL SAFEGUARDS MONITORING REPORT	97

LIST OF TABLES

Table 1: Conversion to ABC.....	4
Table 2: Feeder Separation.....	4
Table 3: Implementation Schedule of the Project	7
Table 4: Feeders and Villages Located Along the Feeders–Social Composition	12
Table 5: Transect Surveys: Sample feeder, villages, proposed interventions, and likely impact	12
Table 6: Total Population Covered by Household Survey Disaggregated by Sex And Social Groups (No. and %)	21
Table 7: Rural Population, Households, SC and ST Population In Rural Habitations In PuVVNL and MVNNL, Census 2011	21
Table 8: Proportion of Households Across Different Income Categories In Puvvnl and MVVNL as per SECC, 2011	23
Table 9: Consultations and Surveys by locations, participants, and dates.....	25
Table 10: Key Questions & Concerns	25
Table 11: Comparison of Involuntary Resettlement Requirements of ADB and Government of India.....	30
Table 12: Scenario Details and Required Process	35
Table 13: Entitlement Matrix.....	36
Table 14: Grievance Handling Process	40
Table 15: Grievance Registration Form.....	44
Table 16: Institutional Roles and Responsibilities for Resettlement Plan.....	53
Table 17: Tentative Budget	54

LIST OF FIGURES

Figure 1: Distribution Areas of each DISCOM in Uttar Pradesh.....	3
Figure 2: Photographs of ABC Cable replacement work in progress at DVVNL	10
Figure 3: Daudpur Feeder (incomer from 33/11 kV Madanpura substation) in PVVNL	14
Figure 4: Dawar Feeder (incomer from 33/11 kV Madanpura substation) in PVVNL	15
Figure 5: Feeder No 2 (incomer from 33/11 kV Kirawli substation) in PVVNL	16
Figure 6: Feeder No. 3 (incomer from 33/11 kV Kirawli substation) in PVVNL	17
Figure 7: Khatauli Rural Feeder (incomer from 33/11 kV Khatauli Rural substation) in Saharanpur zone in DVVNL	18
Figure 8: Goana Shyam Nagar Feeder (incomer from 33/11 kV Modinagar Road Substation) in Bulandshahar Zone in DVVNL	18
Figure 9: Lohiya Nagar Substation incomer from 33/11 kV Lohiya Nagar Substation in Meerut Zone, DVVNL.....	19
Figure 10: Duhai Feeder Incomer from Aslat Nagar Substation in Ghaziabad Zone, DVVNL	19
Figure 11: Distribution of surveyed households by main source of income.....	22
Figure 12: Distribution of households across income categories (No. and %)	23
Figure 13: Chart View of Grievance Handling Process.....	40
Figure 14: MFF Project Organization Structure	45

I. EXECUTIVE SUMMARY

i. This is a draft Resettlement Plan (RP) for the proposed MFF Uttar Pradesh Power Distribution Network Rehabilitation (referred hereafter as “project”) Project. The MFF project is proposed for financing by the Asian Development Bank (ADB) and the Government of Uttar Pradesh. Uttar Pradesh Power Corporation Limited (UPPCL), the Executing Agency (EA), is a Public Sector Undertaking (PSU) which is responsible for planning and managing the power sector including transmission, distribution, and supply of electricity in Uttar Pradesh.

ii. The MFF projects, tranche one will be implemented over a three-year period. The Project is estimated to cost \$806.4 million. The Government of Uttar Pradesh through Government of India has requested ADB to provide financing in the form of an MFF with a ceiling on ADB financing of \$500 million. ADB will provide a loan through time sliced MFF¹ of \$500 million for the program to UPPCL with a first tranche of \$300 million and an indicative second tranche of \$200 million. Tranche 2 will be requested when substantial progress on disbursements has been achieved under Tranche 1.

iii. Tranche 1 of the project has been categorized as category B for environment, category B for involuntary resettlement, and category C for indigenous people based on ADB’s Safeguard Policy Statement (SPS) 2009. Tranche 2 will be categorized in due course but as a time sliced MFF the safeguard categories will likely remain as for Tranche 1.

iv. For MFF, SPS requires an Environmental Assessment and Review Framework and Resettlement Framework to ensure compliance with SPS requirements and guide subproject selection, screening and categorization, and assessment during implementation. Since the environmental and social impacts of the subprojects are anticipated to be limited, the safeguard assessment review framework (SARF) combines the requirements of both an Environmental Assessment and Review Framework and a Resettlement Framework to streamline the safeguards implementation. The SARF has been justified as resettlement impacts of the project are minor and for efficient project implementation in terms of safeguards, most of the work on the field such as screening, due diligence, consultation and grievance redressal are likely to be jointly undertaken with environment team.

v. The project’s tranche one (relevant to this RP) has two physical outputs, (a) rehabilitation of existing Low Voltage (LV) distribution network by replacing bare conductors with Aerial Bundled (AB) Cables, replacing the service wires with armoured cables and in two Distribution Companies (DISCOMs), namely, Purvanchal Vidyut Vitran Nigam Limited (PuVVNL) and Madhyanchal Vidyut Vitran Nigam Limited (MVVNL)² covering approximately 26,633 rural habitations³ using ADB loan proceeds and in 19,183 habitations in Paschimanchal Vidyut Vitran Nigam Limited (PVVNL) and Dakshinanchal Vidyut Vitran Nigam Limited (DVVNL) using counterpart funds ; and (b) installing new 11 kV distribution feeders and associated works for separation of agricultural and non-agricultural consumers in two DISCOMs, namely, PVVNL (484 feeders) and DVVNL (608 feeders). UPPCL, the EA, will be responsible for project implementation oversight while the

¹ The activities under each tranche are the same but the implementation schedule is different, thus MFF tranches are divided based on the schedule. Under this modality, there is no need to prepare another RP separately for Tranche 2 as this is only continuation of the same project.

² Given that UPPCL has fast tracked the conversion of low voltage network to AB Cables in PVVNL and DVVNL using domestic financial resources

³ The habitations to be covered are ones that are already electrified; have a population size of 1000 to 5000; and are characterized by high levels of distribution losses and high per capita power consumption.

four DISCOMs, namely, DVVNL, MVVNL, PuVVNL, and PVVNL will act as the project Implementing Agencies (IA).

vi. The replacement of low voltage conductors, service wires and installation of electricity meters (output 1) will not have any involuntary resettlement or livelihood disruption impacts as no new poles are to be erected and only the bare conductors are to be replaced with AB Cables. The feeder separation (output 2) does not cause any significant resettlement impacts but it may have some impact on private land and assets. The lines will follow mostly public area such as right of way of the existing roads with avoiding and minimizing impacts on private properties.

vii. This RP has been prepared based on field survey of the sample project components for output 2. The due diligence activities are undertaken at the sample project sites including: (a) consultation meetings held during May and June 2019 across eleven habitations in Agra district (Kirawali and Fathehpur Sikri blocks) along four feeders⁴; (b) consultation meetings held during October 2019 across eight habitations in Meerut district (across Saharanpur, Bulandshahar, Meerut and Ghaziabad zones) along four feeders⁵; (c) public consultations with beneficiaries of Government of India's SAUBHAGYA scheme⁶ and DDUGJY under which AB Cabling and feeder separation work is currently being implemented in PVVNL (Meerut Division) in May 2019, (d) secondary data analysis; and (e) survey of 251 agricultural consumers that are likely to be covered by the feeder separation works across Agra and Bulandshahar zones in DVVNL and PVVNL respectively.

viii. Transect surveys were conducted to assess the likely impact of installation of new 11 kV distribution feeders (lines) (10,981 kms. in DVVNL and 6,354 kms. in PVVNL) and associated works for separation of agricultural and non-agricultural consumers. These surveys demonstrated that there will not be significant involuntary resettlement or livelihood disruption impacts. Under Output 2 no land acquisition under law is anticipated as the new 11 kV lines are largely drawn on government land and only in very rare circumstances, due to technical reasons, the line may be drawn through private (agricultural) land. It is suggested that during planning, when it is realised that a line will be passing through private land, the DISCOMs will advise the turnkey contractors (TKCs) to work out an alternative route so as to ensure that the line doesn't pass through private land and either passes through government land or is aligned along the boundary of two agricultural plots. Under output 2 no impact is likely on households located in private land or on any structures (residential, commercial, or institutional). For new line installations, there may be some temporary impacts on crops and trees. These will be avoided, wherever possible, but may require tree trimming; when lines are installed along agricultural boundaries or if lines are drawn through private agricultural land.

ix. For the purpose of developing a budget for the RP the following assumptions have been made: (a) for tree cutting/trimming costs a sum of ₹1,000 per km. has been allocated (the total length of 11 kV line to be installed across PVVNL and DVVNL is 16,926 kms); (b) for compensation for crop loss a sum of ₹10,000 has been allocated per habitation (a total of 2,200 habitations are likely to be covered across PVVNL and DVVNL under the feeder separation output); (c) for compensation of occupation of land due to erection of poles a sum of ₹3,000 is allocated per sq. foot of agricultural land likely to be impacted. It is likely that only 2 percent of the habitations to be covered by the feeder separation works, that is 44 habitations, are likely to be

⁴ Daudpur and Dawar feeder in Fathehpur Sikri block and Feeder No. 2 and Feeder No. 3 in Kirawali block

⁵ Satedhi feeder originating from Khatauli Rural Substation in Saharanpur zone; Goana Shyam Nagar Feeder originating from Modinagar Road Substation in Bulandshahar Zone; Alipur Feeder originating from Lohiya Nagar Substation in Meerut Zone; and Duhai Feeder originating from Aslat Nagar Substation in Ghaziabad Zone

⁶ Under SUBHAGYA 7.98 million rural households have been electrified in the state since October 2017

affected due to erection of poles in private agricultural land. Further, it is assumed that 10 poles may need to be installed in agricultural fields across each of these potentially affected habitations. The final details will be available only in the MFF project, tranche 1 implementation stage.

x. At the early stage of preparation, consultation meetings were held during May, June, and October 2019, across DVVNL and PVVNL to support the preparation of this RP. The consultations in DVVNL (Agra DISCOM) were conducted across two blocks, namely, Kirawali and Fathehpur Sikri covering eleven habitations⁷ located along four feeders, namely, Daudpur and Dawar feeder⁸ in Fathehpur Sikri block and Feeder No. 2 and Feeder No. 39 in Kirawali block. In PVVNL (Meerut DISCOM) the consultations were organised across eight habitations¹⁰ located along four feeders, namely, Satedhi feeder originating from Khatauli Rural Substation in Saharanpur zone; Goana Shyam Nagar Feeder originating from Modinagar Road Substation in Bulandshahar Zone; Alipur Feeder originating from Lohiya Nagar Substation in Meerut Zone; and Duhai Feeder originating from Aslat Nagar Substation in Ghaziabad Zone. In addition, a survey of 251 agricultural consumers that are likely to be covered by the feeder separation works was also conducted across Agra and Bulandshahar zones in DVVNL and PVVNL respectively in March 2019. A total of 527 persons participated in the consultations / surveys, which included 462 men and 65 women. Women's participation was limited as there were social constraints regarding their participation.

xi. Additional consultations will be undertaken to share this draft RP, some of which will be women only meetings. A fact sheet with key MFF project information should be distributed during the meetings. During implementation, (i) IAs (DISCOMs) will consult communities, with the help of turnkey contractors (TKCs), project management agency (PMA), and their field level officials, to develop an implementation schedule in order to minimize any temporary impact, (ii) IAs (DISCOMs) will inform communities, with the help of TKCs, and PMA and their field level officials, about the project implementation/construction schedule in order to minimize the temporary impact, (iii) IAs/DISCOM will inform the Affected Persons (APs)/Affected Households (AHs) on consent to support and/or compensation to be paid for the temporary loss of crop and trees and loss of private land for erection of poles, and (iv) safeguard monitoring reports will be disclosed in the same manner as the RP. In addition to the above the IA will also put up public notice boards in villages with details of the Project. The summary of the RP, including the eligibility and entitlement, will be translated into the local language (Hindi) and will be disclosed to the APs at site level offices of EA/IAs. The draft and final RP will also be disclosed on ADB website and on the websites of UPPCL and DISCOMs.

xii. The principles adopted for addressing compensation for this MFF project (tranche one) have been guided by the existing legislation and policies of the Government of India, Government of Uttar Pradesh, UPPCL and by the involuntary resettlement policy of ADB stated in the ADB's Safeguard Policy Statement (2009). The DISCOMs and their TKCs will seek to ensure that all new 11 kV lines are drawn on government land or are aligned along the boundary of two agricultural lands (a narrow strip of land, which, generally, is not privately owned). In cases where the line needs to pass through private land it shall be the responsibility of the DISCOM through the TKC with support from PMA, to have a dialogue with the landowner and the local elected representatives (including the Panchayat members and the Sarpanch) to record the letter's

⁷ The habitations where consultations were held included Daudpur, Utto, Dabar, Sirauli, Banja Nagra, Santha, Khera Bakanda, Singarpur, Nachani, Nagla Shyuram and Mori.

⁸ Both Daudpur and Dawar Feeder are under the Madanpura Substation

⁹ Both Feeder No. 2 and 3 are under the Kirawali Substation

¹⁰ The habitations where consultations were conducted included Sathedi, Sardhan, Goana, Shyam Nagar, Hajipur, Alipur, Bhikampur and Duhai.

consent for erecting the poles in agricultural fields in the village. The TKC will have to use the prescribed formats for recording the discussions with APs and communities. The AP will not be coerced or intimidated in any way. If there is no alternative, consultations fail, and the line must pass through an APs private land, then compensation as per the entitlement matrix is to be paid. The entitlement matrix in this RP, incorporates compensation for land affected by pole installation, trees and affected by the installation of distribution feeders will be provided at replacement cost to the affected persons as per the ADB SPS 2009.

xiii. To swiftly address grievances and complaints from any potentially AHs a Project Grievance Redress Mechanism (GRM) will be established. The proposed GRM, which will handle both environmental and social grievances, includes grievance redress committees (GRCs) to be setup by UPPCL (EA) at Project (corporate) level and each DISCOM HQ (IA) to provide the means for the effective resolution of complaints and issues on each subproject. The GRCs will be convened as necessary by the UPPCL or DISCOM grievance focal point (GFP) and, in addition, include a representative of the affected person, a representative of women groups, the relevant Village Headman (Gram Pradhan), the relevant zonal or DISCOM chief engineer, a nominated divisional forest officer or equivalent for environment safeguards grievances or nominated district revenue officer as nodal officer for social safeguards grievances, and, the designated GFP of the contractor dealing with the environmental or social safeguards as applicable. The GRCs will meet as and when a major grievance (i.e. grievance which cannot be resolved at contractor or DISCOM level) arises. The GRM will not impede access to the country's judicial or administrative remedies.

xiv. Institutional Arrangements: UPPCL is the executing agency (EA) and will be responsible for MFF project implementation oversight while the four DISCOMs (DVVNL, PVVNL, MVVNL, PuVVNL) will act as the MFF project Implementing Agencies (IA). DVVNL and PVVNL will be responsible together with UPPCL for implementing this RP, as these two agencies are responsible for output 2 (installation of the 11kv distribution feeders). The main institutions that will be involved in environmental and social management activities are UPPCL as the Project executing agency and the four DISCOMs as Project implementing agencies. Three sets of consultants will provide safeguards support to UPPCL and the DISCOMs to help them implement the Project.

xv. Monitoring: Project monitoring will be the overall responsibility of the EA. Regular monitoring activities will be carried out by the DISCOMs and UPPCL to assess implementation progress of seeking approval for land from private landowners and disbursement of compensation, due, if any. Semi-annual monitoring reports on compliance with the entitlement's matrix, the status of compensation payments, consultations and grievances will be prepared on a semi-annual basis and submitted to ADB. These reports will be disclosed on the ADB website.

xvi. For rural consumers, the project will result in multiple benefits. First and foremost, the duration of supply will increase to more than 20 hours for domestic consumers and to an acceptable level (i.e. about 8-10 hours during farming season) for agricultural consumers. It is envisaged that the project will facilitate ensuring universal access to electricity and household level connections for all. Further, it is envisaged that the overall availability, capacity, safety and reliability of the network will be enhanced due to replacement of old Low Tension (LT) cables with AB Cables as the latter have immunity against external forces (including, wind, broken trees etc.). The reduction in thefts will also lead to reduction in the load on the lines thereby positively impacting transformer failure rate. There is also likely to be a reduction in/elimination of voltage fluctuations and unplanned outages. All these factors will ensure that the system performance and reliability will improve significantly thereby improving the quality of electricity supply for all rural consumers (including domestic and agricultural).

II. INTRODUCTION

A. Project Background and Rationale

1. Underinvestment in the low voltage distribution network in Uttar Pradesh over several decades combined with an increasing number of legal and illegal electricity connections have imposed a severe stress on the operational performance of the network. Overloading of the network has caused the technical losses, whilst the widespread illegal tapping of distribution wires by consumers, unmetered residential and agriculture consumers, and the inefficiency in billing and collections by Uttar Pradesh Power Corporation Limited (UPPCL) (an Uttar Pradesh government owned distribution utility company) have contributed to the high level of commercial losses.

2. The proposed Uttar Pradesh Power Distribution Network Rehabilitation Project (the Project) will provide improved electricity supply to rural areas of Uttar Pradesh state of India in a financially sustainable manner. The Project is estimated to cost \$806.4 million. The Government of Uttar Pradesh, through the Government of India, has requested the Asian Development Bank (ADB) to provide financing in the form of a large-scale project (time sliced) multitranche financing facility (MFF) with a ceiling on ADB financing of \$500 million. ADB will provide a loan through time sliced MFF of \$500 million for the program to UPPCL with a first tranche of \$300 million and an indicative second tranche of \$200 million. Tranche 2 will be requested when substantial progress on disbursements has been achieved under Tranche 1.

3. The Project will have following outputs:

- **Output 1: Electricity distribution network in rural habitations improved.** This will consist of replacement of existing bare conductors with aerial bundle conductors (ABC) in rural low voltage distribution network in approximately 46,000 rural habitations having a population of more than 1,000 in Uttar Pradesh and the Project impact areas will have a population of approximately 70 million (10.6 million households). It is expected approximately 65,000 km of distribution lines will be converted to ABC. This will improve the reliability and safety of electricity distribution and cost recovery by discouraging the illegal connections. The rural communities including women will also be trained in safe and efficient use of electricity.
- **Output 2: Systems for separating electricity distribution for agriculture consumers from residential consumers established.** Approximately 1,100 11 kV feeders having a length of 17,000 km and supplying 273,000 private tube wells (PTWs) and 2.42 million households will be separated. Separate 11 kV feeders of approximately 17,000 km will be constructed under this component to connect existing distribution transformers to residential consumers while retaining the existing 11 kV feeder for supplying the agricultural consumers. This will enable UPPCL to increase the duration of power supply to rural households from 18 hours at present to 22–24 hours and to control the supply duration to PTWs to match the seasonal requirement of water for agriculture. This is expected to reduce the wastage of electricity and groundwater by agriculture users and reduce the financial and fiscal burden of supplying electricity to unmetered PTWs.
- **Output 3. Systems for bill collection in rural areas, financial management and creating gender sensitive workplace improved.** This will be delivered through the

attached technical assistance (TA) grant. This grant will finance (i) developing and pilot testing innovative bill collection strategies involving active participation of rural women as collection agents; (ii) strengthening the financial management capacity of UPPCL and four distribution companies (DISCOMs), such as establishing and maintaining a comprehensive fixed asset register, reconciliations of receivable balances, ageing analysis and development of provisioning policy; (iii) supporting UPPCL in adopting Indian Accounting Standards and related areas; (iv) facilitating introduction of gender sensitive workplace practices improved working conditions for contractual workers with focus on female contractual workers; and (v) supporting the implementation of Financial Management Action Plan¹ to improve the corporate governance of UPPCL.

4. The project is state-wide and will be implemented under 26 turnkey contracts for ADB funded work and an additional 9 turnkey contracts for counterpart funded work, with exact details of components/activities to be undertaken still to be determined. The components/activities undertaken under each of the turnkey contracts is to constitute a subproject. The 26 contracts to be awarded under the Project for ADB funded work consist of a certain number of components/activities across 3-4 districts in each distribution zone as presented in Appendix 1 with a further district wide breakdown of both the ADB and counterpart funded works in Appendix 2. Replacement of bare conductors with ABC will take place under 13 contracts/subprojects (covering 40 districts in two DISCOMs) funded by ADB with a further 9 contracts/subprojects (covering 35 districts in two DISCOMs) funded by counterpart funds. Separation of 11 kV feeders will take place under 13 contracts/subprojects covering 35 districts of Uttar Pradesh.

5. Upon achieving the significant progress and disbursement under Tranche 1, the periodic financing request (PFR) will be submitted for Tranche 2 to complete the remaining scope of each contract. Given that a time slice approach will be used for the MFF the project is appraised upfront.

6. The executing agency will be UPPCL and it will be responsible for project implementation oversight. The four subsidiary DISCOMs of UPPCL will act as the project implementing agencies, namely, Purvanchal Vidyut Vitran Nigam Ltd (PuVVNL), Dakshinanchal Vidyut Vitran Nigam Ltd (DVVNL), Paschimanchal Vidyut Vitran Nigam Ltd (PVVNL), and Madhyanchal Vidyut Vitran Nigam Ltd (MVVNL). Figure 1 shows the jurisdiction of each DISCOM.

Figure 1: Distribution Areas of each DISCOM in Uttar Pradesh



B. Output 1 Subprojects and Construction Works

7. Under the Project, conversion of the rural low voltage distribution network to ABC will be implemented across all four DISCOMs. The loan proceeds from ADB will finance this work in two DISCOMs, namely MVVNL and PuVVNL, while counterpart funds will fund work in the remaining two DISCOMs, namely DVVNL and PUVNL. There will be 21 districts consisting of a total of 15,334 habitations in PuVVNL and 19 districts consisting of 11,299 habitations in MVVNL funded by ADB. There will be 21 districts consisting of a total of 10,932 habitations in DVVNL and 14 districts consisting of 8,251 habitations in PUVNL which will be counterpart funded.¹¹ In all there will be 32 contracts/subprojects. The output 1 Project activities by DISCOM are given in Table 1.

8. The habitations included are already electrified; have a population size of between 1,000 to 5,000; and are characterized by high levels of distribution losses and a high per capita power consumption

¹¹ Both ADB and counterpart funded components/activities included in the Project are subject to ADB's Safeguard Policy Statement (2009) requirement with all components/activities requiring safeguards screening and assessment.

Table 1: Conversion to ABC

	PuVVNL	MVVNL	DVVNL	PVVNL	Total
	ADB funded		Counterpart funded		
Number of subprojects	6	7	4	5	22
Number of Districts	21	19	21	14	75
Number of Habitations	15,334	11,299	10,932	8,251	45,816
Length to be converted to ABC (km)	10,864	21,248	14,031	19,241	65,384
Cost (₹ Million)	5,612	8,160	5,111	5,612	30,147

9. Most works under output 1 will take place within villages to convert existing bare conductors to ABC. It will generally take less than a week to complete reconductoring works in each village. Conversion to ABC will utilize existing poles emanating from existing ground or pole-mounted 11 kV/400 V transformers. Rehabilitation and replacement of old transformers is not included in the program scope. Considering nature of the work, it is likely that the components under the output 1 is categorized as C for involuntary resettlement.

C. Output 2 Subprojects and Construction Works

10. Feeder separation will be implemented across the regions of two DISCOMs, namely, PVVNL and DVVNL. Under the Project, 1,092 feeders will be separated of which 484 feeders (over 6 subprojects in 14 districts) will be in the PVVNL region and 608 (over 7 subprojects covering 21 districts) in the DVVNL region. No new substations are required, feeders will connect to existing substations which may be augmented to connect the feeders to them. The augmentation includes a control panel for the new feeder, and outdoor cabling and circuit breaker for the new feeder, no works will take place in the substation switchyard or to existing substation transformers.

11. The output 2 project activities by DISCOM are given in Table 2.

Table 2: Feeder Separation

Items to be Installed	Unit	DVVNL	PVVNL
Number of Subprojects		7	6
Construction of New 11kV Feeders			
11 kV line on 8.5 m pre-cast concrete pole with rabbit conductor	km	10,860	6,066
11 kV line on 8.5 m pre-cast concrete pole with ABC	km	-	149
11 kV underground line (to take feeders out from existing substations, and in case of railway line crossing)	km	31	139
11 kV line crossing railway line	Nos.	51	48
11 kV feeder (originating from existing substations)	Nos.	608	484
Construction of New Distribution Transformers			
100 kVA, 11/0.433 kV Distribution Transformer	Nos.	181	2,635
63 kVA, 11/0.433 kV Distribution Transformer	Nos.	336	2,592

Items to be Installed	Unit	DVVNL	PVVNL
25 kVA, 11/0.433 kV Distribution Transformer	Nos.	1,282	1,689

12. Feeder separation involves installing new 11 kV lines from existing 33 kV/11 kV substations to connect to existing 11 kV/400 V transformers supplying residential consumers. In the event the existing 11 kV/400 V transformer is supplying mixed load to households and agricultural users, a new 11 kV/400 V transformer will be installed under the project with the existing transformer retained for supplying pumps for private tube wells for agriculture. The scope of this component does not entail any replacement or rehabilitation of existing ground or pole-mounted 11 kV/400 V transformers. The feeder lines will mostly be constructed on flat terrain along the right of way of existing rural roads, but a percentage will need to cross agricultural land.

D. Safeguard Assessment and Review Framework (SARF)

13. For an MFF, ADB's Safeguard Policy Statement (2009) requires an environmental assessment and review framework, and a resettlement framework to ensure compliance with ADB's Safeguard Policy Statement (2009) requirements and guide subproject selection, screening and categorization, and assessment during implementation. Since the environmental and social impacts of the subprojects are anticipated to be limited, the safeguard assessment and review framework (SARF) combines the requirements of both the environmental assessment and review framework, and resettlement framework to streamline the safeguards implementation.

14. Given that a time slice approach will be used for the MFF, the Project is appraised upfront. This RP has been prepared including sample surveys for eight potential feeder separation subproject components/activities to be implemented by PVVNL and DVVNL. However, as the turnkey contractors will select the actual components/activities based on a long-list of villages including in their contract, per the procedures described in this SARF, the RP may need to be updated and social due diligence reports will need to be prepared for clearance by ADB before commencement of works on subproject components/activities. The DISCOMs with the support of consultants will be responsible for updating the RP and undertaking resettlement due diligence for subprojects during implementation in accordance with this SARF.

E. MFF Project Implementation Schedule

15. The Project will be implemented progressively over nine years with completion date by end 2029. Civil work for each contract will be for 5-6 years. Table 3 presents the implementation schedule.

III. SCOPE OF IMPACTS

16. This RP is based on (a) consultation meetings held during May and June 2019 across eleven habitations in Agra district across Kirawali and Fathehpur Sikri blocks along four feeders;¹² (b) consultation meetings held during October 2019 across eight habitations in Meerut district across Saharanpur, Bulandshahar, Meerut and Ghaziabad zones along four feeders;¹³ (c) public consultations held in May 2019 with beneficiaries of Government of India's SAUBHAGYA scheme¹⁴ and DDUGJY under which AB Cabling and feeder separation work is being implemented in PVVNL (Meerut Division) ; (d) secondary data analysis to understand the legal framework for resettlement at the national, state and utility (UPPCL) level as well as to map the socio economic composition and gender related variables of the rural population in Uttar Pradesh; and (e) survey of 251 agricultural consumers that are likely to be covered by the feeder separation works across Agra and Bulandshahar zones in DVVNL and PVVNL respectively.

A. Impacts for Output One: Rehabilitation of Distribution Networks

17. The scope of the output 1, is limited to (a) rehabilitation/replacement of the existing low voltage distribution network by replacing bare conductors with AB Cables (b) replacing the service wires with armored cables and (c) installing meters for unmetered connections in 15,334 habitations across PuVVNL and 11,299 habitations across MVVNL. The replacement of low voltage conductors, service wires and installation of electricity meters will not have any involuntary resettlement or livelihood disruption impacts as no new poles are to be erected and only the bare conductors are to be replaced with AB Cables, which basically bundle overhead power lines tightly together. The photographs below (**Error! Reference source not found.**) shows such work underway for replacement of low voltage conductors and service wires in DVVNL.

B. Impacts for Output 2: Installation of New 11kV Distribution Lines



Figure 2: Photographs of ABC Cable replacement work in progress at DVVNL

18. The scope of output 2 includes installation of new 11 kV distribution feeders (lines) (10,981 kms. in DVVNL and 6,354 kms. in PVVNL) and associated works for separation of agricultural and non-agricultural feeders in two DISCOMs, namely, PVVNL (434 feeders) and DVVNL (608 feeders).

19. Details of transect surveys: To assess the likely impact of output 2, transect surveys were conducted across DVVNL and PVVNL.

¹² Daudpur and Dawar feeder in Fathehpur Sikri block and Feeder No. 2 and Feeder No. 3 in Kirawali block.

¹³ Satedhi feeder originating from Khatauli Rural Substation in Saharanpur zone; Goana Shyam Nagar Feeder originating from Modinagar Road Substation in Bulandshahar Zone; Alipur Feeder originating from Lohiya Nagar Substation in Meerut Zone; and Duhai Feeder originating from Aslat Nagar Substation in Ghaziabad Zone.

¹⁴ Under SUBHAGYA 7.98 million rural households have been electrified in the state since October 2017.

- DVVNL: Four feeders namely, Daudpur and Dawar feeder¹⁵ in Fathehpur Sikri block and Feeder No. 2 and Feeder No. 3¹⁶ in Kirawali block. Community consultations were conducted in eleven habitations, located along these feeders (including Daudpur, Utto, Dabar, Sirauli, Banja Nagra, Santha, Khera Bakanda, Singarpur, Nachani, Nagla Shyuram and Mori. (*Details of the community consultations are presented in Section V*)
- PVVNL: Four feeders including Satedhi feeder originating from Khatauli Rural Substation in Saharanpur zone; Goana Shyam Nagar Feeder originating from Modinagar Road Substation in Bulandshahar Zone; Alipur Feeder originating from Lohiya Nagar Substation in Meerut Zone; and Duhai Feeder originating from Aslat Nagar Substation in Ghaziabad Zone. Community consultations were conducted in eight habitations, located along these feeders (including Sathedi, Sardhan, Goana, Shyam Nagar, Hajipur, Alipur, Bhikampur and Duhai. (*Details of the community consultations are presented in Section V*)

20. **Rationale for selection.** The feeders for the transect surveys were selected in consultation with officials of DVVNL and PVVNL DISCOMs. Based on their perspective and experience the officials believed these feeders were representative of both their DISCOM and the state (Uttar Pradesh). In both DISCOMS the feeders are passing through agricultural land as well as either passing along the village boundary or through it to present the spectrum of impacts that may be caused during installation of new 11 kV lines and associated works for separation of domestic and agricultural feeders. In addition, the villages located along the four feeders in DVVNL have a demographic and social composition which is like the state level average as per Census 2011. The gender composition is similar to the state average while the proportion of Scheduled Castes is much higher than the state average (Table 4). The feeders in PVVNL were selected to cover four of the six zones of the DISCOM.

¹⁵ Both Daudpur and Dawar Feeder are under the Madanpura Substation.

¹⁶ Both Feeder No. 2 and 3 are under the Kirawali Substation.

Table 4: Feeders and Villages Located Along the Feeders–Social Composition (Census 2011)

33/11 KV Substation	11 KV Feeders	Village	Households	Population	Male	Females	SCs
Madanpura	Daudpur	Uttoo	101	620	332	288	148
		Daudpur	426	2,702	1,463	1,239	937
	Dawar	Sirauli	282	1,737	936	801	467
		Dabar	420	2,875	1,547	1,328	780
Kirawli	Feeder no.2	Santha	423	2,797	1,459	1,338	839
		Singarpur	293	1,738	922	816	1,142
		Khera Bakanda	247	1,535	869	666	534
	Feeder no.3	Mori	90	623	330	293	8
		Nahchani	338	1,947	1,036	911	376
		Total	1,945	15,089	8,894	7,680	5,231
		% (all villages listed above)			53.66%	46.34%	31.56%
		% (Uttar Pradesh)			52.32%	47.68%	20.31%

21. Findings from transect surveys: The findings from the transect surveys are presented in Table 5.

Table 5: Transect Surveys: Sample feeder, villages, proposed interventions, and likely impact

Map #	Feeder Details	Villages	Proposed interventions	Likely Impact
DVVNL				
Map 1	Existing 11 KV Daudpur feeder (incomer from 33/11 kV Madanpura substation)	Uttoo and Daudpur	Proposed 11 kV incomer from 33/11 KV Madanpura substation—a stretch of 0.8 km new feeder will have to be laid along Bharatpur–Dholpur Road	The 0.8 km new feeder will require trimming of branches along the route. Likely to affect around 10 trees (only branches will need to be trimmed)
Map 2	Existing 11 KV Dawar feeder (incomer from 33/11 kV Madanpura substation)	Banja Nagra, Sirauli and Dabar	Proposed 11 kV incomer from 33/11 kV Madanpura substation—a stretch of 0.7 km new feeder will have to be constructed. The new feeder is proposed to be drawn in such a manner that it is aligned either along road	In village Sirauli the proposed new 11 kV feeder (0.8km new alignment) will be near some houses but is not likely to cause any damage or require shifting, as the road ROW is sufficient for installation.
Map 3	Existing 11 kV Feeder No. 2 (incomer from 33/11 kV Kirawli substation)	Villages: Santha, Singarpur and Khera Bakanda Town: Kirawli	Proposed 11 kV incomer from 33/11 kV from Kirawli substation—a stretch of 0.5 km new feeder will have to be laid within the boundary of the Kirawli town	A stretch of 0.5 km new feeder will have to be laid in the Kirawli residential area which will be in proximity to houses, however the new feeder will be aligned along existing roads for which the ROW is sufficient for installation.
Map #	Feeder Details	Villages	Proposed interventions	Likely Impact

Map 4	Existing 11 kV Feeder No. 3 (incomer from 33/11 kV Kirawli substation)	Mori, Nahchani and Nagla Shyuram	Proposed 11 kV incomer from 33/11 kV from Kirawali substation – a stretch of 0.8 km new feeder will have to be laid along road / boundary of agricultural land	In a settlement called Barauli which is located close to village Mori the new 11 kV feeder stretch of 0.8km will be in close proximity to some houses but it is not likely to cause any damage to the houses or require any shifting for the occupants; as the road ROW is sufficient for installation.
PVVNL				
Map 5	Existing 11 KV Sathedi feeder (incomer from 33/11 kV Khatauli Rural substation) in Saharanpur zone	Sathedi and Sardhan	Proposed 11 kV incomer from 33/11 KV Khatauli Rural substation – the new feeder will be drawn along the same alignment as the existing line along road or on the land which serves as agricultural boundary (which is not private)	No impact is expected (on trees, crops, or land) as the new feeder will be drawn along the same alignment as the existing line along road or on the land which serves as agricultural boundary (which is not private)
Map 6	Existing 11 KV Goana Shyam Nagar Feeder (incomer from 33/11 kV Modinagar Road Substation) in Bulandshahar Zone	Goana and Shyam Nagar	Proposed 11 kV incomer from 33/11 KV Modinagar Road Substation) – the new feeder will be drawn along the same alignment parallel to the existing feeder along the Hapur Modinagar road, Once it crosses Goana Village it will pass through some agricultural fields	For a stretch of 0.5 km. the new feeder will pass through some agricultural fields which are located between Goana and Shyam Nagar village. The standing crop may get affected for 5/6 agricultural field during implementation
Map 7	Existing 11 kV Alipur Feeder (incomer from 33/11 kV Lohiya Nagar Substation) in Meerut Zone	Hajipur and Alipur	Proposed 11 kV incomer from 33/11 KV Lohiya Nagar Substation) the new feeder will be drawn along the same alignment parallel to the existing feeder along roads, some area close to Hajipur village will have impact on standing crop	The proposed 11 kV feeder will mostly be aligned along roads. However, for less than 0.5 km. the new feeder line may cause some damage to standing crop in the neighboring 6-8 fields during implementation.
Map 8	Existing 11 kV Duhai Feeder (incomer from 33/11 kV Aslat Nagar Substation) in Ghaziabad Zone	Bhikampur and Duhai	Proposed 11 kV incomer from 33/11 KV Aslat Nagar Substation) will be aligned along the same alignment as the existing feeder	The new 11 kV feeder line will be aligned as per the existing line's alignment and it is not likely to lead to any impact on trees, crop, or agricultural land.

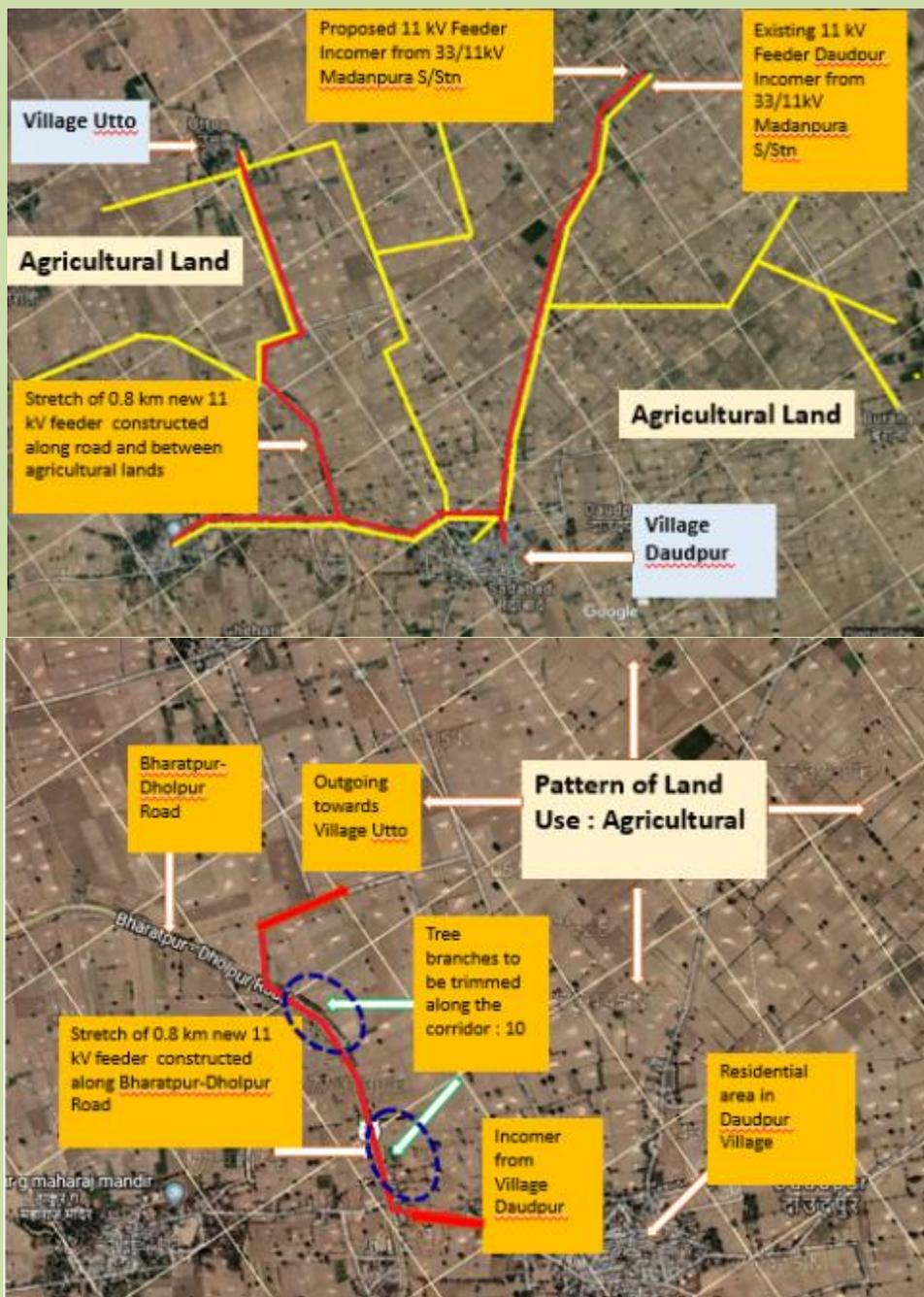


Figure 3: Daudpur Feeder (incomer from 33/11 kV Madanpura substation) in PNVNL

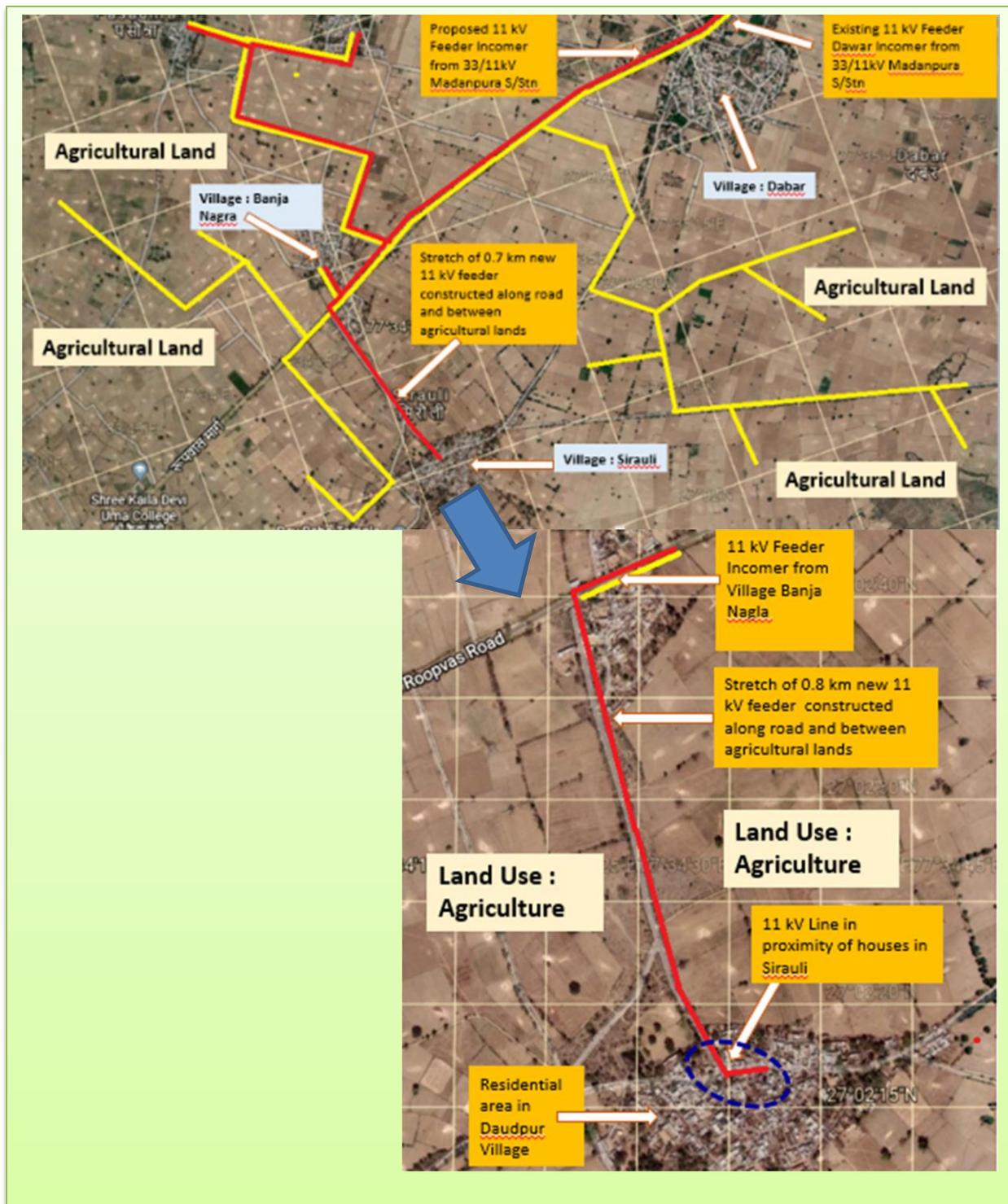


Figure 4: Dawar Feeder (incomer from 33/11 kV Madanpura substation) in PVVNL



Figure 5: Feeder No 2 (incomer from 33/11 kV Kirawli substation) in PVVNL

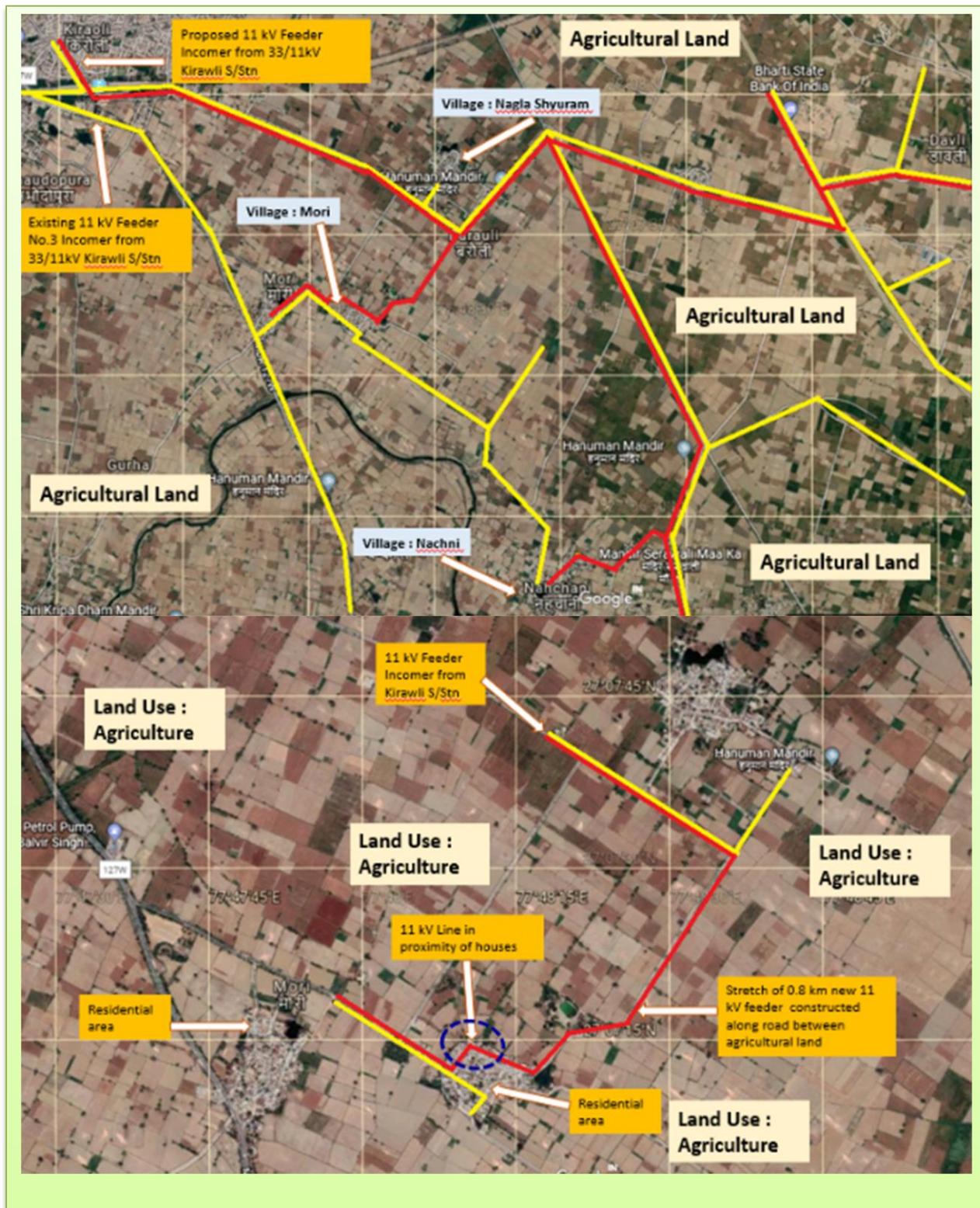


Figure 6: Feeder No. 3 (incomer from 33/11 kV Kirawli substation) in PVVNL



Figure 7: Khatauli Rural Feeder (incomer from 33/11 kV Khatauli Rural substation) in Saharanpur zone in DVVNL

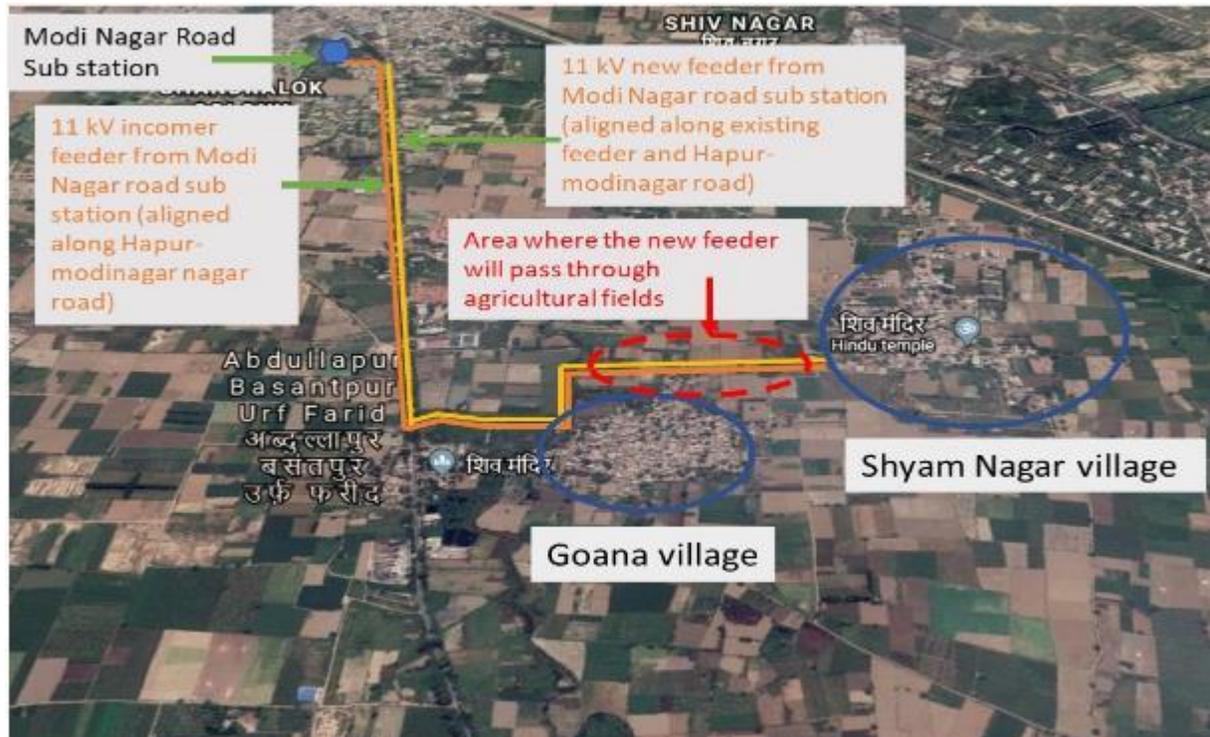


Figure 8: Goana Shyam Nagar Feeder (incomer from 33/11 kV Modinagar Road Substation) in Bulandshahar Zone in DVVNL

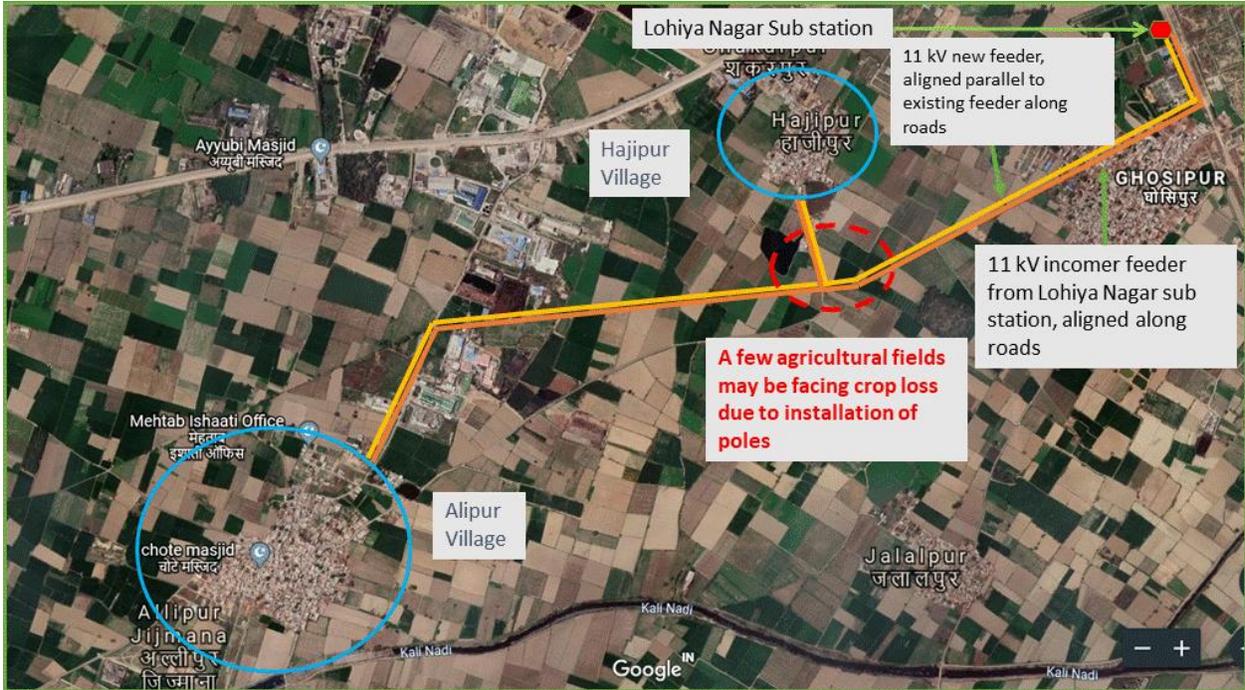


Figure 9: Lohiya Nagar Substation incomer from 33/11 kV Lohiya Nagar Substation in Meerut Zone, DVVNL



Figure 10: Duhai Feeder Incomer from Aslat Nagar Substation in Ghaziabad Zone, DVVNL

22. It is envisaged that the distribution system improvements under output 2 will not generate significant involuntary resettlement impacts. No land acquisition under law is anticipated. Installation of new 11 kV lines are generally drawn on government land and only in very rare circumstances, primarily due to technical reasons, the line may be drawn through private (agricultural) land. In similar projects, during planning, whenever it is realized that a line will be passing through private land, the DISCOMs have advised TKCs to work out an alternative route so as to ensure that the line doesn't pass through private land and either passes through government land or is aligned along the boundary of two agricultural plots. A similar process is suggested to be followed for output 2 under this MFF project tranche.

23. However, in some cases, this may not be possible, as such additional due diligence has been conducted in June and October 2019 to understand the scope of potential impacts on private land which is outlined above in Section III. a. and III b. Information presented here is based on the tentative design and should not be considered as final. While the exact alignment is not known, the information presented here is based on the preliminary plan.

24. For the purpose of developing a budget for the RP the following assumptions have been made: (a) for tree cutting / trimming costs a sum of ₹1000 per km. has been allocated (the total length of 11 kV line to be installed across PVVNL and DVVNL is 16,926 kms); (b) for compensation for crop loss a sum of ₹10,000 has been allocated per habitation (a total of 2200 habitations are likely to be covered across PVVNL and DVVNL under the feeder separation output); (c) for compensation of loss of land due to erection of poles a sum of ₹3,000 is allocated per sq. foot of agricultural land likely to be impacted. It is likely that only 2 percent of the habitations to be covered by the feeder separation works, that is 44 habitations, are likely to be affected due to erection of poles in private agricultural land. Further, it is assumed that 10 poles may need to be installed in agricultural fields across each of these potentially affected habitations.

25. **Impacts on private land.** Based on the transect surveys, it is estimated that less than two percent of the households who have private land will be affected for output 2. This impact will be due to the erection of poles in agricultural land in the rare cases where the alignment of the distribution line is such that despite attempts must pass through agricultural fields.

26. **Impacts on structures.** No impacts on any structures (residential, commercial, or institutional) are anticipated for output 2, especially given the ability to alter the feeder alignment and pole placement.

27. **Temporary impacts on crops and trees.** For new line installations under output 2, there may be some temporary impacts on crops and trees. These will be avoided, wherever possible, but may require tree trimming along the route; when lines are installed along agricultural boundaries or if lines are drawn through private agricultural land. The DISCOM, through the TKC will pay compensation, as per the Entitlement Matrix (EM) for such temporary impacts and keep a record of Affected Households (AHs) who receive payments. After civil works are completed the DISCOM (through the TKCs) will ensure any affected agricultural land is restored to its previous condition.

IV. SOCIO ECONOMIC SURVEY

28. The socio-economic profile has been prepared based on (i) analysis of secondary data available from the Census, 2011 and Socio Economic and Caste Census (SECC, 2011); and (ii) household survey, conducted in February / March 2019, covering a sample of 840 households (432 and 408 households in PuVVNL and MVVNL respectively) across 21 habitations.

29. As per Census 2011, PuVVNL had a rural population of 55.14 million (8.55 million households) of which 44 million (86%) were residing in habitations with a population of more than 1,000 people. In MVVNL of the rural population of 48.55 million (8.41 million households) 42 million (81%) were residing in habitations with a population of more than 1,000 people. The household survey covered a population of 5,168 people in 840 households. The average household size is 6 persons. While 54% (2,776) of the population covered by the household survey were male, 46% (2,392) were females. The gender of the chief wage earner (CWE) was male for 96% and female for 4% of the households.

30. As per Census 2011, other backward class (OBCs) constituted 40% of the rural population in Uttar Pradesh.¹⁷ As per the household survey 42% of the population covered (5,168 people) belonged to OBCs. As per Census 2011, 22% of the rural population residing in habitations with a population of more than 1,000 people in PuVVNL and 24% in MVVNL, belonged to scheduled castes (SCs). The proportion of SCs in the population covered by the household survey is 28% in both PuVVNL and MVVNL. In 2011, only 1.57% of the rural population residing in habitations with a population of more than 1,000 people in PuVVNL and 0.2% in MVVNL belonged to scheduled tribes (STs). In comparison the proportion of STs among the total population covered by the household survey is around 5% in both PuVVNL and MVVNL. Given that only component one of the Project, which includes replacement of low voltage conductors, service wires and installation of electricity meters will be implemented in PuVVNL and MVVNL, and it is not expected to have any involuntary resettlement or livelihood disruption impacts no impacts are expected on the SC and ST population.(Tables 10 and 11).

31. As per Census 2011, around 9% of households in PuVVNL and 7% in MVVNL were women headed households (Table 6). As per Census 2011, the overall literacy rate in the state is 67.68%, of which the male literacy stands at 77.28% while the female literacy rate is 57.18%.

Table 6: Total Population Covered by Household Survey Disaggregated by Sex And Social Groups (No. and %)

Caste	Total population	% of total population	Males	% males	Females	% females
General	1,287	24.90	698	25.14	589	24.62
OBC	2,193	42.43	1,172	42.22	1,021	42.68
SCs	1,438	27.83	781	28.13	657	27.47
STs	250	4.84	125	4.50	125	5.23
Total	5,168	100.00	2,776	53.71	2,392	46.28

Table 7: Rural Population, Households, SC and ST Population In Rural Habitations In PuVVNL and MVVNL, Census 2011

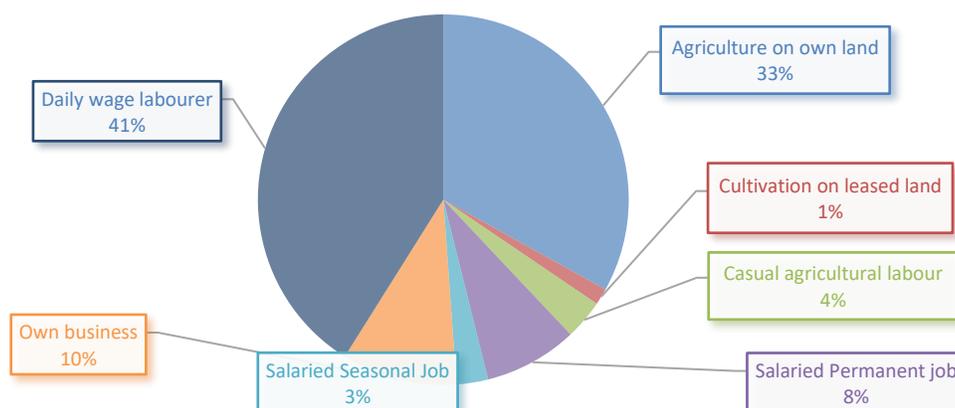
Parameters / DISCOMs	PuVVNL	MVVNL
Rural population (in Million)	55.14	48.55
Number of rural households (in Million)	8.55	8.41

¹⁷ The state has around 200 other backward class (OBC).

Total rural population in habitations with > 1000 population (in Million)	44.27	41.86
Proportion of rural population in habitations with > 1000 population (%)	80.29	86.22
SC population in habitations with over 1000 population (in Million)	9.66	10.22
SC population as a proportion of rural population residing in villages with > 1,000 population (%)	21.83	24.40
ST population in habitations with > 1,000 population (in Million)	0.69	0.08
ST population as a proportion of rural population residing in villages with > 1,000 population (%)	1.57	0.20
Women headed households in habitations with > 100 population (in Million)	0.78	0.61
% of women headed households as a proportion of rural households	9.2	7.2

32. Most of the surveyed households (41%) reported that the “main source of income” is “daily wage labour.” The other significant categories for main source of income of the households include “agriculture on own land” (33%) “own business”¹⁸ (10%) and salaried permanent job (8%). Refer to Figure 10.

Figure 11: Distribution of surveyed households by main source of income



33. While most women, across the surveyed villages, are homemakers some are also engaged in jobs outside their homes as school teachers, community development workers (including ASHA workers and *Anganwadi* workers), running entrepreneurial ventures from home (*Chikan* embroidery, pearl garlands, weaving cotton thread for sarees, packaging and catering), running shops (tailoring, stitching), etc. Most of the women are members of self-help groups (SHGs) and save ₹50 every month and borrow from their group in case of need at an interest rate of 2% per month. Further, a positive trend has been an increase in the number of girls completing their school education and seeking college education in nearby towns and cities.

¹⁸ The category of “own business” includes artisan, auto driver, betel shop, cattle rearing, contractor, cultivation on leased land, driver, electrician, embroidery hand, gardening, general merchant shopkeeper, handicraft work, handloom, juice vending, meat shop, pearl garland making, politician, potter, tuition centre, saloon, sewing machine repair shop, stitching / tailoring shop, street vendor, vegetable shop

34. A little over half of the households covered by the survey have a monthly household income of ₹5,000-10,000. While 36% of the households have a monthly income below ₹5,000 only 13% have a monthly income of more than ₹10,000 (**Error! Reference source not found.11**). The mean monthly income of households surveyed is ₹5,633.

35. A comparison of the findings from the household survey and the data available from Census 2011 shows that there have been significant improvements in the economic status of rural households during this period (2011-2019). As per the SECC (2011) majority of rural households in PUVVNL (70%) and MVVNL (77%) had a monthly income of less than ₹5,000. Further, only 22% of rural households in PuVVNL and 16% in MVVNL had a monthly income ranging from ₹5,000-10,000. Only 10 and 6% of rural households in PuVVNL and MVVNL had a monthly income of more than ₹10,000 (Table 8).

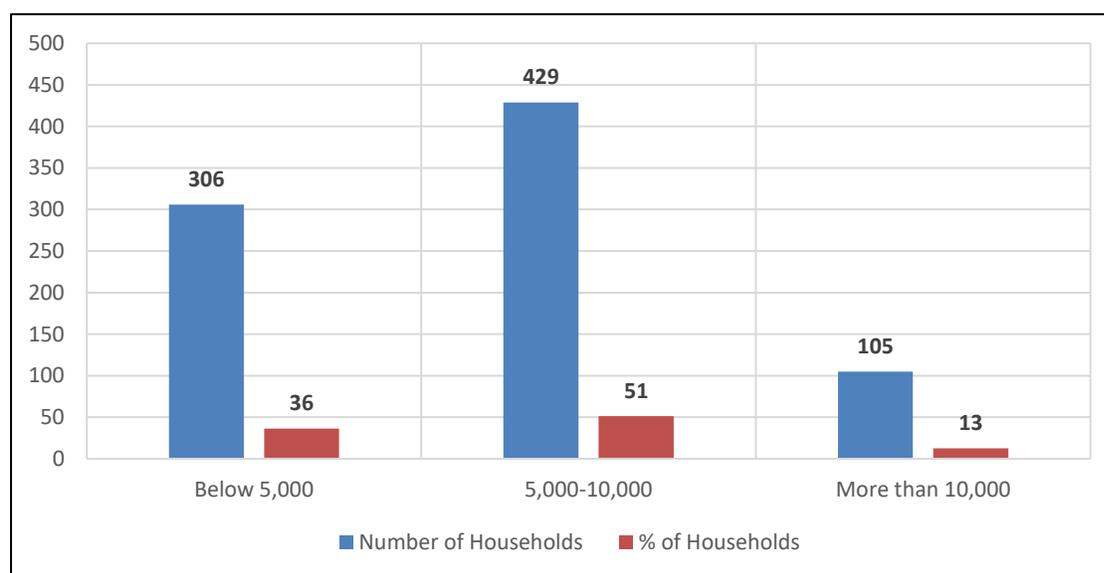


Figure 12: Distribution of households across income categories (No. and %)

Table 8: Proportion of Households Across Different Income Categories In Puvvnl and MVVNL as per SECC, 2011¹⁹

	PuVVNL	MVVNL
% of households with monthly income of less than ₹5,000 as a proportion of all rural households	70	77
% of households with monthly income of ₹5,000-10,000 as a proportion of all rural households	22	16
% of households with monthly income of more than ₹10,000 as a proportion of all rural households	10	6

36. 57% of all households surveyed across PuVVNL and MVVNL possess below poverty line²⁰ (BPL) cards (32.2% in PuVVNL and 82.8% in MVVNL).

¹⁹ Government of India. 2011. Socio-Economic Case Census 2011. <https://secc.gov.in/welcome>.

²⁰ Below poverty line in India is defined as a family earning ₹11,500 per annum.

37. All households covered by the survey have access to electricity. While 56% of households have had access to electricity for less than 3 years, 44% have had access for more than 3 years. Much of the progress related to electrification of rural households in the state has been made since 2017 under the SAUBHAGYA program.

38. All households covered by the survey are connected to the government grid and have a sanctioned load of 1 KW. A vast majority of households (93%) have metered connections. The proportion of households with metered connections is marginally higher in MVVNL (95%) as compared to PuVVNL (90%) primarily because most of the households in MVVNL have been connected for longer.

39. The principles to be adopted for addressing resettlement and compensation for loss of assets such as crops and trees in this Project have been guided by the existing legislation and policies of the Government of India and Government of Uttar Pradesh, UPPCL and by the involuntary resettlement policy of ADB stated in the ADB's Safeguard Policy Statement (2009).

V. INFORMATION, CONSULTATION AND DISCLOSURE

A. Consultations conducted during preparation

40. At an early stage of tranche one preparation, consultation meetings were held during May/June and October 2019 across DVVNL and PVVNL, to support the preparation of this RP.

41. The consultations in DVVNL (Agra DISCOM) were conducted across two blocks, namely, Kirawali and Fathehpur Sikri covering eleven habitations located along four feeders, namely, Daudpur and Dawar feeder²¹ in Fathehpur Sikri block and Feeder No. 2 and Feeder No. 3²² in Kirawali block. The habitations where consultations were held included Daudpur, Utto, Dabar, Sirauli, Banja Nagra, Santha, Khera Bakanda, Singarpur, Nachani, Nagla Shyuram and Mori. In PVVNL (Meerut DISCOM) the consultations were organised across eight habitations located along four feeders, namely, Satedhi feeder originating from Khatauli Rural Substation in Saharanpur zone; Goana Shyam Nagar Feeder originating from Modinagar Road Substation in Bulandshahar Zone; Alipur Feeder originating from Lohiya Nagar Substation in Meerut Zone; and Duhai Feeder originating from Aslat Nagar Substation in Ghaziabad Zone. The habitations where consultations were conducted included Sathedi, Sardhan, Goana, Shyam Nagar, Hajipur, Alipur, Bhikampur and Duhai. In addition, a survey of 251 agricultural consumers that are likely to be covered by the feeder separation works was also conducted across Agra and Bulandshahar zones in DVVNL and PVVNL respectively in March 2019, Table 9 9.

42. A total of 527 persons participated in the consultations / surveys, which included 462 men and 65 women. Women's participation was limited as there were social constraints regarding their participation, however during upcoming consultation activities, efforts will be made to meet separately with women's groups. Participant lists are presented in Annex 1 and Annex 2. In addition, meetings were organised with officials of DVVNL and PVVNL DISCOMs²³ and their TKCs²⁴.

²¹ Both Daudpur and Dawar Feeder are under the Madanpura Substation

²² Both Feeder No. 2 and 3 are under the Kirawali Substation

²³ Mr. Virag Bansal, Chief Engineer, PVVNL and Mr. Sanjay Gupta, Superintendent Engineer, PVVNL

²⁴ B. N. Sahu, Project Manager, L&T; Mr. Chandan Kumar, District In-charge SAUBHAGYA, L&T; Mr. Yogesh, Section In-charge DDUGJY, L&T

Table 9: Consultations and Surveys by locations, participants, and dates

Location	Male	Female	% Indigenous	Participant type	Date
District: DVVNL Block: Kirawali and Fathehpur Sikri Villages / Habitations: Daudpur, Utto, Dabar, Sirauli, Banja Nagra, Santha, Khera Bakanda, Singarpur, Nachani, Nagla Shyuram and Mori	106	9	None	Potentially Affected households	28th & 29th June 2019
District: PVVNL Zone: Saharanpur, Bulandshahar, Meerut and Ghaziabad Villages / Habitations: Sathedi, Sardhan, Goana, Shyam Nagar, Hajipur, Alipur, Bhikampur and Duhai	109	52	None	Potentially Affected households	13-15 th October 2019
DISCOM: DVVNL and PVVNL Zone: Agra (DVVNL) and Bulandshahr (PVVNL) Villages / Habitations in DVVNL: Nagar, Sahai, Mankheda, Ram Nagar, Paravati Shyamo, Angothi, Mithakur, Hazipur Khera, Pait Kheda. Villages / Habitations in PVVNL: Bajwala, Lohgara, Navi Nagar, Ponda, Acheja, Acheja Khurd, Kailavan, Salempur, Barauli Basdev, Khad Mohan Nagar	247	4	None	Potentially affected households	March 2019
Total	462	65			

B. People's perceptions, opinions, and suggested measures

43. During the consultations, interventions and their likely impacts on communities and households were shared with the participants (which included both domestic and agricultural consumers). The consultations focussed on seeking peoples' participation in preparing the RP.

44. Most of the participants of community consultations were aware about the MFF project and have witnessed implementation of similar initiatives under Government of India schemes (including SAUBHAGYA and DDUGJY) in neighbouring habitations. Some were not aware about the MFF project and thus it becomes crucial to engage with more communities during the MFF project preparation phase. Most of the participants of community consultations were supportive of the MFF project. They expressed that the MFF project would be beneficial to the community. They expressed that reliable power supply would be helpful for both domestic and agricultural users. They expressed that there will be longer supply hours for domestic consumers following the MFF project implementation. The participants identified a few issues / concerns and made suggestions which have been summarised along with the MFF project's response in Table 10.

Table 10: Key Questions & Concerns

Concerns, Questions & Suggestions	Response
Concern: Most significant concern was regarding loss of standing crops during the implementation phase. Suggestion: (a) line alignment, as far as possible, should be along the roads or the boundary of agricultural fields rather than passing through any agricultural field and (b) the	While planning the alignment of new feeder lines care will be taken to ensure that, as far as possible, the alignment will be maintained along roads, or the

<p>implementation (erection of poles and changing of lines) should be undertaken when the fields are empty i.e., when the fields do not have standing crop.</p>	<p>boundary of agricultural fields rather than through any agricultural field. The implementation schedule shall be planned in such a way that as far as possible the field should not have any standing crop during implementation</p>
<p>Concern: Loss of land for erection of new poles during implementation phase. Suggestion: (a) line alignment, as far as possible, should be along the boundary of agricultural fields rather than passing through any agricultural field</p>	<p>While planning the alignment of new feeder lines care will be taken to ensure that, as far as possible, the alignment will be maintained along roads, or the boundary of agricultural fields rather than through any agricultural field.</p>
<p>Concern: None of the communities were willing to volunteer or donate land for poles and lines and were of the view that the loss of land and/or crops should be compensated. Some people felt that since the MFF project is for the overall development of the area / community and the land area required for erecting poles is very small there is no need for compensation. Suggestion: The communities felt that the compensation should be based on the existing laws and rules and should be made in cash.</p>	<p>The MFF project will ensure that compensation is provided to APs and they are adequately compensated for loss of land and / or crops as per the Entitlement Matrix in such cases.</p>
<p>Concern: The feeder separation will result in fewer hours (10 hours) of supply as compared to the present (16-18 hours) for agricultural consumers. Most of the farmers irrigate their fields at night (as they are busy with other jobs during the day and evaporation loss is less at night) and were concerned that if the supply is for 10 hours during day time it would not serve their purpose. Suggestion: The supply hours for agricultural consumers should be during evening or night times. The supply hours should be fixed so that the farmers can plan their schedules accordingly as they have other responsibilities as well including taking care of animals or other jobs.</p>	<p>The MFF project will ensure that the supply hours are decided in consultation with the communities and that they are fixed to enable the farmers to plan their schedule in advance.</p>

45. Additional information dissemination will be required to share the summary of the draft RP. It is suggested that public meetings be organised by the IA (the respective DISCOMs) with help of the TKCs in areas where new 11 kV lines are to be installed and the draft RP be presented there. The public meetings should focus on the likely impacts of the MFF project (both positive and negative). The public meetings must be attended by both men and women and domestic consumers as well as agricultural consumers. Additional meetings with women only groups will be undertaken at this time. A fact sheet with key MFF project information will be distributed during the meetings.

C. Consultations to be conducted during Tranche One implementation stage

46. Consultation process will be carried out throughout the tranche one MFF project cycle. Various consultation measures are envisaged for tranche one including; (i) IAs (DISCOMs) will consult communities, with the help of TKCs and their field level officials, to develop a implementation schedule in order to minimize the temporary impact, (ii) IAs (DISCOMs) will inform communities, with the help of TKCs and their field level officials, about the implementation/construction schedule in order to minimize the temporary impact, (iii) IAs/DISCOM will inform the Affected Persons (APs)/Affected Households (AHs) on

consent to support and/or compensation to be paid for the temporary loss of crop and trees, and (iv) all monitoring reports will be disclosed in the same manner as the RP. The TKC will ensure that an information board is placed at residential installation locations with information on the MFF project, work times, contact details and the grievance redress mechanism. The primary responsibility of conducting public / community consultations rests with the IAs. The IAs with the help of the TKC will be responsible for conducting and recording these consultations.

D. Disclosure

47. MFF project information will be disseminated through disclosure of RP. The summary of the RP, including the eligibility and entitlement, will be translated into the local language (Hindi) and will be disclosed to the APs at site level offices of EA/IAs. The draft and final RP will also be disclosed on ADB website and on the websites of UPPCL and DISCOMs. Semi-annual Monitoring Reports will be disclosed on ADBs website.

VI. LEGAL FRAMEWORK

48. The relevant legislations include the Indian Electricity Act (2003), UPPCL Environment and Social Policy and ADB's Safeguard Policy Statement (2009). The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act (2013), does not apply for this Project, as there will be no land acquisition for the laying of new 11kv poles.

A. Applied Policies

49. **The Indian Electricity Act, 2003 (Central Act 36 of 2003).** The act consolidates the laws relating to generation, transmission, distribution, trading and use of electricity and for matters connected therewith or incidental thereto.

- (i) Sec 164 empowers the appropriate Government to confer on any Authority or person engaged in the business of supplying electricity under the Act, any of the powers which the Telegraph Authority possesses under the Telegraph Act with respect to the placing of telephonic lines or posts for the purpose of a telephone established or maintained by the Government or to be so established or maintained.

50. **UPPCL Environment and Social Policy:** The UPPCL aims to resettle and rehabilitate the persons affected by its distribution projects in a manner that they do not suffer adversely. UPPCL announced a strengthened policy focusing on distribution system as of 23 July 2020. The following policy on environmental and social sustainability will be implemented by the UPPCL and DISCOMs while designing and implementing the Project.

- Ensure transparency of the project to all stakeholders through dissemination of information and consultation at every stages of project implementation.
- Maintain the highest standards of social and environmental responsibility not only towards its employees but also to the consumers and the community as well.
- Minimize ecological impacts on environment, land, and flora/fauna through progressive policies like consciously economizing on the requirement of the land.
- Avoid operations in environmentally sensitive areas with special respect for fragile ecosystems and their inherent biodiversity.
- Avoid areas like high mountains, hilly terrain prone to landslides, large lakes, reservoirs, marshy places, human habitations, and reserve forest.

- Avoid routes through areas of cultural or historical importance, religious places. Care is taken to route the lines through a path of minimum disturbance.
- Avoid protected area such as sanctuaries, national parks, and habitats of important species.
- ROW is selected duly considering the location of telecommunication lines and railway circuits to avoid electrical interference due to mutual induction.
- Adoption of best technology / latest equipment to abate pollution.
- Minimize energy losses and promote energy efficiency in all its activities.

51. The features and aspects of the previous policy which covered both transmission and distribution systems are still valid if applicable to the projects. The targeted support to vulnerable groups is only triggered when there is land acquisition, thus will not be triggered for the MFF program so long as there is no land acquisition.

- (i) Loss of Privately-owned Land: The lost land will be compensated at replacement value. Wherever people lose more than 25% of holding; or remaining land holding becomes less than one standard hectare; of lands belonging to vulnerable groups, they will be offered land for land option and also be given rehabilitation grant equivalent to 750 days of minimum agricultural wages.
- (ii) Loss of House and Other Assets: The loss of house, house annexure, wells and any other structure will be compensated at replacement value which will be calculated based on the Public Works Department's basic schedule rates applicable for new construction without deducting the depreciation value. Wherever there are more than 25 households then alternative resettlement sites will be developed with adequate basic infrastructure and utilities.
- (iii) Squatters and Encroachers: Squatters and encroachers are generally not entitled legal compensation under Land Acquisition Act. however, to prevent them from further impoverishment and to improve their living standards the project will give certain targeted support and assistance to the squatters falling under vulnerable category.
- (iv) Loss of Access to Common Properties: The loss of access to common properties such as wells, grazing lands, worship places etc. will be replaced in the adjacent areas.
- (v) Targeted Support to Vulnerable Groups: For affected women members, it is proposed to register the allotted house site or agricultural land in the joint name of the Affected Person and his/her spouse. Any award of cash grant should also be given in the joint name of the Affected Person and his/her spouse. Other measures for women include giving transition allowance-equivalent to 20 days of minimum agricultural wages per month for six months-to women headed households of all categories, extending assistance in utilizing the government schemes on women development. These additional assistance measures are over and above the normal measures proposed for Affected Persons of any gender under Entitlement Framework. Indigenous People's Development Plans (IPDP) are to be prepared in the case of acquisition of any loss from the tribal population where their number is large for UPPCL projects. The tribal being socially cohesive groups, it is essential that they should be rehabilitated in surroundings, which are like the area from which they are displaced.

52. **ADB Safeguard Policy Statement.** The objectives of ADB's Safeguard Policy Statement (2009) regarding involuntary resettlement are:

- (i) to avoid involuntary resettlement wherever possible;
- (ii) to minimize involuntary resettlement by exploring project and design alternatives;
- (iii) to enhance, or at least restore, the livelihoods of all displaced persons in real terms relative to pre-project levels; and
- (iv) to improve the standards of living of the displaced poor and other vulnerable groups.

53. ADB's Safeguard Policy Statement (2009) covers physical displacement (relocation, loss of residential land, or loss of shelter) and economic displacement (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. It covers displaced persons whether such losses and involuntary restrictions are full or partial, permanent, or temporary.

54. The three important elements of ADB's Safeguard Policy Statement (2009) are (i) compensation at replacement cost for lost assets, livelihood, and income prior to displacement; (ii) assistance for relocation, including provision of relocation sites with appropriate facilities and services; and (iii) assistance for rehabilitation to achieve at least the same level of well-being with the project as without it. The Safeguard Policy Statement gives special attention to poor and vulnerable households to ensure their improved well-being because of project interventions.

B. Policy Framework Gaps and Provisions

55. Given that the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act (2013) does not apply for this Project, the provisions of the Environment and Social Policy of UPPCL and ADB's Safeguard Policy Statement (2009) will apply which provide that any land lost will be compensated at replacement value. While significant impacts are not anticipated for the MFF, in the event of any loss of house, house annexure, wells and any other structure, these will be compensated at replacement value which will be calculated based on the Public Works Department's basic schedule rates applicable for new construction without deducting the depreciation value. Compensation for each potential impact category is outlined in Section IX, to fully align with ADB's Safeguard Policy Statement (2009). Further, as per the Environment and Social Policy of UPPCL, there are no regulatory requirements for preparation of an RP or its disclosure, nor consultation or a specific grievance redress mechanism. To meet these gaps, this document has been prepared and will be disclosed, consultation will continue to be undertaken throughout the Project and a GRM will be established.

56. Table 11 presents the gaps analysis between national/ state laws and regulations and ADB's Safeguard Policy Statement (2009) provisions.

Table 11: Comparison of Involuntary Resettlement Requirements of ADB and Government of India

Project Stage	ADB	Government of India	Gaps for the Project
Screening and categorization	<ul style="list-style-type: none"> Screen the project early on to identify past, present, and future involuntary resettlement impacts and risks. Assigns categories based on potential impacts. 	<ul style="list-style-type: none"> The electricity Act-2003 and The Indian Telegraph Act, 1885 do not refer to such policy principles. 	<ul style="list-style-type: none"> Forms and template for screening and due diligence activities are developed and included in Appendices.
Meaningful Consultation	<ul style="list-style-type: none"> Carry out meaningful consultations with affected persons, host communities, and concerned non-government organizations (NGOs). 	<ul style="list-style-type: none"> The electricity Act-2003 and The Indian Telegraph Act, 1885 do not refer to such policy principles. 	<ul style="list-style-type: none"> Consultation forms are developed and included in Appendix 8.
Grievance redress Mechanism	<ul style="list-style-type: none"> Establish a grievance redress mechanism to receive and facilitate resolution of the affected persons' concerns. 	<ul style="list-style-type: none"> The electricity Act-2003 and The Indian Telegraph Act, 1885 do not refer to such policy principles. 	<ul style="list-style-type: none"> A culturally appropriate GRM is to be established to address program related grievances.
Preparation and disclosure of RP	<ul style="list-style-type: none"> Prepare a RP elaborating on displaced persons' entitlements, the income and livelihood restoration strategy, institutional arrangements, monitoring and reporting framework, budget, and time-bound implementation schedule Disclose a draft RP, 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 affected persons and other stakeholders. 	<ul style="list-style-type: none"> Not specified. 	<ul style="list-style-type: none"> RP has been prepared and will be disclosed.
Negotiated Settlement	<ul style="list-style-type: none"> The borrower will engage an independent external party to document the 	<ul style="list-style-type: none"> The electricity Act-2003 and The Indian Telegraph Act, 1885 	<ul style="list-style-type: none"> A format for "consent to support" is developed to keep records for negotiated settlement,

Project Stage	ADB	Government of India	Gaps for the Project
	<p>negotiation and settlement processes.</p> <ul style="list-style-type: none"> • The borrower will agree with ADB on consultation processes, applicable policies, and laws; third-party validation; mechanisms for calculating the replacement costs of land and other assets affected; and record-keeping requirements. • For voluntary donation²⁵, due diligence is needed to: (i) verify that the donation is in fact voluntary and did not result from coercion, using verbal and written records and confirmation through an independent third party; (ii) ensure that voluntary donations do not severely affect the living standards of affected persons and benefit them directly; and (iii) in case of failure of negotiation there will be no acquisition. 	<p>do not refer to such policy principles.</p> <ul style="list-style-type: none"> • The state act has provision for direct purchase with transparent verification procedure. 	<p>voluntary donation, and third-party acknowledgement.</p> <ul style="list-style-type: none"> • The process is transparency and no coercion are to be ensured.
Compensation payment	<ul style="list-style-type: none"> • Pay compensation and provide other resettlement entitlements before physical or economic displacement. Implement the RP under close supervision throughout project implementation. 	<ul style="list-style-type: none"> • Not specified. 	<ul style="list-style-type: none"> • In case compensation is requested, it will be provided before any displacement.
Monitoring	<ul style="list-style-type: none"> • Monitor and assess resettlement outcomes, their impacts on the standards of living of 	<ul style="list-style-type: none"> • Not specified. 	<ul style="list-style-type: none"> • Monitoring reports are to be prepared semi-annually and disclosed.

²⁵ Voluntary donation is not directly covered under ADB SPS but by ADB good practices.

Project Stage	ADB	Government of India	Gaps for the Project
	<p>displaced persons, and whether the objectives of the RP have been achieved by considering the baseline conditions and the results of resettlement monitoring. Disclose monitoring reports.</p>		
Non-title holders	<ul style="list-style-type: none"> 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 nonland assets. 	<ul style="list-style-type: none"> They are generally not entitled legal compensation under Land Acquisition Act. However, targeted support and assistance to the squatters falling under vulnerable category are given. 	<ul style="list-style-type: none"> Non-titled persons are entitled to compensation for the losses of non-land assets.
Vulnerability	<ul style="list-style-type: none"> 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, 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 nonland assets. 	<ul style="list-style-type: none"> Affected women Any award of cash grant should also be given in the joint name of the Affected Person and his/her spouse. Other measures for women include giving transition allowance-equivalent to 20 days of minimum agricultural wages per month for six months-to women headed households of all categories, extending assistance in utilizing the government schemes on women development. 	<ul style="list-style-type: none"> Vulnerable people are (i) below poverty line (BPL) as per the state poverty line; (ii) female or minor (under 18 years) or elder (above 60 year) or differently abled persons headed; (iii) scheduled caste or tribe; and households who are landless; and (vi) who are without legal title to land. The vulnerable status for persons without legal title is determined based on the socioeconomic profile. In case of compensation is requested, then it will be given commensurate to the impacts on non-land assets.

VII. MITIGATION MEASURES AND ENTITLEMENT MATRIX

A. Anticipated Impacts and Eligibility Criteria

57. **Anticipated Impacts from Output 1.** The scope of component one, is limited to (i) rehabilitation/replacement of the existing low voltage distribution network by replacing bare conductors with aerial bundled (AB) cables; and (ii) replacing the service wires with armoured cables. The replacement of low voltage conductors, service wires will not have any involuntary resettlement or livelihood disruption impacts as no new poles are to be erected and only the bare conductors are to be replaced with AB cables, which basically bundle overhead power lines tightly together.

58. **Anticipated Impacts from Output 2.** It is envisaged that the distribution system improvements under component two will not include involuntary resettlement impacts that are not deemed significant. No land acquisition under law is anticipated. Installation of new 11 kV lines are generally drawn on government land (i.e. along public roads) and only in very rare circumstances, primarily due to technical reasons, the line may be drawn through private (agricultural) land. In similar subprojects, during planning, whenever it is realised that a line will be passing through private land, the DISCOMs have advised turn key contractors (TKCs) to work out an alternative route so as to ensure that the line does not pass through private land and either passes through government land or is aligned along the boundary of two agricultural plots. A similar process is suggested to be followed for component two under this Project. However, in some cases, this may not be possible, as such additional due diligence has been conducted in June and October 2019 to understand the scope of potential impacts on private land which is outlined above in Section IV.a. and IV.b. Information presented here was based on the tentative design and should not be considered as final. While the exact alignment is not known, the information presented here is based on the preliminary plan.

59. For the purpose of developing a budget for the RP the following assumptions have been made (i) for tree cutting/trimming costs a sum of ₹1000 per km. has been allocated (the total length of 11 kV line to be installed across PVVNL and DVVNL is 16,926 kms); (ii) for compensation for crop loss a sum of ₹10,000 has been allocated per habitation (a total of 2,200 habitations are likely to be covered across PVVNL and DVVNL under the feeder separation component); and (iii) for compensation of loss of land due to erection of poles a sum of ₹3,000 is allocated per sq. foot of agricultural land likely to be impacted. It is estimated that 2% of the habitations to be covered by the feeder separation works based on the sample, that is 44 habitations are likely to be affected due to erection of poles in private agricultural land and 10 poles are erected at each habitat.

- **Impacts on Private Land:** Based on the transect surveys, it is estimated that none of the households who have private land will be affected for component two of the Project.
- **Impacts on Structures:** No impacts on any structures (residential, commercial, or institutional) are anticipated for component two of the Project, especially given the ability to alter the feeder alignment and pole placement.
- **Temporary Impacts on Crops and Trees:** For new line installations under component two of the Project, there may be some temporary impacts on crops and trees. These will be avoided, wherever possible, but may require tree trimming in the right of way; when lines are installed along agricultural boundaries or if lines are drawn through private agricultural land. The DISCOM, through TKC will pay compensation, as per the entitlement matrix (EM) for such temporary impacts and keep a record of affected households (AHs)

who receive payments. After civil works are completed the DISCOM (through the TKCs) will ensure any affected agricultural land is restored to its previous condition.

B. Subproject Component Eligibility Criteria

60. The following subproject component eligibility criteria will be applied for the selection of components by turnkey contractors:

- (i) All components involving activities included in the ADB Prohibited Investment Activities List (list provided in Appendix 5) must be excluded from the Project,
- (ii) All Involuntary Resettlement Category A subproject components should be excluded from the Project.²⁶
- (iii) All Indigenous Peoples Category A and B subproject components (e.g. expected to have any impacts on Indigenous Peoples) shall be excluded from the Project.
- (iv) The private land and assets will be avoided as much as possible. Right of ways of existing roads, and vacant government land will be explored first for erecting poles and installing lines. If there are any interference into private land and assets, the procedure of consent to support and/or compensation should be followed.
- (v) The augmentation work will be undertaken within the existing premises of the current substations, and government land available which are free from informal settlers. No compulsory land acquisition will be adopted for any proposed augmentation work.
- (vi) There will be no new substations, thus land acquisition for new substations is not required under the project.

C. Screening and Categorization

61. Social screening and categorization will be conducted utilizing the checklists (environment, involuntary resettlement, and indigenous people) presented in Appendix 5. On confirmation of subproject components/activities for inclusion in the Project, UPPCL will submit the completed checklists to ADB, one consolidated checklist per subproject, covering all components/activities to be included in that subproject and make a recommendation for the proposed environment, involuntary resettlement, and indigenous peoples categorizations for concurrence by ADB. A consolidated categorization for each Division will be submitted to ADB based on the component level screening forms prepared. The contract will commence work after ADB approval of consolidated categorization form at Division level.

62. The project has minor resettlement impact as it is a distribution intervention of converting to ABC and separating 11 kV feeders without any new substations. The project does not require any land acquisition as all work will be done within the premises of existing substations and distribution lines will mostly follow existing road or vacant government or public areas, thus most of the subproject categories are expected to be either C (including all ABC subprojects) or B for resettlement. If a subproject component/activity is found to be resettlement Category A, then the component/activity will not be eligible for further consideration under the Project.

²⁶ Category A triggered 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).

D. Measures to avoid and reduce project impacts

63. The DISCOMs and its TKCs with support from PMAs will seek to ensure that all new 11 kV lines are drawn on government and/or public land (scenario 1).

64. During planning, when it is realized that a line will have to pass through private land, the DISCOMs and TKCs needs to, as a first option, “work out an alternative route so as to ensure that the line doesn’t pass through private land and passes either through government land or is aligned along the boundary of two agricultural lands.”

65. In cases where the line needs to pass through private land (scenario 2), it shall be the responsibility of the DISCOMs TKCs with support from PMAs to conduct due diligence (attached as Appendix 7) and have a dialogue with the affected persons and village sarpanch (headman/woman) and to record his/her consent for erecting the poles in his village. The DISCOMs and TKCs with support from PMAs will have to use the prescribed formats for recording the discussions with and consents from the affected persons, and village headman/woman (Sarpanch) (attached as Appendix 8). The affected persons will not be coerced or intimidated in any way.

66. If there is no alternative, consultations fail, and the line must pass through an affected persons agricultural land, then compensation as per the entitlement matrix is to be paid.

67. Table 12 summarises two emerging scenarios from the point of view of impact on land while laying new 11 kV distribution lines, each of which will require a different process.

Table 12: Scenario Details and Required Process

Scenario	Details (location of poles)	Required Process
Scenario 1	Poles erected on government land along the roads or Poles erected on land along the boundary of two agricultural fields (these narrow strips of land are not privately owned)	Record of land ownership is to be collected and kept by the DISCOMs, PMAs and TKCs to demonstrate that the land is owned by government or public entities.
Scenario 2	Poles erected on private land	If an alternative route is not possible, then discussions on consent to support with the affected persons are required. The DISCOMs, PMAs and TKCs must complete (a) the social due diligence report (SDDR) attached as Appendix 7; and (b) consultation and consent to support checklist as per the format attached as Appendix 8. In the event that the affected person is not willing to donate and there is no alternative route then compensation as per the entitlement matrix is required.

E. Compensation/Income Restoration

68. Resettlement impact will be avoided and/or minimized, however, if there are any impacts on private assets based on the screening result such as erecting poles and/or cutting of trees on private land, social due diligence will be undertaken by the DISCOM and contractor to seek consents to support. For losses which are unavoidable and unacceptable to the owners of the

assets, compensation will be given to commensurate to the impacts in accordance with the RP. The social due diligence result and compensation details will be documented in a Social Due Diligence Report (SDRR) using the format developed for the Project in Appendix 7. The SDDR should be submitted by the DISCOMs to ADB for review and clearance prior to the commencement of construction works it relates to.

69. The Entitlement Matrix (Table 13) summarizes the main types of losses and the corresponding entitlements in accordance with ADB's Safeguard Policy Statement (2009) and UPPCL's Environment and Social Policy.

Table 13: Entitlement Matrix

	Type of Loss	Affected Persons/ Institutions	Entitlement	Details	Responsibility
1	Private land for 11kV pole installation	Legal titleholders	Consent for pole erection	<ul style="list-style-type: none"> The poles and lines will follow existing roads or vacant public area or government If there is any interruption to private land, consultation and prior consent will be sought with 3rd party signature. For impact unavoidable and unacceptable to the owners of assets, compensation will be provided at replacement cost²⁷ 	<ul style="list-style-type: none"> DISCOMs and TKC
2	Trees	All affected households (titled holders and non-titled holders)	Compensation at market value/ replacement cost	<ul style="list-style-type: none"> Compensation at replacement cost to be computed with assistance of horticulture department. In case of cutting trees, for fruit bearing trees compensation at average fruit production for next productive years to be computed at market value. In case of cutting trees, or timber trees compensation at market value based on type of trees and 	<ul style="list-style-type: none"> DISCOMs and TKC

²⁷ The rate of compensation for acquired housing, land and other assets will be calculated at full replacement costs. The calculation of full replacement cost will be based on the following elements: (i) fair market value; (ii) transaction costs; (iii) interest accrued, (iv) transitional and restoration costs; and (v) other applicable payments, if any.

	Type of Loss	Affected Persons/ Institutions	Entitlement	Details	Responsibility
				timber will be retained by the owner.	
3	Crops and other agricultural assets	All affected households (titled holders, sharecroppers, lease holders and non-titled households)	Compensation at market value/ replacement cost	<ul style="list-style-type: none"> • Compensation at market value to be computed with assistance of agriculture department. • Advance notice to Affected Persons to harvest crops. • In case of standing crops, cash compensation at market value to be calculated of mature crops based on average production. 	<ul style="list-style-type: none"> • DISCOMs and TKC
4	Damages to structures	Legal titleholders, non-titleholders, tenants	Repair damages or provided cash compensation to repair damages.	<ul style="list-style-type: none"> • Compensation for repair of structures at replacement cost. • Cash assistance at market rate for shifting, registration and other charges, if any. 	<ul style="list-style-type: none"> • DISCOMs and TKC
5	Vulnerable households	(i) below poverty line (BPL) as per the state poverty line; (ii) female or minor (under 18 years) or elder (above 60 year) or differently abled persons headed; (iii) scheduled caste or tribe; and households who are landless; and (vi) who are without legal title to land. The vulnerable status for persons without legal	In kind support	<ul style="list-style-type: none"> • Extending assistance in utilising the government schemes for vulnerable households. 	<ul style="list-style-type: none"> • DISCOMs and TKC

	Type of Loss	Affected Persons/ Institutions	Entitlement	Details	Responsibility
		title is determined based on the socioeconomic profile.			
6	Unforeseen impacts	Other unforeseen impacts related to loss of assets or livelihood not previously identified.	Compensation at replacement cost commensurate to the impacts	<ul style="list-style-type: none"> Unforeseen impacts should be documented and mitigative measures must be proposed within the overall principles and provisions of Entitlement Matrix, the Legal Framework in Chapter VII and the ADB's Safeguard Policy Statement 2009. 	<ul style="list-style-type: none"> DISCOMs and TKC

VIII. GRIEVANCE REDRESS MECHANISM

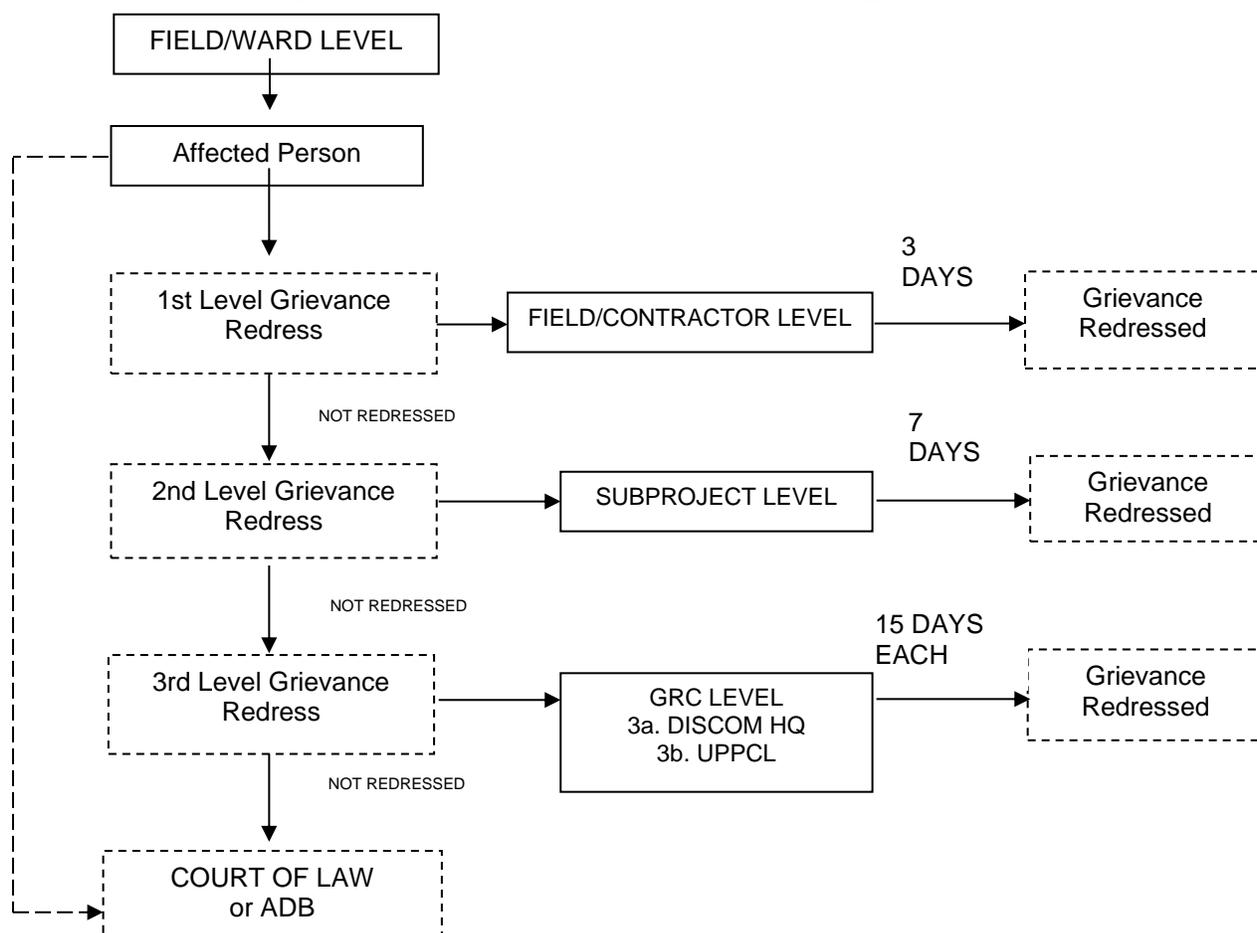
70. GRM can be an effective tool for early identification and resolution of complaints on subprojects. Under the Project, it is required that an efficient consultation and grievance redress mechanism be established to assist affected persons to resolve queries and complaints, if any, in a timely manner. The guidelines on GRM will be applied at project and subproject level to assure that adequate resources are made available for the Project GRM to function effectively.

71. ADB's Safeguard Policy Statement (2009) requires the establishment of a responsive, readily accessible, and culturally appropriate GRM capable of receiving and facilitating the resolution of affected persons' concerns and grievances about the physical, social, and economic impacts of the Project. The GRM aims to (i) reduce conflict, risk of undue delay and complication in Project implementation; (ii) improve the quality of Project activities and outputs; (iii) ensure that the rights of affected persons are respected; (iv) help identify and respond to unintended impacts of Project on individuals; and (v) maximize participation, support and benefits to local communities. The proposed GRM for the Project is presented in Table 14 and Figure 12.

72. The proposed GRM, which will handle both environmental and social grievances, includes grievance redress committees (GRCs) to be setup by UPPCL (EA) at Project (corporate) level and each DISCOM HQ (IA) to provide the means for the effective resolution of complaints and issues on each subproject. The GRCs will be convened as necessary by the UPPCL or DISCOM grievance focal point (GFP) and, in addition, include a representative of the affected person, a representative of women groups, the relevant Village Headman (Gram Pradhan), the relevant zonal or DISCOM chief engineer, a nominated divisional forest officer or equivalent for environment safeguards grievances or nominated district revenue officer as nodal officer for social safeguards grievances, and, the designated GFP of the contractor dealing with the environmental or social safeguards as applicable. The GRCs will meet as and when a major grievance (i.e. grievance which cannot be resolved at contractor or DISCOM level) arises.

73. The fundamental objectives of the GRM are:

- (i) To reach mutually agreed solutions satisfactory to both, the project, and the affected persons, and to resolve any Project-related grievance locally, in consultation with the aggrieved parties;
- (ii) To facilitate the smooth implementation of the EMPs and RP and resolution of compensations and prevent delay in subproject implementation;
- (iii) To democratize the development process at the local level, while maintaining transparency as well as to establish accountability to the affected people;
- (iv) To facilitate an effective dialogue and open communication between the Project and affected persons; and
- (v) To have clear definition of roles and responsibilities of the various parties involved in consideration and resolution of grievances.

Figure 13: Chart View of Grievance Handling Process**Table 14: Grievance Handling Process**

Level	Name of Level	Description	Time frame ²⁸
1	Field level (by contractor and DISCOM field officials)	<p>One Grievance Focal Person (GFP) will be assigned by each contractor and the DISCOM to receive and handle grievances. Complaints can be registered by contractor or directly to DISCOM.</p> <p>Contractor's GFP should receive the complaint (written or verbal) and provide acknowledgement letter to the complainer within 3 days after receipt of the complaint.</p> <p>Contractor's GFP should maintain data of Grievance Logbook and submit/update all necessary data related to the registered grievances to the DISCOM's GFP on a weekly basis.</p> <p>Upon resolution the Contractor's GFP should convey the solution to the affected person and seek their concurrence (written or verbal) that it is acceptable</p>	3 working days

²⁸ The health and safety issues and ongoing issues which pose a life-and-death risk shall be resolved immediately on receipt.

Level	Name of Level	Description	Time frame ²⁸
		<p>to them.</p> <p>If the grievance cannot be solved within 3 working days, then Contractor's GFP should submit information to the next level (DISCOM GFP at subproject level) and provide updated information to the complainant regarding the grievance resolution process being followed.</p>	
2	MFF subproject level (DISCOM GFP)	<p>The DISCOM GFP for each subproject should review the grievance with the support of the environment and social safeguards officers and resolve it within 7 working days.</p> <p>If the case is complex and requires investigation (experts' opinion) expertise or confirmations from the state bodies, the resolution period can be extended up to 15 calendar days.</p> <p>Upon resolution the DISCOM's GFP should convey the solution to the affected person and seek their concurrence (written or verbal) that it is acceptable to them.</p> <p>If the grievance cannot be resolved still, or the complaining party is not agreed with the offered solution, then the DISCOM GFP should submit information to the next level (DISCOM HQ GRC) and provide updated information to the complainant regarding the grievance resolution process being followed.</p> <p>DISCOM's GFP should maintain data of Grievance Logbook and submit/update all necessary data related to the registered grievances to DISCOM HQ and UPPCL monthly.</p>	7 working days
3a	Implementing Agency level Grievance Redress Committee (DISCOM HQ)	<p>The DISCOM GFP will request the DISCOM HQ GRC to review the grievance and resolve it within 15 calendar days. If the grievance is found invalid (after investigation of the GRC) a written response should be given to the complaining party explaining the reasons for its rejection. Otherwise a written response explaining the resolution should be provided to the complaining party and their concurrence (written or verbal) sought by the DISCOM GFP to confirm that it is acceptable to them.</p> <p>If the grievance cannot be resolved still, or the complaining party is not agreed with the offered solution, then the DISCOM GFP should submit information to the next level (UPPCL GFP and GRC) and provide updated information to the complainant regarding the grievance resolution process being followed.</p>	15 working days
3b	Executing Agency level	<p>The UPPCL GFP will request the UPPCL GRC to review the grievance and resolve it within 15</p>	15 working days

Level	Name of Level	Description	Time frame ²⁸
	Grievance Redress Committee (UPPCL)	calendar days. If the grievance is found invalid (after investigation of the GRC) a written response should be given to the complaining party explaining the reasons for its rejection. Otherwise a written response explaining the resolution should be provided to the complaining party and their concurrence (written or verbal) sought by the DISCOM GFP to confirm that it is acceptable to them.	
4	Court or INRM	<p>If the affected person is still not satisfied with the GRC decision, the affected person can submit his/her complaint to the appropriate court of law in India for its resolution. The GRM does not impede access to the country's judicial or administrative remedies, so the project affected can file the case to the court of law regardless of the GRM stage and process.</p> <p>In addition, the affected person may raise the concern with ADB Operations Department through INRM for resolution.</p> <p>Project-affected people can also submit complaints to ADB's Accountability Mechanism. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-financed projects can voice, and seek a resolution of their problems, as well as report alleged violations of ADB's operational policies and procedures</p>	Depends on nature of the complaint

74. *Receiving grievances:* All the received grievances should be registered by the GFPs of contractor and DISCOMs. Submitting grievances and registration should be a straightforward process, and the affected persons should be able to submit their grievances and questions directly or through a third party. This process requires availability of (i) responsible person to receive and register the complaints (GFP); (ii) multiple points (at field, DISCOM office) for receiving grievances; (iii) procedure for acknowledging the receipt (registered and signed) and informing the complaining party about the expected timeframe for the review and resolution; and (iv) grievance logbook about the complaints and their status.

75. The complaining party should be able to submit grievance in person, by phone call, email, letter, or fax, to the GFP assigned by the contractor or DISCOM. Receipt of grievance lodged in person or via phone should be acknowledged immediately by a paper issued by the GFP or other persons who received the grievance.

76. All the grievances, however minor, and regardless of its nature and eligibility, should be recorded in a grievance logbook in detail. Upon receipt of grievances, the contractor's GFP in coordination with the DISCOM GFP should sort them into the following categories to define if the complaint is eligible for the Project established GRM. The procedure should establish clear parameters (if complaint is caused by the Project activities) for qualifying grievance as eligible or

ineligible for the Project established GRM. The following types of grievances are not eligible for resolution by the Project established GRM:

- Grievances that are not related to the Project, or
- Grievances that should be reviewed by separate, more appropriate procedures (e.g. issues of fraud and corruption).

77. *Feedback provision:* After receiving grievance, the GFP (or another responsible person) should:

- Provide acknowledgement of the grievance receipt, with response/ recommendations to complainant;
- Provide the complainant with information about the status of grievance resolution in each of the grievance resolution levels;
- If the resolution is not reached or seem to be unreachable in each level, the grievance should be passed on to the next level and the complainant should be informed accordingly. Information to the complainant shall include the date when the case was passed on to the next level and the date by which the resolution is expected; and
- The resolution proposed at each level should be informed to the complainant.

78. In all the levels, the parties involved in resolution for grievance should closely discuss the issue and resolution alternatives with the complainant to come to the resolution that is reasonable and acceptable for all parties.

79. *Reporting:* The DISCOM is responsible to monitoring implementation of the Project established GRM and reflect the outcomes in the safeguard monitoring reports.

- The GFP of the contractor should document and monitor the grievance status in a grievance logbook. All grievances, no matter how minor, and regardless if immediately resolved by the contractor, will be logged.
- GFP of the contractor should report to GFP of the DISCOM on GRM on weekly basis and immediately inform them on receipt of any grievance.

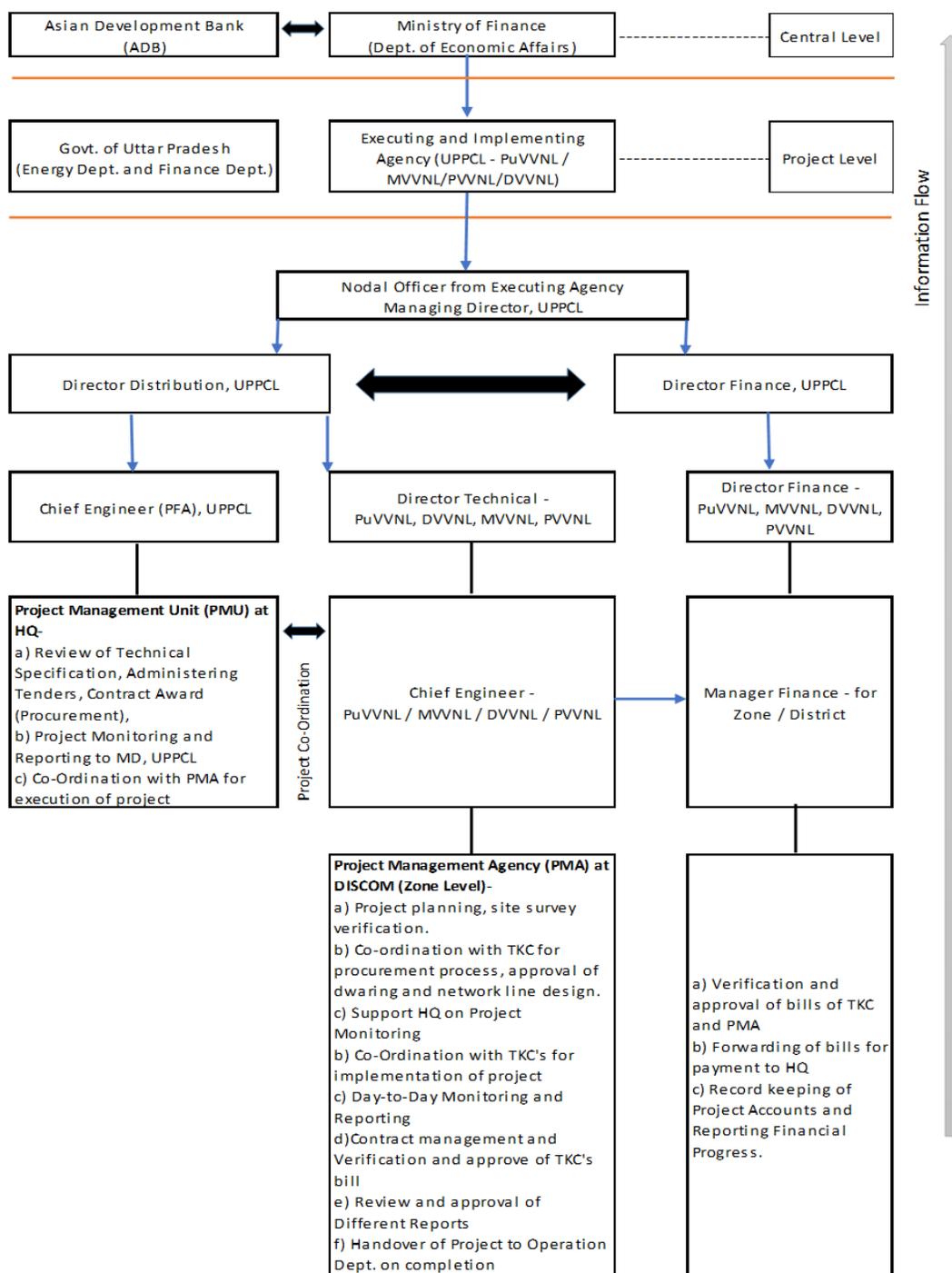
80. GFP of the DISCOM will record all grievances, no matter how minor, and regardless if immediately resolved by the contractor, in a tracking table (provided by ADB–Table 15) and report on a monthly basis to the UPPCL GFP and to ADB on semiannual basis through the safeguard monitoring reports and immediately inform them of any grievance which reaches level 3a or 3b of the GRM. Besides, all grievances and their status along with details of the grievance and their resolution should be reflected in the safeguard monitoring reports.

IX. INSTITUTIONAL ARRANGEMENTS AND RESPONSIBILITIES

A. Project Implementation Arrangements

81. Figure 14 shows the overall Project organization structure.

Figure 14: MFF Project Organization Structure



82. The main institutions that will be involved in environmental and social management activities are UPPCL as the Project executing agency and the four DISCOMs as Project implementing agencies. Three sets of consultants will provide safeguards support to UPPCL and the DISCOMs to help them implement the Project,

- (i) TRTA consultants will be recruited by ADB under the accompanying TRTA project to (a) support the DISCOMs with updating the IEE and preparing social due diligence reports in accordance with the SARF for clearance by ADB prior to the commence of construction works, and assist with updating them during further implementation if required; (b) provide safeguards capacity development to UPPCL, the DISCOMs, and their consultants and contractors; and (c) ensure UPPCL, the DISCOMs, and their consultants are undertaking adequate safeguards supervision and monitoring during project implementation. The TRTA consultants will comprise national environment and social assessment specialists, international environment and national environment, health and safety supervision specialists and national social development specialist. TOR for the safeguards TRTA consultants are included in the TA paper.
- (ii) PMC at UPPCL will assist UPPCL and their Project Management Unit (PMU) in overall coordination and project management. They will support the executing agency prepare environmental and social monitoring reports during project implementation, help establish the GRM and address grievances received, and help ensure compliance with the safeguard requirements including the SARF, IEE, EMPs, and RP. The PMC contract has already been advertised, it is currently scheduled to include one environment specialist for 4 person months, and one social specialist for 4 person months, these time inputs are for a period of 24 months and given project implementation is until 2029 will need to be extended given the duration of the Project and the number of subproject component/activities involved.
- (iii) Four PMA (consultant teams) to support each of the DISCOMs with day to day project implementation. They will support the implementing agencies in completing environment and social screening forms, undertaking site visits and consultations, establishing the GRM and addressing grievances received at subproject level, supervising and monitoring their contractors day to day work, and ensuring compliance with the safeguard requirements including the SARF, IEE, EMPs, and RP. The PMAs' contract has already been advertised, it does not include dedicated environment and social specialists, but members of the PMA consultant team will be required to have necessary environment, health and safety expertise in order to ensure adequate safeguards supervision and monitoring during project implementation.

83. Responsibility for environmental and social management and compliance with ADB's Safeguard Policy Statement (2009) requirements ultimately lies with UPPCL. UPPCL has the ultimate responsibility for all aspects of the Project. A PMU will be established within UPPCL which will be responsible for the overall management of the technical, environmental, and social aspects of the Project with the support of the PMC. UPPCL will be required to nominate as part of the PMU at least one suitably qualified and experienced staff to be receiving trainings and act as their (i) environmental focal; (ii) occupational health and safety focal; and (iii) social focal (also acting as GFP for UPPCL) to liaise with the DISCOMs.

84. Each DISCOM will act as implementing agency for their respective jurisdictions and a nominated DISCOM Project Manager will be responsible for the day to day management of the

technical, environmental, and social aspects of the Project. In addition, each DISCOM will be required to nominate at least one suitably qualified and experienced staff to receive trainings and act as environment focal, health and safety focal, and community liaison/GFP for the DISCOM.

85. UPPCL and the DISCOMs will ensure that the specified staff resources and adequate environmental and social management and monitoring budgets are available to the Project and utilized as necessary for timely and satisfactory safeguards implementation.

86. Each contractor, for each contract package if they are awarded multiple contracts, will nominate the following to receive trainings prior to the commencement of works and ensure compliance with the safeguard requirements including the SARF, IEE, EMPs, and RP (i) one appropriately qualified and experienced, dedicated Environment Officer designated with responsibility for ensuring implementation of the project-level EMP and any site-specific EMP included in the updated IEE; (ii) one appropriately qualified and experienced, dedicated Health and Safety Officer designated with responsibility for ensuring implementation of the health and safety requirements under the project-level EMP and any site-specific EMP included in the updated IEE; (iii) one appropriately qualified and experienced, dedicated community liaison officer who will also act as the GFP for the contractor to undertake consultations and deal with any grievances received by the subproject; and (iv) appropriately qualified and experienced environment, health and safety site supervisors (several site supervisions will be required, the actual number depending on the scheduling of subproject works) responsible for day to day implementation of the EMPs who will be permanently based on-site for the duration of all works being undertaken for each subproject component/activity implemented.

87. The main responsibilities of each institution are listed below (this is not an exclusive list):

a. UPPCL (PMU) Responsibilities with Support PMC

- (i) Ensure that all environment and social safeguards requirements as given in ADB's Safeguard Policy Statement (2009), this SARF, applicable laws and rules of the Government of India, Government of Uttar Pradesh, and UPPCL social and policy procedure (SP&S) and environmental framework and safeguards (EFS) for transmission and distribution projects, the IEE, EMPs, and RP are being fully complied with during all tranches and stages of the subprojects supported by the Project, including counterpart funded components/activities.
- (ii) Nominate at least one suitably qualified and experienced staff to act as the PMU's (a) environmental focal, (b) occupational health and safety focal, and (c) social focal (also acting as GFP for UPPCL) to liaise with the DISCOMs.
- (iii) Ensure that all required environment and social safeguards documents (i.e. screening checklists, consultation proformas, updated IEE, social due diligence reports) are prepared as required by the DISCOMs for all subprojects and components/activities prior to approval of the contractor's detailed designs and the commencement of any construction works associated with them.
- (iv) Review and approve all environment and social safeguards related documents prepared (such as screening checklists, consultation proformas, updated IEE, social due diligence reports, safeguard monitoring reports etc.) seeking recommendations and clarifications from the DISCOMs where necessary prior to endorsement and submission to ADB for clearance and disclosure on the ADB website.

- (v) Timely endorsement and signing of key documents and forwarding to the respective agency such as documents required for the processing of tree cutting permission, etc.
- (vi) Taking proactive and timely measures to address any environment and social safeguards related challenges at the national or state level such as delays in processing of clearances (during pre-construction stage) or significant grievances.
- (vii) Ensure that the DISCOMs have access to the SARF, IEE, EMPs and RP and that they fully understand their responsibilities to implement the requirements set out therein and to mitigate the environmental and social impacts associated with design, pre-construction, construction, and operational and maintenance stages of the Project and, supported by the TRTA consultants, provide necessary safeguards training to their staff and contractors.
- (viii) Ensure that the requirements of the SARF, EMPs and RP as relevant to the contractor are incorporated by the DISCOMs in the contract documents for each subproject.
- (ix) Support the DISCOMs in reviewing and approving contractor sub-plans e.g. construction EMPs plus traffic management plans, construction waste management plans, and health and safety plans.
- (x) Support the DISCOMs in undertaking ongoing consultation and establishing and implementing the GRM, ensuring effective implementation of the GRM and that all relevant concerns and complaints are being promptly and effectively addressed by the DISCOMs.
- (xi) Supervise and monitor that the SARF, EMPs and RP are being properly implemented.
- (xii) Ensure that the DISCOMs submit their quarterly reports for consolidation into and prepare the semi-annual combined environmental and social monitoring reports.
- (xiii) Submit semi-annual combined environmental and social monitoring reports to ADB.
- (xiv) In case unanticipated environmental and social impacts occur during the Project implementation stage, including design changes for example due to site conditions encountered by contractors, inform ADB, and, as required, ensure the DISCOMs update the IEE, EMPs and RP for clearance by ADB before any changes are implemented.
- (xv) In case of non-compliance, inform ADB, and prepare in consultation with relevant government agencies and implement as necessary a corrective action plan for clearance by ADB.

b. DISCOM (Project Manager) Responsibilities with Support PMAs

- (i) Together with UPPCL, ensure that all environment and social safeguards requirements as given in ADB's Safeguard Policy Statement (2009), this SARF, applicable laws and rules of the Government of India, Government of Uttar Pradesh and UPPCL SP&S and EFS for transmission and distribution projects, the IEE, EMPs, and RP are being complied with during all tranches and stages of respective subprojects supported by the Project, including counterpart funded components/activities.

- (ii) Nominate at least one suitably qualified and experienced environment focal, health and safety focal, and community liaison focal who will also act as the GFP for the DISCOM.
- (iii) Prepare all required environment and social safeguards documents (i.e. screening checklists, consultation proformas, updated IEE, social due diligence reports) for all subprojects and components/activities prior to approval of the contractor's detailed designs and the commencement of any construction works associated with them.
- (iv) Undertake site visits and consultations with villagers and landowners and complete the environment and social screening forms and consultation proformas for all subproject components/activities in accordance with the SARF requirements.
- (v) Provide necessary support and all required documentation to the TRTA consultants to enable them, on behalf of the DISCOMs, to adequately support preparation of the updated IEE and SDDRs in accordance with the SARF requirements.
- (vi) Obtain necessary permits and/or clearances from relevant government agencies (except those required to be obtained by the contractor) ensuring that all necessary regulatory clearances are obtained before the contractor is given permission to commence any construction works on the relevant components/activities.
- (vii) Timely endorsement and signing of key documents and forwarding to the respective agency such as documents required for the processing of tree cutting permission by contractor, etc.
- (viii) Implement the SARF, EMPs and RP in respect of actions which have been allocated to the DISCOMs during the design, pre-construction, construction, and operation and maintenance stages.
- (ix) Ensure that the requirements of the SARF, EMPs and RP as relevant to the contractor are incorporated in the contract documents for each subproject.
- (x) Ensure that the contractors have access to the SARF, IEE, EMPs and RP and that they fully understand their responsibilities to implement the requirements set out therein and mitigate environmental and social impacts associated with their design, pre-construction and construction activities and with support of UPPCL/TRTA consultants provide necessary safeguards training to them.
- (xi) Review and approve contractor sub-plans e.g. construction EMPs plus traffic management plans, construction waste management plans, and health and safety plans.
- (xii) Undertake ongoing consultation and establish and implement the GRM, ensuring effective implementation of the GRM and that all relevant concerns and complaints are being promptly and effectively addressed at DISCOM level.
- (xiii) Undertake the requisite quantitative environmental and social monitoring as set out in the EMPs and RP during design, pre-construction, construction and operation.
- (xiv) Supervise and monitor that the SARF, EMPs and RP are being properly implemented on a day to day basis.
- (xv) Ensure that the contractors submit monthly environmental and social management reports (to be included as part of contractors' monthly progress reports) for consolidation into and prepare quarterly reports on environmental and social

safeguards.

- (xvi) Submit quarterly reports on environmental and social safeguards to UPPCL for consolidation into the semi-annual combined environmental and social monitoring reports.
- (xvii) In case unanticipated environmental and social impacts occur during the Project implementation stage, including any design changes for example due to site conditions encountered by contractors, inform UPPCL, and, as required, update the IEE, EMPs and RP in consultation with relevant government agencies for clearance by ADB before any changes are implemented.
- (xviii) In case of non-compliance, inform UPPCL, and help prepare in consultation with relevant government agencies and implement as necessary a corrective action plan for clearance by ADB.

c. Turnkey Contractors' Responsibilities

- (i) Nominate the qualified and experienced, dedicated Environment Officer designated with responsibility for day to day ensuring implementation of the project-level EMP and any site-specific EMP included referred in the updated IEE;
- (ii) qualified and experienced, dedicated Health and Safety Officer designated with responsibility for day to day ensuring implementation of the health and safety requirements under the project-level EMP and any site-specific EMP included in the updated IEE;
- (iii) appropriately qualified and experienced, dedicated community liaison officer who will also act as the GFP for the contractor to undertake consultations and deal with any grievances received by the subproject; and
- (iv) appropriately qualified and experienced environment, health and safety site supervisors (several site supervisions will be required, the actual number depending on the scheduling of subproject works) responsible for day to day implementation of the EMPs who will be permanently based on-site for the duration of all works being undertaken for each subproject component/activity implemented.
- (v) Undertake the line alignment of AB Cable and 11 kV feeder alignments for approval by PMA the DISCOMs, provide the inputs required for completing the screening forms for subproject components to PMA.
- (vi) Assist the PMA in undertaking consultation, disclose the propose line alignment including pole locations in private land prior to the consultation.
- (vii) Obtain the details of landowners on whose lands poles are to be erected and record the discussions with and consents from the affected persons, and village headman/woman.
- (viii) Implement the requirements of the SARF, EMPs and RP as relevant to the contractor as incorporated in the contract documents, and specifically the project-level EMP and any site-specific EMPs included in the updated IEE, in respect of

actions allocated to the contractor during design, pre-construction and construction.

- (ix) Inform the DISCOM if there is a need to review and update EMPs (and IEE if required) based on site conditions i.e. a change in subproject scope or design is required and as needed provide documentation to update the IEE and EMPs.
- (x) Prepare sub-plans including construction EMPs plus traffic management plans, construction waste management plans, and health and safety plans as specified in the EMPs for review and approval by the DISCOM.
- (xi) Ensure that construction workers including all formal and informal subcontractors understand their responsibilities to implement the EMPs and RP and mitigate environmental and social impacts associated with their design, pre-construction and construction activities and with support of UPPCL and the DISCOM provide training to construction workers as required.
- (xii) Support the DISCOM in undertaking ongoing consultation and implementing the GRM.
- (xiii) Undertake the requisite quantitative environmental and social monitoring as set out in the EMPs and RP during detailed design, pre-construction, and construction.
- (xiv) Submit monthly environmental and social management reports to the DISCOM (as part of the contractors' monthly progress reports). These reports will identify the details of work undertaken over the reporting period and document the environmental and social measures including monitoring activities that have been carried out on a component/activity basis, problems encountered, and follow-up actions that were taken (or will be taken) by the contractor to correct the problems.
- (xv) In case unanticipated environmental and social impacts occur during the Project implementation stage, including design changes for example due to site conditions encountered by contractors, inform DISCOM, and, as required, help them to update the IEE, EMPs and RP for clearance by ADB before any changes are implemented.
- (xvi) In case of non-compliance, inform the DISCOM, and help prepare and implement as necessary a corrective action plan for clearance by ADB.

d. PMC and PMA Responsibilities

88. Given UPPCL and DISCOM do not currently have adequate capacity and have not previously implemented an ADB project, the PMC and PMA consultant teams will complement and backstop UPPCL and the DISCOMs in meeting their responsibilities as outlined above, including but not limited to:

- (i) undertaking site visits and consultations with villagers and landowners and completing the environment and social screening forms and consultation proformas for all subproject components/activities in accordance with the SARF requirements;
- (ii) providing necessary support and documentation to the TRTA consultants to enable them to provide the updated IEE and social due diligence reports for subprojects;

- (iii) reviewing contract documents to ensure SARF, EMPs and RP requirements as relevant to the contractors have been included, or assisting with variations if required;
- (iv) reviewing contractor sub-plans e.g. construction EMPs plus traffic management plans, construction waste management plans, and health and safety plans;
- (v) establishing environmental and social monitoring and reporting procedures that are in accordance with ADB's Safeguard Policy Statement (2009), SARF, EMPs and RP requirements;
- (vi) providing input on safeguards and GRM for regular project progress reports;
- (vii) undertaking environmental and social compliance supervision and monitoring; and
- (viii) preparing the semi-annual combined environmental and social monitoring reports.

e. ADB's Responsibilities

- (i) review and approval of subproject component/activity eligibility in accordance with the subproject component eligibility criteria and the subproject safeguards categorizations;
- (ii) review and clearance of subproject safeguard documentation prepared by UPPCL and DISCOMs i.e. updated IEE, social due diligence reports prior to approval to commence works;
- (iii) review and clearance of semi annual combined environmental and social monitoring reports;
- (iv) disclosure of all cleared documents on the ADB website in accordance with ADB's Safeguard Policy Statement (2009);
- (v) conduct review mission regularly including site visits as needed during the Project implementation to confirm compliance with the SARF, EMPs and RP;
- (vi) in case of significant issues, conduct supervision missions with detailed review by ADB's safeguard specialists/officers or consultants;
- (vii) review the semi-annual combined environmental and social monitoring reports submitted by UPPCL to ensure that adverse impacts and risks are mitigated as planned and agreed with ADB;
- (viii) work with UPPCL and DISCOMs to rectify to the extent possible any failures to comply with their safeguard commitments, as covenanted in the loan agreement, and exercise remedies to re-establish compliance as appropriate; and
- (ix) prepare a project completion report that assesses whether the objective and desired outcomes of the SARF, EMPs and RP have been achieved, considering the baseline conditions and monitoring results.

89. Given UPPCL and DISCOM do not currently have adequate capacity and have not previously implemented an ADB project, as well as the consultant support, which is to be provided, training activities are required.

Table 16: Institutional Roles and Responsibilities for Resettlement Plan

Activity	Responsible Agency
Finalization RP	
Appointment of TKC	UPPCL
Finalization of route alignment and update RP	UPPCL and TKC
Implementation and Monitoring of RP	
Assessment on loss of land and other assets	TKC
Consultations and Disclosure of Safeguards Information	UPPCL/DISCOMS/TKC with support from consultants
Estimate the compensation	DISCOMS/TKC with support from consultants
Allocation of Budget related to compensation	TKC to be reimbursed by DISCOMs
Payment of compensation	TKC to be reimbursed by DISCOMs
Distribution of Cheques	DISCOMS/TKC with support from consultants
Grievances Redress	UPPCL/DISCOMs
Monitoring	UPPCL/DISCOMS

X. BUDGET & SCHEDULE

90. The calculation of full replacement cost will be based on the following elements: (i) fair market value; (ii) transaction costs; (iii) interest accrued, (iv) transitional and restoration costs; and (v) other applicable payments, if any.

91. Furthermore, replacement cost of the land, trees, crops, and other assets affected had been assessed using the following assumptions:

- i) (a) for tree cutting / trimming costs a sum of ₹1000 per km. has been allocated (the total length of 11 kV line to be installed across PVVNL and DVVNL is 16,926 kms);
- ii) (b) for compensation for crop loss a sum of ₹10,000 has been allocated per habitation (a total of 2200 habitations are likely to be covered across PVVNL and DVVNL under the feeder separation output);
- iii) (c) for compensation of occupation of land due to erection of poles a sum of ₹3,000 is allocated per sq. foot of agricultural land likely to be impacted. It is likely that only 2 percent of the habitations to be covered by the feeder separation works, that is 44 habitations, are likely to be affected due to erection of poles in private agricultural land. Further, it is assumed that 10 poles may need to be installed in agricultural fields across these potentially affected habitations. (a) for tree cutting/trimming costs a sum of ₹1000 per km. has been allocated (the total length of 11 kV line to be installed across PVVNL and DVVNL is 16,926 kms.);
- iv) The cut-off date for compensation will be the date on which the TKC will finish survey and confirm the line alignment for the concerned section.

Table 17: Tentative Budget

S. No	Item (Description)	Assumptions / Rationale	Unit	Quantity	Unit Costs	Total Costs
A	Compensation to affected households					
1	Tree trimming/cutting costs	A total length of 16,926 km. of 11 kV line will be installed in PVVNL and DVVNL (10,860 kms in DVVNL and 6066 kms in PVVNL). A repo rate of ₹1,000/km. is allocated for tree cutting/branch trimming.	km.	16,926	1,000	16,926,000
2	Crop loss during implementation	A total of 1092 mixed feeders will be separated under the project (484 in PVVNL and 608 in DVVNL). The number of habitations to be covered are approx. 2200 (as there are two habitations per feeder). Based on discussions with DISCOM officials, TKCs and village headmen a rate of 10,000 per habitation has been fixed for compensation for crop loss during project implementation	Habitation	2,200	10,000	22,000,000
3	Land loss for erection of pole	A total of 2200 habitations across PVVNL and DVVNL will be covered by feeder separation works. Based on field visits it is assumed that in only 2% of the habitations (44) the lines would need to be aligned through agricultural fields. In each habitation it is assumed at 10 poles will need to be erected in each of the affected habitation. The cost per sq. foot (land required for one pole) is assumed at ₹3000 (based on current circle rates)	sq. foot	440	3,000	1,320,000
	Total (A)					40,246,000
B	Other					
1	Information dissemination at each habitation	2200 habitations will be covered; 1 board per habitation	1 board / habitation	2,200	3,000	6,600,000
2	Translation of the summary of RP in local language and distribution of it	lump sum				90,000
3	Grievance Redressal	lump sum				90,000
	Total (B)					6,780,000
	Total (A+B)					47,026,000
D	Contingency					

1	Budget contingency (@ 10% of total budget A+B)					4,702,600
	Grand Total					51,728,600

92. The project will be implemented progressively over nine years with completion date by end 2029. Civil work for each contract will be for 5-6 years. Each sub project component will have to be screened using the screening form included in SARF by the PMA. A consolidated categorization for each division will be submitted to ADB based on the component level screening forms prepared. The contract will commence civil work only after ADB approval of consolidated categorization form at division level. Social due diligence will be undertaken based on the screening results as needed and meaning consultation including consent to support procedure will be conducted throughout the project. As the length of the distribution lines is about 17,000km, the alignment is not able to be finalized during project processing but going to done by contractors during project implementation. The lines will follow public area mostly (i.e ROW of existing roads), and about 2% of them may cross private area. Considering above, DISCOMs with support from PMA and TKC will prepare due diligence reports for this 2% of possible cases following the format in the SARF and RP, rather than updating RP for each case. However, the RP will be updated if there are unexpected impacts which have not been identified and there is change in scope of the project.

XI. MONITORING AND REPORTING

91. Resettlement monitoring will be the responsibility of UPPCL, the consultant/staff assigned to the Project will be responsible for preparing semi-annual monitoring reports. Regular monitoring activities will be carried out by the DISCOMs to assess implementation progress of seeking approval for affected assets from private landowners and disbursal of compensation, due, if any. Semi-annual monitoring reports on compliance with the entitlement matrix, the status of compensation payments, consultations and grievances will be prepared on a semi-annual basis and submitted to ADB. The format of the combined safeguard monitoring reports is attached as Appendix 9. The submission arrangement is the same with that of environment as above. These reports will be disclosed on the ADB website and to affected people.

Village - Dabar , Feeder Name - Dabar

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
1.	Dharam Singh	52	M	BSc (LLB)	Lawyer, Agri, Dairy	No.	
2.	Geeta Gireesh Chand	64	M	10th	Agri	No.	
3.	Devi Singh	72	M	10th	Agri	No.	
4.	Atar Singh	53	M	12th	Agri	No.	
5.	Damodar	66	M	10th	Agri	No.	
6.	Vijay Singh	46	M	M.A.	Agri	No.	
7.	Prashant Faujdar	25	M	Diploma	Shop	No.	
8.	Makesh Singh	47	M	5th	Agri/Labour	No.	
9.	Chandan Singh	67	M	12th	Agri	No.	
10.	Lal Singh	41	M	-	Agri/Labour	No.	
11.	Rajveer Singh	45	M	12th	Agri	No.	
12.	Raju	50	M	-	Agri	No.	
13.	Gopal	45	M	5th	Agri/Labour	No.	

Page 7

Village - Sirauli , Feeder Name - Dabar

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
1.	Mr Madan Lal	49	M	9th	Agri	No	
2.	Meva Ram	55	M	12th	Agri	No.	
3.	Fadam Singh	45	M	8th	Agri	No	
4.	Makesh Kumar	44	M	8th	Agri/Labour	No.	
5.	Makesh Kumar	48	M	10th	Agri	No.	
6.	Rahel Kumar	20	M	Graduation (pursuing)	Studying	No.	
7.	Shyam Veer Singh	37	M	8th	Agri	No.	
8.	Ram Babu	63	M	Primary	Agri	No.	
9.	Hari Singh	38	M	8th	Agri/Shop	No.	
10.	Khubi Ram	30	M	-	Agri/Labour	No.	
11.	Ram Kumar	34	M	10th	Agri/Labour	No.	
12.	Anil Kumar	28	M	Graduate	Agri	No.	
13.	Ravinder Singh	35	M	8th	Agri	No.	

Page 7

Village - Banga Nagra , Feeder Name - Sabar

LIST OF PARTICIPANTS							
S.No.	(Prakham) Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
1.	Seva Ram	65	M	Primary	Agri	No.	सेवा राम
2.	Darshinder Parminder Naik	32	M	8th	Agri	No.	दर्शिंदर नायक
3.	Khem Chand	25	M	High school	Agri	No	खेम चंद
4.	Yashpal	30	M	12th	Agri/Labour	No.	याशपाल
5.	Tinku	29	M	10th	Shop	No	टिंकु
6.	Poonam Singh	44	M	6th	Agri	No.	पूनाम सिंह
7.	Bhoore Lal	36	M	-	Agri/Labour	No.	भोरे लाल
8.	Murari	38	M	10th	Agri	No	मुरारी
9.	Ajay Kumar	19	M	12th	Studying	No.	अजय कुमार
10.	Nanesh Kumar.	27	M	8th	Agri/Shop	No.	नानेश कुमार
11.	Sekar Singh	27	M	7th	Shop	No.	सेकर सिंह

Page 7

Village - Santha , Feeder Name - Feeder No.2

LIST OF PARTICIPANTS							
S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
1.	Luv Kesh	29	M	12th	Agri	No.	लव केश
2.	Sodan Singh	65	M	8th	Agri	No	सोदान सिंह
3.	Laxman Singh	56	M	10th	Agri	No	लखमन सिंह
4.	Om prakash	26	M	12th	Agri/Shop	No.	ओम प्रकाश
5.	Ashwani Sisodiya	24	M	12th	Agri	No.	अश्वनी सिंसोडिया
6.	Ravi	40	M	8th	Labour	No.	रवि
7.	Raghnath	30	M	10th.	Agri	No.	राघनाथ
8.	Sivendra Singh	35	M	12th	Agri	No.	सिवेंद्रा सिंह
9.	Ram Prakash	55	M	B.Ed.	Agri/Labour	No.	राम प्रकाश
10.	Gaurav Singh	35	M	10th	Agri	No.	गौरव सिंह
11.	Mahendra Singh	30	M	Graduate	Job	No.	महेंद्रा सिंह

Page 7

Village - Singarpur , Feeder Name - Feeder No. 2

LIST OF PARTICIPANTS							
S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
P.P.W.	1. Amar Singh	60	M	5th	Labour/Agri	No.	अमर सिंह
	2. Tez Singh	55	M	—	Labour	No.	तेज सिंह
P.P.W.	3. Ramesh	35	M	5th	Labour/Agri	No.	रमेश
P.P.W.	4. Mahavir	18	M	9th	Labour/Agri	No.	महावीर
	5. Teeja Solanki	41	M	10th	Repairing shoes	No.	टीजा सोलंकी
	6. Santosh Baghel	18	M	8th	Labour	No.	संतोष
	7. Bhuri Singh	25	M	12th	Labour/Agri	No.	बहुरी सिंह
P.P.W.	8. Mahaveer Singh	28	M	8th	Flour Mill/Agri	No.	महावीर सिंह
	9. Ramu	28	M	12th	Studying	No.	रामू
	10. Vijay Singh Rama.	32	M	12th	Flour Mill	No.	विजय रामा
	11. Naseer Ahmad	20	M	12th	Tailor	No.	नासीर अहमद

Page 7

Village - Khara Bakanda , Feeder Name - Feeder No. 2

LIST OF PARTICIPANTS							
S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
	1. Bane Singh	45	M	8th	Labour/Agri	No.	बाने सिंह
P.P.W.	2. Rajveer	23	M	Graduate	Studying	No.	राजवीर
P.P.W.	3. Lokesh	21	M	12th	Driver	No.	लोकेश
	4. Mahesh Chand	38	M	8th	Agri	No.	महेश चंद
	5. Shiv Prasad	30	M	12th	Labour	No.	शिव प्रसाद
	6. Padam Singh	55	M	8th	Agri	No.	पदम सिंह
	7. Amarjeet	35	M	12th	Agri/Labour	No.	अमरजीत
	8. Krishna	19	M	12th, 10th	Studying	No.	कृष्णा
	9. Mufesh	28	M	Graduate	Studying	No.	मुफेश
P.P.W.	10. Hari Chandra	39	M	8th	Agri	No.	हरी चंद्रा
	11. Harendra Singh	20	M	Graduate	Studying	No.	हरेंद्र सिंह

Page 7

Village - Mori , Feeder Name - Feeder No.3

LIST OF PARTICIPANTS							
S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
PTW 1.	Rajam Singh	76	M	10th	Agri	No.	राजम सिंह
2.	Atish Akshay Kumar	24	M	BA	Business	No.	अक्षय कुमार
3.	Vipin Kumar	32	M	12th	Sob	No.	विपिन कुमार
4.	Shree Bachu Singh	60	M	8th	Agri	No.	श्री बचु सिंह
5.	Dwarika	47	M	-	Agri	No.	द्वारिका
6.	Ram Singh	41	M	10th	Agri/Labour	No.	राम सिंह

Page 7

Village - Nagla Shyuram , Feeder Name - Feeder No.3

LIST OF PARTICIPANTS							
S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
1.	Puspendra Singh	25	M	Graduate	Agri	No.	पुष्पेंद्रा सिंह
PTW 2.	Raj Rajveer Singh	60	M	-	Agri	No.	राज राजवीर
3.	Kamlesh	50	F	-	Housewife/ Agri	No.	कमलेश
4.	Prem Singh	32	M	12th	Flour Mill	No.	प्रेम सिंह
PTW 5.	Rajveer	48	M	-	Agri	No.	राजवीर
6.	Krishan Pal	38	M	8th	Agri/Labour	No.	कृष्ण पाल
7.	Seesh Pal	40	M	5th	Labour	No.	सीश पाल
8.	Vikram	45	M	10th	Agri/shop	No.	विक्रम
9.	Ramwati	32	W/F	5th	Shop/Agri	No.	रामवती
10.	Mukesh	35	M	10th	Labour/Agri	No.	मुकेश
PTW 11.	Bachu Singh	55	M	6th	Agri	No.	बचु सिंह

Page 7

Village - Nahchani , Feeder Name - Feeder No. 3

LIST OF PARTICIPANTS							
S.No.	Name	Age	Sex (MF)	Education	Occupation	Project Affected (yes/No)	Signature
<u>PTW</u> 1.	Digambar Singh	58	M	Graduate	Agri	No.	
2.	Shyam Singh	55	M	8th	Agri	No.	
3.	Birander Kumar	28	M	12th	Agri/Driver	No.	
4.	Vijay Pal Singh	58	M	BA	Agri	No.	
5.	Kashanveer Krishanveer	50	M	10th	Agri	No.	
6.	Kali charan Singh	52	M	8th	Agri	No.	
7.	Mahaveer Singh	65	M	12th	Agri	No.	
8.	Rashmi Devi	22	F	10th	Housewife	No.	
<u>PTW</u> 9.	Raj Kumari	48	F	5th	Housewife	No.	
10.	Dharamwati Devi	50	F	5th	Housewife/ shop	No.	
11.	Guddi Devi	42	F	10th	Housewife	No.	

APPENDIX 2: LIST OF PARTICIPANTS OF COMMUNITY CONSULTATIONS IN PVVNL

Chyan Nagar Village 1/2

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
11	प्राजपत (B.E)	52	M	12	व्यापारी		
12	शशि-स शर्मा	44	M	12	व्यापारी		
13	राजदीप कुमार	20	M	12	व्यापारी		
4	अनील पाल	20	M	12	व्यापारी		
5	रजलि शर्मा	19	F	12	Housewife		
6	Bharpi	65	F	9			
7	Mahesh	40	F		agriculture		
8	मोहन शर्मा	31	F	10	शरीर		
9	Dalviri	55	F		agriculture		
10	Sonu Kumar	28	M	m.com Final	study		Sonu Kumar
11	Prince bhatu	19	M	B.A.com	Study		Prince bhatu
12	Rajesh Kumar	45	M	B.A	KISAN		
13	Kaushik	16	F	10th	Study		
14	Satviri	50	F		Housewife		

Page 7

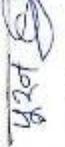
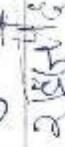
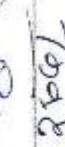
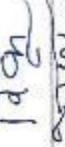
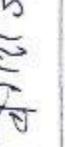
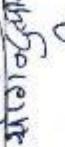
Shyam Nagar village 2/2

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
15	Kejal Bajla	21	(F)	BA	study		Kejal
16	ARUN BHATI	21	M	M.A	STUDY		ARUN BHATI
17	BIMLESH	45	F		सरकारी		शिवराम
18	Gupichand	55	M		Riksha Driver		
19	Sandeep Kumar	22	M	B.D	Study		Sandeep Kumar
20	शिवराम	63	P	5	ईर		शिवराम
21	अनुराज	33	M	12th	मिर्ग		Kantawar
22	शिवराम	50	M	5	सरकारी		शिवराम

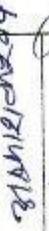
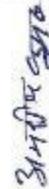
40 AREA Village 1/2

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
①	Sanjay Kumar	22	M	Inter: 10 th			
②	पुनम शर्मा	48	M	8	मजदुरी		
③	सुनील	23	M	10	मजदुरी		
④	शहमाद सोनी	20	M	8	मजदुरी		
⑤	सुभाष सिंह	38	M	10	मजदुरी		
⑥	रिंकु	39	M	8	खण्डवा		
⑦	जोधा राज	50	M	8	मजदुरी		
⑧	सुनील कुमार मोहनसोनी	30	M	9	मजदुरी		
⑨	पप्पी देवी	38	M	8	बेवसी		
⑩	पप्पी देवी	45	F	8	Agriculture		
⑪	शशी देवी	65	F				

60404 Village 2/2

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
12	Nusambur Singh	52	Male	12th	Farmer		
13	Bhaskar Jyoti	27	"	"	Farmer		
14	Pratik Kumar	22	"	10	Student		
15	Pratik Kumar	57	"	10	Student		
16	Pratik	27	"	8	Student		
17	Pratik	20	"	B.Sc	Student		
18	Kuldeep	19	"	BBA	Student		
19	Naresh Kumar	35	M	8	unemployed		
20							

SARDHAN VILLAGE, KHATAULI (R) MUZAFFARNAGAR

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (Yes/No)	Signature
1	Satbo	60	F	Matric	Housewife		
2	नरेश कुमार	42	M	12	कृषि		नरेश कुमार
3	पंजाब कुमार	48	M	12	कृषि		पंजाब कुमार
4	अमन सिंह	60	M	10	"		अमन सिंह
5	देवराज चौधरी	47	M	12	"		देवराज चौधरी
6	Sumit Kumar	49	M	12	कृषि		Sumit Kumar
7	रितेश	55	M	10	"		रितेश
8	मोहन	32	M	9	"		मोहन
9	Ritesh	42	M	12	"		Ritesh
10	सुरेश	54	M	8	"		सुरेश
11	आशीष	42	M	12	"		आशीष

Sardhan Village 2/2

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
12.	Jaiwadi	65	F	—	Housewife		जैवदी
13.	युगल	48	F	10 th	"		युगल
14.	सोमिया	20	F	B.A	"		सोमिया
15.	सतीष	38	F	—	"		
16.	निर्मला	50	F	5 th pass	"		निर्मला देवी
17.	रेशा	65	F	—	"		
18.	रुकसाना	35	F	—	"		

SATHEDI VILLAGE, KHATAULI (FEEDER), MUZAFFARNAGAR

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
1	सुनील कुमार	38	M	B	अपे		
2	सतमी	40	F	-	घर		
3	समर कौर	18	F	5	Tailoring		
4	नितिन कुमार	31	M	B.A	C.S.C		
5	मनीषा रानी	30	F	M.A	housewife		
6	शोभिका	34	F	12	"		
7	राधा	59	F	5	"		
8	नसीमा	35	F	-	"		
9	जरीना	45	F	-	"		
10	नुनीसा	65	F	-	"		
11	परनाना	20	F	-	"		
12	सुनील कुमार	41	M	10th	कृषि		
13	मनोज कुमार	37	M	5	labour		

शुनील कुमार

मनोज कुमार
Page 7

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
14	2-3-21	28	M	8	labour		2-3-21
15	Mansj Kumar	42	M	8	Farmer		Mansj Kumar
16	Moyank Jain	24	M	12	Farmer		Moyank Jain
17	Praytyeksh chauhan	22	M	BCA	Farmer		Praytyeksh
18	Kayyum	70	M	5	labour		Kayyum
19	Gulshan Jain	20	M	12	Farmer		Gulshan Jain
20.	Kuldeep	55	M	8	Farmer		Kuldeep

Hajipur village 1/2

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
1	श्री. साहिब प्रसाद	40	M	9	गायक	9917861707	श्री. साहिब प्रसाद
2	उमेश शंकर		M			9917861707	श्री. साहिब प्रसाद
3	सावित्री शंकर		M				उमेश
4	सावित्री शंकर		M				सावित्री
5	लाहरी शंकर		M				लाहरी
6	प्रदीप शंकर		M				प्रदीप
7	दादा शंकर		M				दादा
8	फिराज शंकर		M				फिराज
9	बृज शंकर		M				बृज
10	दादा शंकर		M				दादा
11	दादा शंकर		M				दादा

श्री. साहिब प्रसाद
श्री. साहिब प्रसाद हाजीपुर
विकास

श्री. साहिब प्रसाद
श्री. साहिब प्रसाद हाजीपुर
विकास

Hajipur village 2/2 on Lokija Nafar Rehabilitation

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
12	ASHIRAV	65	M		खेती		
13	MOHD. TBLAM	70	M		खेती		Mohd
14	Jalim 6/0 Sajid Ghazi	23	M	B.A	Agriculture		Jalim
15	शाहिद	22	M		इंजन		शाहिद
16	सबाना	28	F		खेती		सबाना
17	तबस्सुम	25	F	S	सेलून		तबस्सुम
18	अ-जुम	25	F	8	सेलून		अ-जुम
19	तर-जुम	21	F		दुकान		तर-जुम
20	अपसर	40	M		बेलका काठ		
21	अजीजत	70	F		घर		
22	Waseh	8	M		खेती		Waseh
23	ALLUdamin	75	M		घुंघुं वला		Alluamin

Allipur Village 1/2

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
1	MOHD. FAHEEM.	24.	Male	B. Com-II	Student.		
2	manish bansal	40	male	MA	Agriculture		
3	Danish	23	Male	12	lover		Danish
4	SKMTHI SAFAT	38	Male	S	lover		SKMTHI
5	Muhammad Qudus.	25	male	BP	job		
6	SH/O SKMTHI	53	Male	Postgraduate	HOME		SH/O SKMTHI
7	anwar	35	male	6	Daaji		anwar
8	SAFAT	65	male	7	Home		SAFAT
9	श्रीधर	25	male	5	Agriculture		
10	Harveer	28	male	BA	Job		Harveer
11	श्रीधर	48	male	10 th	Agriculture		

Allipur Village 2/2

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (Yes/No)	Signature
12	दासि	49	M		मोटे का मीठ		NOLG
13	बामनाथ झा	30	M		मिक्साटोपि		Shankar Bar
14	सासना	17	M	10	मीरना		Passens
15	11/11	55	M	5	दार		खुरसोद
16	खुरसोद	50	F	12	दार		प्रवीन
17	परवीन	55	F		दार		कलसुम
18	कलसुम	16	F	10	दार		सोनी
19	सोनी	19	F	8	दार		राविषा
20	राविषा	24	F	8	दार		विषा
21	विषा	25	F		दार		
22	E. Khar	30	BM	B.A	Gumir		

GHAZIABAD
ASLAT NAGAR SUB DOHA VILLAGE
STATION

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
1	Jaipal	70	M	—	Agriculture		
2	Abhota	82	M	—	Agriculture		
3	Joginder Opal	62	M	—	farmer		
4	Mahendra	68	M	10th pass	farmer		
5	Manju	18	F	10th pass	Nothing		Manju
6	Kabiyaj	17	F	12th pass	Nothing		Kabiyaj
7	Sanita	45	F	Utsati	Housewife		
8	Rishu	30	F	Utsati	Housewife		
9	Sheetal	34	F	8th pass	Housewife		Sheetal
10	Audach	45	F	Utsati	Housewife / Agriculture		
11	Manjotika	50	F	Utsati	Housewife		

- 12. Manita 30 F Utsati Housewife
- 13. Asha 45 F Utsati Housewife →
- 14. Shivam 20 M Graduate + Bed Student → Ghanshyam
- 15. Rajoj 48 F High school Angamwadi worker → 212151
- 16. Mahavir Singh 65 M Graduation Farmer → Mahavir Singh
- 17. Sandeep Chaudhary 41 M 8th Class farmer → H S Singh
- 18. Raju 42 M High school farmer → Raju
- 19. Lokesh 42 M Inter farmer →

BHIKAMPUR VILLAGE
ASLAT NAGAR SUB STATION
GHAZIABAD

LIST OF PARTICIPANTS

S.No.	Name	Age	Sex (M/F)	Education	Occupation	Project Affected (yes/No)	Signature
1	Amir	23	male		मजदूर		Amir
2	शिवम	41	M		मजदूर		शिवम
3	मनमोहन	70	M		पेंशनर		मनमोहन
4	ओमकार	55	M		रेलवे		ओमकार
5	राजेश	35	M		मजदूर		राजेश
6	Rashid	19	n		खेती		Rashid
7	शिवम	20	M		खेती		शिवम
8	Rabig	17	F		घर		Rabig
9	सुखदेव	20	M		Electrical		सुखदेव
10	सुखदेव	30	M		मजदूर		सुखदेव
11	वसुदेव	62	M		कृषक		वसुदेव
12	सुखदेव	19	M		student		सुखदेव
13	शिवम	61	M		कृषक		शिवम
14	विनायक	50	M		मजदूर	नहीं	विनायक
15	वसुदेव	55	M		रेलवे		वसुदेव
16	मनमोहन	66	F		घर		मनमोहन
17	रजनी	60	M		घर		रजनी
18	सुखदेव	65	M		घर		सुखदेव
19	विनायक	18	M		स्ट्रिकर		विनायक
20	सुखदेव	42			रेलवे		सुखदेव

APPENDIX 3: PHOTOGRAPHS OF COMMUNITY CONSULTATIONS IN DVVNL











APPENDIX 4: PHOTOGRAPHS OF COMMUNITY CONSULTATIONS IN PVVNL

















APPENDIX 5: SAFEGUARDS SCREENING FORM

A. GENERAL INFORMATION

Subproject Name: _____
 Block Names: _____
 District Names: _____
 Package Number: _____
 Contractor: _____
 Construction timeline: _____

B. Screening of Subprojects for Involuntary Resettlement

Probable Involuntary Resettlement Effects	Yes	No	Not Known	Remarks
Involuntary Resettlement Impacts				
1. Does the subproject component have any impact on private land (i.e. installation of poles on and lines over the land)?				If no, then C as only government or public land affected, and the record of land ownership should be collected and kept. If yes, then B as there is impacts on private land, then social due diligence required as per Appendix 7.
2. If there is an impact on private land. Was alternative route by utilizing within an existing public Right of Way (ROW) explored?				
3. Is the site for the impact known?				
4. Is the ownership status and current usage of land to be acquired known?				
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 losses 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 livelihoods 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 Subproject? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, approximately how many?				
Are any of them poor, female-heads of households, or 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				

C. Screening of Subprojects for Indigenous Peoples Resettlement as per ADB

KEY CONCERNS (Please provide elaborations on the Remarks column)	YES	NO	NOT KNOWN	Remarks
A. Indigenous Peoples Identification				
1. Are there socio-cultural groups present in or use the subproject area who may be considered as scheduled tribes (hill tribes, schedules tribes, tribal peoples, and indigenous people or communities) in the subproject area?				
2. Are there national or local laws or policies as well as anthropological research/studies that consider these groups present in or using the subproject area as belonging scheduled tribes, tribal peoples, or cultural communities?				
3. Do such groups self-identify as being part of a distinct social and cultural group?				
4. Do such groups maintain collective attachments to distinct habitats or ancestral territories and/or to the natural resources in these habitats and territories?				
5. Do such groups maintain cultural, economic, social, and political institutions distinct from the dominant society and culture?				
6. Do such groups speak a distinct language or dialect?				
7. Has such groups been historically, socially and economically marginalized, disempowered, excluded, and/or discriminated against?				
8. Will the project target any of the groups and communities identified?				
9. Will the subproject directly or indirectly impact on their livelihood?				

SUBPROJECTS MAY ONLY PROCEED IF 'NO' WAS SELECTED FOR ALL THE ABOVE INDIGENOUS PEOPLES SCREENING QUESTIONS.

APPENDIX 6: SOCIAL DUE DILIGENCE REPORT OUTLINE

Due Diligence for Construction of Feeders (11kV Lines)

#	Particulars	Description/Details/Status
1	Length of feeders and numbers of poles	
2	Name of villages	
3	Name of circle/block	
4	Name of district	
5	Is it a tribal area? The answer must be No.	
6	Type of area (road/agricultural/ plantation/residential /commercial etc..) in the corridor?	
7	Ownership of land (private/ Government)	
8	If private land, how many poles are erected and how much private land occupied by the poles?	
9	Land use pattern for the locations of pole erection.	
10	Have the owner(s) provided consent to support ²⁹ on erecting the poles?	
11	If consent not given, then has compensation been provided to how many households and how much per each household?	
12	Is the feeder passing over houses or buildings?	
13	If yes, how many structures affected approximately?	
14	What type of the structures (residential/commercial/Others)?	
15	What are the impacts on the structures (i.e. number of structures affected, number of households affected and size of damages)?	
16	If damaged, has compensation been provided to how many households and how much per each household? Or damages repaired?	
17	Is the feeder passing over religious or cultural properties?	
18	What are the impacts on these properties (i.e. numbers of structures and size of damages)?	
19	If damaged, has it properly repaired or has compensation for repair been given to how many households and how much per household?	
20	Does the feeder require tree cutting?	
21	If yes, approximate number of trees to be cut	
22	Types and names of trees to be cut	
23	Has compensation been provided to how many households and how much per each household?	
24	Does the feeder require tree trimming?	
25	If yes, approximate number of trees to be trimmed	
26	Have the owner(s) agreed the tree trimming?	
27	If not, then has compensation been provided to how many households and how much per each household?	
28	Does the feeder have any impact on crops?	

²⁹ The format for consent to support is included in section C of Appendix 8.

29	If yes, how much of the crop area affected?	
30	What are the types of crops?	
31	Have the owner(s) agreed to bear the crop losses?	
32	If not, then has compensation been provided to how many households and how much per each household?	
33	Any other impacts? Please specify.	
34	Have consultations undertaken how many times and with how many participants (men and women)?	
35	Remarks	

Submitted by:

(DISCOM or its consultant)

Name and signature:

Position:

Date:

Reviewed by:

(DISCOM HQ)

Name and signature:

Position:

Date:

Note from the Reviewer, if any:

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APPENDIX 7: CONSULTATION PROFORMA

A. General Consultation

Major Issues to be discussed during the consultation:

1. The project information including implementation schedule
2. Project impacts on land, trees, structures, crops and other assets if any
3. Concerns raised by the participants
4. Support to the project
 - i. Yes (Number of participants disaggregating men and women), why?
 - ii. No (Number of participants disaggregating men and women), why?
2. Mechanism of grievance redressal with contact of focal persons.

Summary of Discussion:

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.....

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.....

Villagers		Program officials	
Name of the Participants	Signature	Name and designation of the official	Signature

B. Format of consent to support (this is only applied for affected persons whose private land and assets affected by poles and lines)

Details of the Affected Household

- Name of the affected household head:
- Name of the village:
- Location:
- DISCOM:
- Name of the Sarpanch and contact number
- Description of impacts

The interference to the private land is justified only if the following have been followed:

- All design alternatives have been reviewed to prevent impacts on the household.
- Impacts are marginal (based on percentage of loss and minimum size of remaining assets).
- Impacts do not result in displacement of households from their residential homes or cause loss of household's incomes and livelihood.

- Consultation discussions with the affected households have been conducted in a free and transparent manner and consent to support on erecting pole(s) has been expressed and given considering impacts on the land and other assets; and
- Proper documentation of consultation meetings, grievances and actions taken to address such grievances, if any.

Summary Record of Meetings and Discussions with Affected Household

Date	Location	Name of the Person	Position or title	Topics discussed with list of affected assets	Outcome of meeting	Contact Number	Signature

3rd Party acknowledgement:

I have observed the process as a [Village Headman or Counsel or Etc] and confirmed my presence as a 3rd party.

Signature

Submitted by:
 (DISCOM or its consultant)
 Name and signature:
 Position:
 Date:

Reviewed by:
 (DISCOM HQ)
 Name and signature:
 Position:
 Date:

Note from the Reviewer, if any:

APPENDIX 8: OUTLINE OF A SEMI-ANNUAL SAFEGUARDS MONITORING REPORT

UPPCL is required to prepare and submit to ADB a combined environment and social safeguards semi-annual monitoring reports that describes compliance with safeguard loan covenants, PAM, contract, progress with implementation of the SARF, EMPs, RP, quantitative monitoring results, environment, health and safety and social incidents and responses, grievances and responses, potential or actual non-compliance issues, and corrective actions. A sample Table of Contents that can be adapted as necessary is provided below.

TABLE OF CONTENTS

Part I – Introduction

- Project and subprojects description, including organogram of relationships with Contractors, owner, lender, etc.
- Design, pre-construction, construction, and operational activities and Project progress during previous 6 months
- Confirm if any changes in design and construction (e.g. alignment, construction methods) during previous 6 months
- Confirm if any changes in Project organization and Environmental, Health and Safety management team during previous 6 months

Part II – Loan Covenants

- Status of compliance with environment and social safeguard loan covenants and further action to ensure ongoing compliance; if there is partial or no compliance recommendations for corrective action are required.

Clause	Covenant	Status of compliance to date (full, partial, none, ongoing)	Comment/further action required including timeline

Part III – PAM and SARF

- Status of compliance with environment and social safeguard/monitoring section of PAM and further action to ensure ongoing compliance; if there is partial or no compliance recommendations for corrective action are required.

Para	Details	Status of compliance to date (full, partial, none, ongoing)	Comment/further action required including timeline

Part IV – Contract

- Status of compliance with environment and social safeguard section of Contracts and further action to ensure ongoing compliance; if there is partial or no compliance recommendations for corrective action are required.

Contract Package	Details	Status of compliance to date (full, partial, none, ongoing)	Comment/further action required including timeline

Part V – EMPs and RP

- Site inspections and audits completed—summarize the number and type of site visits, persons involved, and checklists/reporting format used (sample of checklists and reports to be included as an appendix)
- Status of compliance with EMPs and RP measures and further action to ensure ongoing compliance; if there is partial or no compliance recommendations for corrective action are required.
- Copies of clearances, CEMPs, construction method statements, and other documentation produced in accordance with EMPs and RP during the previous 6 months should be included as an appendix.
- Copies of training records related to EMPs and RP during the previous 6 months should be included as an appendix.

Item	Measure	Status of compliance to date (full, partial, none, ongoing)	Comment/further action required including timeline

Part VI - Environmental Monitoring

- Environmental monitoring results—summarize the previous six months quantitative monitoring activities and data obtained in accordance with the EMP and provide explanations of any instances where performance standards were exceeded along with details of responses taken to rectify the exceedance once identified. Typically, this section will include the results of:
 - Noise and vibration surveys
 - Water quality surveys
 - Air quality surveys
 - Flora and fauna surveys
 - Health and safety incident records
- Corrective actions are required to ensure any exceedances will be prevented in the future.
- Graphs can be used in this section to show trends; however, large tables of data or multiple graphs should be attached as an appendix. Calibration and QA certifications of monitoring equipment and laboratories analyzing samples should be included as an appendix.

Part VII – Social Monitoring

- The following key indicators will be included:
 - Number of affected households (AHs) who are affected by 11kV poles on their private land and number of AHs gave consent for land use or received compensation (during reporting period and total);
 - Number of affected households who lose their private assets (i.e. trees and crops) by 11kV poles and lines and number of AHs received compensation or gave consent for the losses (during reporting period and total);
 - Amount of the budget disbursed with breakdowns;
 - Number of the vulnerable households identified and linked with existing government programs and schemes (during reporting period and total), if any.

Part VIII – Consultation and Grievances

- Consultation – report on any ongoing consultation undertaken, and main issues raised by consultees; detailed consultation records should be included as an appendix.

Date	Format/Venue	Participants (Occupation, M/F, Vulnerability)	Main Issues Raised
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- Grievances - list any complaints received, however minor, and responses taken to them; detailed grievance records and response reports should be included as an appendix including total number of new grievances received, and closed in that period

Part IV - Environmental and Social Management

- Report on any unanticipated impacts and updates to IEE, EMPs and RP that were required during the previous 6 months, status of delivery of documents, required amendments, consultation and disclosure undertaken etc.
- Environment, health and safety incidents–summarize details of the responses taken to incidents that arose; detailed response reports should be included as an appendix.
- Non-compliance notices–summarize details on the number of notices given out, the issues covered, and status of compliance with them.
- Corrective action plans–summarize non-compliances identified and if non-compliance, report on timeliness for the preparation and completion of corrective action plan if not already included in above.

Annexes

- Sample checklists and reports
- Clearances and documentation
- Training records
- Photographs
- Detailed monitoring data
- Calibration and QA certificates
- Consultation records
- Consent to support given
- Grievance records
- Environment, health and safety reports

कार्यालय ज्ञाप संख्या-1003-कार्य/चौदह-पाकालि/2020-21-के/2020 दिनांक: 23 जुलाई, 2020 का संलग्नक

POLICY ON ENVIRONMENTAL AND SOCIAL SUSTAINABILITY

1. Introduction

Uttar Pradesh Power Corporation Ltd. (UPPCL) has been a pioneer in promoting innovative ideas and setting new standards in service delivery. The organization is continuously working towards sustainability of environment and safety. The Corporation is making every effort to ensure that the power requirements of the State are met, and the consumers are provided with reliable, quality and cost-effective electricity along with cleaner, safer and healthier environment with minimum/no social disturbances.

2. Social and Environmental Aspects and Policy Formulation

The distribution system includes and incorporates the distribution line, transformers, cables, switchyards and sub-stations etc. To cater to the power requirement of state, UPPCL is continuously engaged in developing new infrastructure of sub-stations and distribution lines for giving power to every household. UPPCL recognizes that the implementation of distribution schemes may have some unavoidable environmental and social implications in miniscule. The construction of sub-stations and laying of distribution lines would result in acquisition of land and some minor temporary damages to crop and trimming/lofting of tree branches. It is with this objective that UPPCL has formulated the Social Policy and Procedures (SP&P) to address all adverse impacts arising out of its distribution projects systematically.

UPPCL also has concerns for clean environment and sustainable development in all its activities. To achieve this objective, UPPCL has formulated environmental framework and safeguard mechanisms for distribution project and an Environmental Management Plan (EMP) to mitigate the ill effects of the developmental activities.

The Environmental Social Policy and Procedures (ESP&P) being implemented by UPPCL and its associated Discoms, are consistent with relevant national and state policies and regulations, inter-alia the Indian Electricity (Supply) Act 1948, Indian Electricity Rules, 1956 and Indian Electricity Act 2003.

3. Environment and Social Performance Parameters/Standards

UPPCL is developing an E&S assessment framework broadly encompassing the following points:

- i. Assessment and Management of Environmental and Social Impacts
- ii. Labour and Working Conditions
- iii. Community Health, Safety, and Security
- iv. Land Acquisition
- v. Biodiversity Conservation and Sustainable Management of Natural Resources
- vi. Indigenous People
- vii. Cultural Heritage

Central to these requirements is the application of a mitigation hierarchy to anticipate and avoid adverse impacts on workers, communities, and the environment.

Environment and Social Policy Statement of UPPCL

UPPCL is committed to identify, assess, and manage environmental and social concerns at both organization and project levels by consciously following the basic principles of avoidance, minimization and mitigation of environmental & social impacts with the improvement of Management System and introduction of State of the Art and proven technologies.

4. UPPCL and Associated Discoms' Commitments

- i. Ensure transparency of the project to all stakeholders through dissemination of information and consultation at every stage of project implementation.
- ii. Maintain highest standards of social and environmental responsibility not only towards its employees but also to the consumers and the community as well.
- iii. To minimize ecological impacts on environment, land and flora/fauna through progressive policies like consciously economizing on the requirement of land.

5. Principles of Environment and Social Policy / Safeguards

The key principles and safeguards of UPPCL environmental and social policy are:

- i. As far as possible avoid operations in environmentally sensitive areas with special respect for fragile ecosystems and their inherent biodiversity.
- ii. As far as possible avoid areas like high mountains, hilly terrain prone to landslides, large lakes, reservoirs and marshy places.
- iii. Care is taken to route the lines through a minimum disturbance path.
- iv. Avoid protected areas to the extent possible.
- v. ROW (Right of way) is selected duly considering the location of different utilities such as telecommunication lines, railway circuits, and gas pipelines to avoid interference.
- vi. Adoption of best technology/latest equipment to avoid pollution and to ensure electrical safety.
- vii. Minimizing energy losses and promote energy efficiency in all its activities.

UPPCL weighs due consideration to address the associated environmental & social issues in line with above principles to create a suitable organizational structure to implement mitigation measures systematically. The policy and procedures will be subject to periodical review in accordance with the guiding principles of avoidance, minimum disturbance and suitable remedial measures.

6. Environmental and Social impacts of distribution projects

UPPCL has a vast network of Distribution lines and substations spread across Uttar Pradesh. Operational activities and construction of new substations, lines, etc. may have some distinct environmental and social impacts. UPPCL has identified certain environmental and social issues typically associated with its projects.

Loss of Land

UPPCL normally receives land for their sub-stations provided by Gram-Sabha at free of cost/on lease for long period or at a very nominal token amount in rural areas; whereas in urban areas it is provided by Municipal Corporation/statutory body. However, if the land belongs to private owner, it is acquired at the rate prescribed by prevailing government policy. Normally no land is lost in erecting a distribution line. The line is preferably erected on the roadsides, canal sides, boundaries of the fields and on barren land. Similarly, the underground cable is also laid in such a way that it is not likely to be damaged during soil-tilling/ploughing. No compensation is admissible regarding pole erection, conductor stringing or cable laying.

Loss of Crop/Trees/Vegetation

Normally flexibility is adopted in choosing routes to avoid trees but in case, it is unavoidable then minimum trimming/pruning of tree branches is done. In case of complete loss of a tree/fruit bearing tree, adequate compensation is granted as per the prevailing rules as decided by the competent authority.

Every effort is made that erection is done during off-crop-season to avoid any damage to crop. If there is any significant damage to standing crop and/or trees or loss of crop due to electrical fire, the value of damaged crop is assessed by district authorities and is compensated accordingly.

Disposal of used transformer oil, batteries and capacitor bank

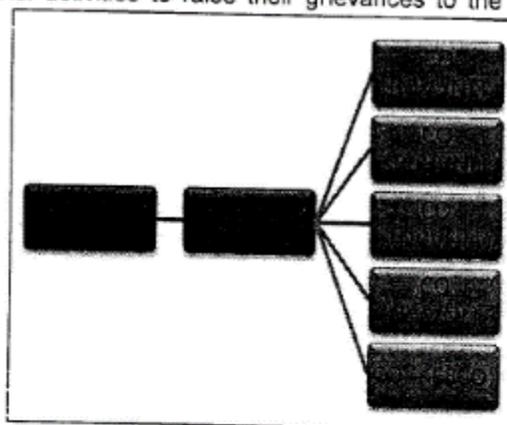
The used transformer oil, battery and capacitor banks are to be disposed - off with utmost care as per prescribed norms to minimize any ill-effect on environment.

UPPCL shall ensure a fair, efficient and transparent process relating to land acquisition, including loss of assets and other negative impacts on Affected Persons (APs) resulting from its development program, irrespective of sources of financing.

7. Institutional Arrangements and Grievance Redressal Mechanism

Considering the importance of accountability, the concerns and complaints of Affected Persons and Communities should be addressed in a manner that is fair, objective, and constructive. A mechanism shall be established through the Compliance Officer (CO) at Discom Level to enable individuals and communities affected by any operational activities to raise their grievances to the authority concerned. At UPPCL Head Quarter, an officer shall also be designated to coordinate across Discoms. The CO shall be an officer not below the rank of Chief Engineer (CE). At Discom level CO will act through Divisional Engineer and respective Zonal Chief Engineer as part of grievance redressal mechanism.

The CO shall respond to the complaints from those affected by any operational activities by UPPCL/Discoms with the goal of enhancing environmental and social outcomes on the ground and fostering greater public accountability. The Discom CO shall update the UPPCL CO on regular basis. The E&S Grievance Redressal Cell is to be headed by Director (P&A), UPPCL



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