

Due Diligence Report on Resettlement

Project Number: 43574-025

July 2015

India: Uttar Pradesh Major District Roads
Improvement Project
Bulandshahr-Anoopshahr Road

Prepared by Uttar Pradesh Public Works Department, Government of India for the Asian Development Bank.

CURRENCY EQUIVALENTS

(as of 19 March 2015)

Currency unit	-	Indian rupee (Rs.)
Rs1.00	=	\$0.0181438810
\$1.00	=	Rs.62.41

ABBREVIATIONS

ADB	-	Asian Development Bank
AE	-	Assistant Engineer
ASF	-	Assistant Safeguards Focal
BPL	-	Below Poverty Line
BSR	-	Basic Schedule of Rates
CPR	-	common property resources
CSC	-	construction supervision consultant
DC	-	district collector
DPR	-	detailed project report
EA	-	executing agency
EE	-	executive engineer
FGD	-	focus group discussion
GOI	-	Government of India
GRC	-	Grievance Redress Committee
IA	-	implementing agency
IP	-	indigenous peoples
IR	-	involuntary resettlement
LAA	-	Land Acquisition Act
LAP	-	land acquisition plan
NGO	-	nongovernment organization
RFCT in LARR	-	Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act
RFCT in LARR (Ordinance)	-	Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (Amendment) Ordinance. 2014
PD	-	Project Director
PAP	-	Project Affected Person
PAF	-	Project Affected Family
PDF	-	Project Displaced Family
PDP	-	Project Displaced Person
PIU	-	project implementation unit
R&R	-	resettlement and rehabilitation
RF	-	resettlement framework
ROW	-	right-of-way
RP	-	Resettlement Plan
SC	-	scheduled caste
SPS	-	ADB Safeguard Policy Statement, 2009
ST	-	scheduled tribe
TOR	-	Terms of Reference
UPPWD	-	Uttar Pradesh Public Works Department
VLC	-	Village Level Committee

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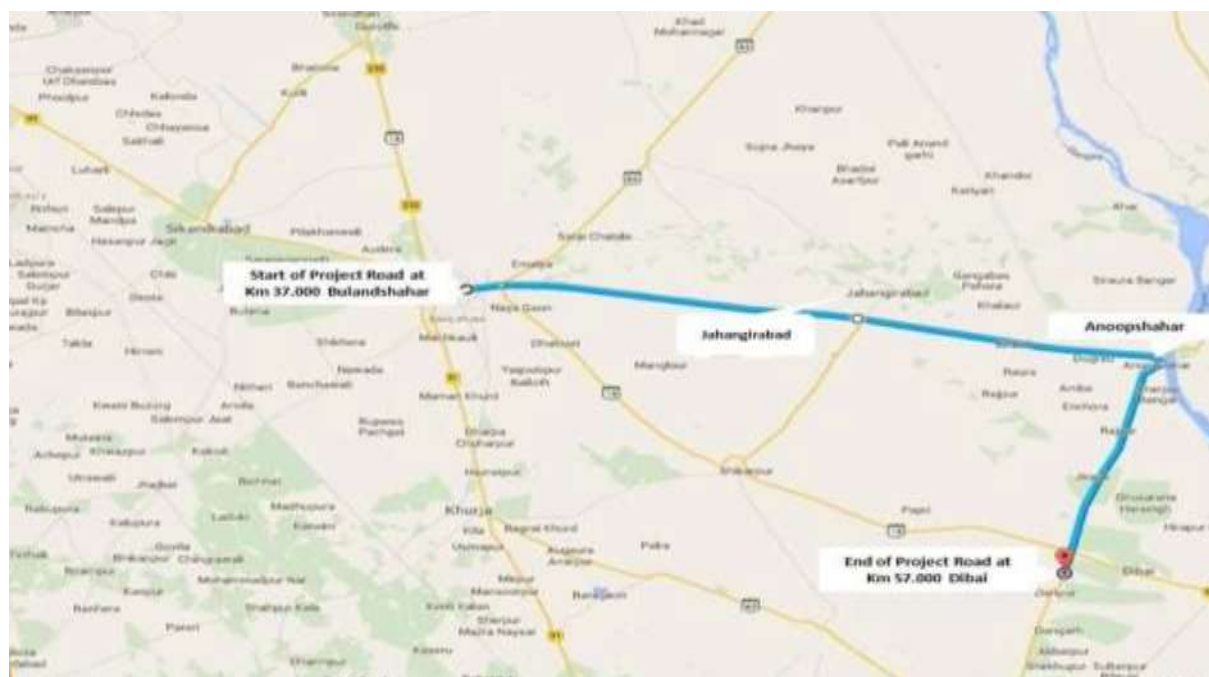
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I. Description of the Sub-project

1. Uttar Pradesh is India's most populous state with population of about 200 million. The state also has the largest rural population in the country. While the dependence on agriculture is high, the road network is not very well developed: the state has a road network density of about 72 km per 100 sq. km, against the national average of 107. Uttar Pradesh Major District Roads Improvement Project (UPMDRIP) seeks to upgrade and rehabilitate about eight (8) major district roads (MDR) for a total of 431 km. The estimated cost of the project is about \$428 million, of which \$300 million would be financed by ADB as a project loan. The list of project roads and widening option has been outlined in **Annex 1**. The project's Executing Agency (EA) is Uttar Pradesh Public Works Department (UPPWD).

Figure1: Sub-project Location Map



2. This document is the Due Diligence Report (DDR) for Bulandshahr-Anoopshahr Road, given that the findings of the social impact assessments of the proposed civil works demonstrate no impacts on private properties nor private land acquisition requirements. Only minor impacts on 13 CPRs (i.e. 6 hand pumps, partial impact on 3 religious structures and 4 sheds) were identified. A social impact assessment was conducted between December 2014 and 16-18 March 2015. The DDR describes the key activities undertaken in the social impact assessments as well as its findings.

3. The project is located in Bulandshahr district. The road starts from Jatwai village (Km.20.00) to Debai chowk (Km. 56.000). The total length of the project road is 36.000 Kms. The existing carriageway configuration is two lanes with earthen shoulders having the width of carriageway vary between 5.50m and 7.30m. The road was upgraded in 2014 and the existing pavement condition is good to fair.

4. It is now proposed to further widen and upgrade the road to a two lanes, 12 meters width.

5. The widening proposal in road corridor is within the right-of-way owned by UPPWD. The available width is sufficient to accommodate the proposed widening/ two- laning of the road without triggering resettlement impacts. The improvement work extends to all components of the road, namely, pavements, drains, structures within Right-of-Way (Row), improvement of the road geometry etc.

6. Should, during implementation, the project result in involuntary resettlement impacts, UPPWD will prepare a Resettlement Plan (RP) following the procedures outlined in the ADB Safeguards Policy Statement (2009), the Resettlement Framework¹ and the requirements of the Government of Uttar Pradesh, including conducting a social impact analysis and get the RP approved by ADB prior to the commencement of the civil work.

II. Objectives of the Brief Notes of Resettlement Impacts

7. Normally, a Resettlement Plan is prepared to address the impacts on population and properties. It provides an analysis of the impacts, identifies the nature and types of losses, and establishes an entitlement matrix as a guide to payments for compensation and resettlement benefits. However, during the social impact assessment of the Bulandshahr-Anoopshahr road, no impact on private properties was identified. This Due Diligence Report describes the process and key findings of the social impact assessment.

8. The social impact assessment (SIA) identified that the ROW belongs to UPPWD and is sufficient for the proposed civil works. Thus, no private land acquisition is required. UPPWD's ROW, which ranges from 23.60 to 52.80 mtrs, was confirmed with the Land Revenue Records Department and the road residents. ROW details per 500 meters can be found in Annex-3.

9. The social impact assessment, which involved conducting a survey along the Corridor of Impacts (COI) did not identify any impacts on private structures, crops or trees nor livelihood. The road does not pass through densely populated areas and there is no encroachment close to the COI.

10. However, the SIA identified impacts on 13 Community Property Resources, including partial impacts on 3 religious structures. Moreover, it is possible that the subproject leads to temporary loss of land (see Table 1 below and Annex 4 for more details).

Table 1: Summary Sub-project Impacts

Sl. No.	Impacts	Mitigation Measure
1	13 CPRs (common property structures) affected: <ul style="list-style-type: none"> ▪ 06 Hand Pumps ▪ 04 Rest Sheds ▪ 03 Religious (2 small temple and a Shrine) 	Financial compensation
2	It is possible that the road improvement would lead to temporary use of land during construction activities.	Rent at market value for the period of occupation. Restoration of land to previous or better quality Location of construction camps will be fixed by contractors in consultation with Government and local community.

¹ A Resettlement Framework has been prepared by ADB and the UPPWD to guide the preparation of the Resettlement Plan and meet the legislative requirements for the implementing agencies to conduct the resettlement activities under the project.

III. Stakeholder Consultation and Disclosure of Project Impacts

11. During the PSA preparation, consultations were held with residents and commercial establishment owners along the project corridor as well as with officials of the district administration, revenue department and elected members of the local panchayat. Between 26-28 December 2014 and 16-18 March 2015, 2 public consultation meetings and 5 Focus Group Discussions (FGDs) were conducted involving the participation of more than 190 people.

Table 3: Village wise Scheduled Public Consultations and FGD

Sl. No.	Village Name	Date	District	No. of Participants	Types of PC/FGD
1	Jatwai	27/12/2014 & 17/04/2015	Bulandshahr	25	Public Consultation & Women Group
2	Gahana	27/12/2014	Bulandshahr	15	Public Consultation
3	Salgawan	16/04/2015	Bulandshahr	40	SC Group & Women Group (FGD)
4	Birouli	27/12/2014 & 17/04/2015	Bulandshahr	60	Farmer Group and Women Group (FGD)
5	Birpur	26/12/2014 & 03/04/2015	Bulandshahr	25	Farmer Group and Women Group (FGD)
6	Jirauli	28/12/2014	Bulandshahr	25	Public Consultation and Farmer Group
7	Amarpur	28/12/2014	Bulandshahr	15	Public Consultation and Farmer Group

Note- FGDs- Focus Group Discussions, PC- Public Consultation

12. The objectives of the consultations included informing the participants about the project, hear their views and concerns as well as their opinions about the project's perceived benefits. The views of the consulted groups were integrated into the project design to the extent possible. The key activities of the consultation process are summarized in **Annex 5**. The electronic version of the Due Diligence Report will be disclosed on the EA and ADB's official websites. The NGO/agency that will be recruited by UPPWD to implement the RPs for the other 7 subproject roads will conduct all the social activities for this subproject including, information dissemination and consultation and conducting HIV/AIDS, human trafficking and road safety awareness campaigns. Moreover, at the onset of project implementation, signpost with the contact information of the grievance contact person (Assistant Safeguards Focal, based in the field PIU in Moradabad) will be posted in strategic location. Consultation will be ongoing during project implementation by the IA with the support of the NGO.

IV. Identification of Critical Stretches and Mitigative measures

13. Critical stretches were assessed during the SIA preparation and mitigation measures were included into the road design. As a result, a temple at Km. 35.820 in Anibash Nagar village, which was coming within the proposed Col (situated just 5.5 meters away from the centreline of the road) was saved by mitigating measures. UPPWD agreed to shift the alignment to the right (Eccentric widening) to avoid the structure.



V. Gender Assessment

14. The Socio-economic survey and discussion with women in the project area showed that most women (**63.33%**) work in agricultural activities. Most of the women reported that they look after their reproductive and productive roles simultaneously by working in shops as well as taking care of household tasks, such as cooking, washing, cleaning, nursing, bearing and looking after children, fetching water and fuel, etc. Any activity that can generate cash income is preferred to be done at home, or near home. For details see **Annexure-6**.

15. The gender assessment also highlights a lack of basic facility and transportation in the project area. Accessibility to amenities and facilities affects women's daily lives. During the survey process, the accessibility to services and facilities has been assessed, the most important of which was the finding that it could take 2 to 3 hours to access a health facility. The FGDs revealed that women reported having limited mobility and therefore expressed preference to work near their homes.

16. The perceived benefits of the project from were also discussed and included the following:

- Improved access to social facilities like health, education
- Increase in income generating activities
- Perceived frequent and affordable transport
- Management of emergency situation
- Increased frequency of health workers, extension workers visits
- Improved access to market
- Reduced time spent on firewood collection
- Less flooding
- Side pavements will make walking easy

17. The women consulted perceived little negative impacts of the road improvement besides for the loss of assets and road safety concerns.

VI. Implementation Arrangements and Grievance Redress Mechanism

18. A project-specific grievance redress mechanism (GRM) has been set up to receive, evaluate and facilitate the resolution of people's concerns, complaints and grievances about the

social and environmental performance at the level of the Project. The GRM will aim to provide a time-bound and transparent mechanism to voice and resolve social and environmental concerns linked to the project. The project-specific GRM is not intended to bypass the government's own redress process, rather it is intended to address concerns at a local level.

19. A Grievances Redressal Committee (GRC) will be constituted at 2 levels- field level and state level as has been outlined below:

20. The Field level GRC will comprise of the:

- (i) Executive Engineer, field PIU, Moradabad
- (ii) Assistant Safeguards Focal (ASF), field PIU, Moradabad
- (iii) Resettlement Expert from the CSC
- (iv) Environmental Expert from CSC
- (v) A representative from AP community.

21. The State level GRC will comprise of the:

- (i) Executive Engineer, UPPWD
- (ii) Social Safeguards Project Officer, UPPWD Central
- (iii) Resettlement Expert Consultant
- (iv) Environmental Expert Consultant
- (v) Resettlement Expert from the CSC
- (vi) Environmental Expert from CSC

VII. Institutional Framework

22. The Executing Agency for the project will be Government of Uttar Pradesh through UPPWD. The institutional framework and the roles and responsibilities of various institutions to be involved in the consultations and conduction of social activities are described below.

23. **Staffing at the EA level:** A Chief Engineer (CE) at UPPWD headquarters based in Lucknow has been designated as person in charge for project implementation. A dedicated Social Safeguards Project Officer (SPO), reporting to the CE, will be responsible for ensuring compliance with social safeguards of all project roads. The SPO will be allocated by the EA. He/she will be supported by an outsourced Resettlement Consultant. The project implementation unit (PIU) will be UPPWD Moradabad Division responsible for the management of subproject road's civil works. The PIU will be headed by a Divisional Manager (Tech.) and will have one Assistant Safeguards Focal (ASF), responsible for the management of both environmental and social safeguards at the subproject road level. During the inception mission, the ADB will provide training to the newly appointed staff and PIU focal points.

24. **Construction Supervision Consultant (CSC):** UPPWD will engage a Resettlement/social Specialist with Construction Supervision Consultants (CSC) to guide and monitor the implementation of the RPs for the other 7 subproject roads as well as the implementation of the consultations and other social activities (HIV/AIDS, human trafficking and road safety awareness campaigns) of all UPMDRIP roads, including the Bulandshahr-Anoopshahr road. He/she will also prepare the social monitoring reports semi-annually and submit it to UPPWD/ADB.

25. **DDR Implementing Consultant/NGO:** A qualified and experienced firm, DDR implementing Consultant/NGO will be recruited to implement the Resettlement Plans of the other 7 subproject roads under UPMDRIP. It will also conduct the other social activities (i.e. consultations and HIV/AIDS, human trafficking and road safety awareness campaigns) of all subproject roads, including the Bulandshahr-Anoopshahr road.

VIII. Budget

26. The total estimated cost for resettlement operation and management for the Project is **Rs 0.34 Crores or USD 0.55 million**

Table 6: Consolidated Resettlement Budget & Cost Estimates

Ref. No.	Component	Unit	Unit Rate	Quantity (Sq. Mtrs.)	Amount Rs in Lakhs
			(INR in lakhs)		
A	Land & Building				
1	Land Cost	NA	0	0	0
2	Temporary Structures	Sq.m	0	0	0
3	Semi-permanent Structures	Sq.m	0	0	0
4	Permanent Structures	Sq.m	0	0	0
	Total				
B	R&R Assistance				
1	Building restoration grant for partially affected structures	Sq.m	10% of total compensation of structure (As per EM of RF in Sl. No. B(2) e)	0	0
2	Assistance for vulnerable households	One Time	NA	0	
				Total	
C	Community Assets				
1	Bus shed	Unit	95000	4	380000
2	Hand pump	Unit	45000	6	270000
3	Shrine	Unit	25000	1	25000
4	Temple (Small)	Unit	100000	2	100000
5	Temple Boundary	Running Mtrs.	2000		0
				Total	775000
D	Implementation Arrangement				
1	DDR Implementation Agency (Optional)	Lump sum	2000000		2000000
2	External Monitor	Part of CSC contract	-	-	-
4	Administrative expenses (GRM, field trips, arrangement of meetings etc.)	Lump sum	150000		150000
5	Consultations	Lump sum	150000		150000
6	Capacity-building to the PIU/EA	Lump sum	Internal Arrangement		0
				Total	2300000

Ref. No.	Component	Unit	Unit Rate	Quantity (Sq. Mtrs.)	Amount Rs in Lakhs
			(INR in lakhs)		
TOTAL (A +B+C +D)					3075000
Contingency 10%					307500
Grand Total					3382500
In Crores					0.34

*- The cost of the independent External Monitor/consultant of Rs. 300000 is a share of Total cost estimated to Rs 2400000 for 7 sub-project roads for which RP will be require and for implementation of DDR, however, this sub-project hardly need an independent Evaluation Consultant.

Annex 1- List of Project Roads

S. No.	Road No	Name of the Project Road	District name	Length (Km)
1	MDR 81C	Hussainganj- Hathgaon- Auraiya- Alipur	Fatehpur	36
2	MDR 82W	Nanau to Dadau	Aligarh	30
3	MDR13W	Muzaffarnagar to Baraut	Muzaffarnagar and Baghpat	59
4	MDR 66E	Haliyapur to Kurebhar	Sulltanpur	96
5	MDR O31	Kaptanganj-Hata-Gouribazar & Kaptanganj-Naurangiya	Deoria and Kushinagar	84
6	MDR 58W	Bulandshahar to Anoopshahar	Bulandshahar	36
7	MDR 52C	Mohanlalganj – Morava- Unnao Marg	Unnao	54
8	MDR 45W	Aliganj-Suron Marg	Etah and Kanshiram Nagar	36
Total Road Length				431

Annex 2- Widening Scheme Bulandshahr-Anoopshahr Road

Design Chainage (Km)		Type Of C/S	Type Widening	Length(m)
From	To			
19900	20300	TCS-6	Reconstruction Rural	400
20300	21150	TCS-7	Reconstruction Urban	850
21150	27000	TCS-6	Reconstruction Rural	5850
27000	29500	TCS-1	Concentric Widening Rural	2500
29500	30000	TCS-6	Reconstruction Rural	500
30000	31700	TCS-1	Concentric Widening Rural	1700
31700	32350	TCS-3	Concentric Widening Urban	650
32350	34909.5	TCS-1	Concentric Widening Rural	2559.5
34909.5	34930.5	Minor Bridge	Minor Bridge	21
34930.5	38200	TCS-1	Concentric Widening Rural	3269.5
38200	40050	TCS-3	Concentric Widening Urban	1850
40050	40150	TCS-4	Eccentric Widening LHS Urban	100
40150	40190	TCS-3	Concentric Widening Urban	40
40190	40220	TCS-5	Eccentric Widening RHS Urban	30
40220	40830	TCS-3	Concentric Widening Urban	610
40830	40860	TCS-5	Eccentric Widening RHS Urban	30
40860	41800	TCS-3	Concentric Widening Urban	940
41800	46500	TCS-1	Concentric Widening Rural	4700
46500	46780	TCS-2	Eccentric Widening LHS Rural	280
46780	49600	TCS-1	Concentric Widening Rural	2820
49600	50200	TCS-3	Concentric Widening Urban	600
50200	52150	TCS-1	Concentric Widening Rural	1950
52150	52600	TCS-3	Concentric Widening Urban	450
52600	53346.15	TCS-1	Concentric Widening Rural	746.15
53346.15	53373.85	Minor Bridge	Minor Bridge	27.7
53373.85	53800	TCS-1	Concentric Widening Rural	426.15
53800	54000	TCS-3	Concentric Widening Urban	200
54000	54200	TCS-7	Reconstruction Urban	200
54200	54500	TCS-6	Reconstruction Rural	300
54500	55700	TCS-1	Concentric Widening Rural	1200
55700	56020	TCS-3	Concentric Widening Urban	320

Source: Detailed Design Report (DPR Consultant)

Annex 3- Description of Methodology to Assess the Right of way (ROW)

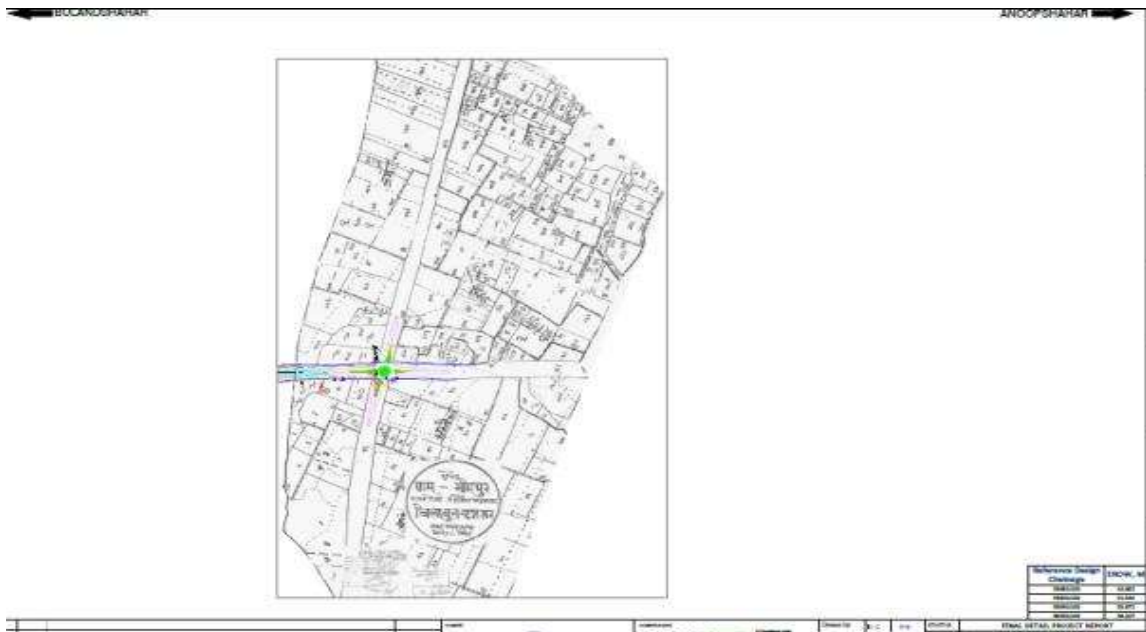
Approach taken to substantiate Right of Way (RoW) records

1. In the process to collect the information on ROW for the sub-project road, first local PWD office was contacted and received an official confirmation of ROW from the office. Moreover, an authentication of ROW from the Revenue department was also important in the process, however, collection of information from the revenue department within a limited timeframe was a phenomenal task.
2. Reverting the concern on documentary evidence, a serious discussion with UPPWD was held on 15th May 2015 at Chief Engineer's office, Lucknow. In response, a letter has been written by the chief Engineer's office to all the concerned district magistrate to instruct and direct their local revenue office to provide ROW details for all the concerned sub-project roads (Refer letter no.-431/2-02/UPADB/CEWB/2013, dated 15th May 2015). But this process itself was not so easy as about 14 districts were identified as affected by the project and within all the concerned districts a number of revenue offices at Tehsil and Panchayat level were required to be contacted to get the information, once the local revenue office get the instruction from DM office.
3. This process, itself was taking so much of time to collect the required information within limited resources as it was very difficult to approach/contact the DM for obtaining maps individually, as he is the key officer in the district and look after district administration and allied tasks. In addition, getting certification on each map is a huge task because the Lekhpals of Panchayats, who are significant in number (about 32), are available in their office on 1-2 days in a week to share details of maps.
4. Keeping in mind all the endorsed constraints, it has been finalized to collect the Sajra Map of sub-project road from local Lekhpal (revenue official at panchayat level) and analyze the ROW details chainage wise and prepare a table of ROW for different locations. However, given the timeframe following action was taken to collect the ROW details for complying with ADB requirements:
 - a) Given the time constraints, 10 - 15% of Sajra Map on sample basis, spread over entire alignment has been collected. However, within that sample, special care was taken to collect all maps of very congested and habitation area, where resettlement impacts are most severe.
 - b) The copy of Sajra Map of all the significant area, with respect to resettlement, was collected from the local Lekhpal showing the ROW
 - c) The PWD staff verified the ROW by signing on the respective map.
 - d) On the basis of collected Sajra Map, the ROW was marked and calculated by CADD Expert and a Table was prepared on excel sheets, delineating the ROW details at different locations.

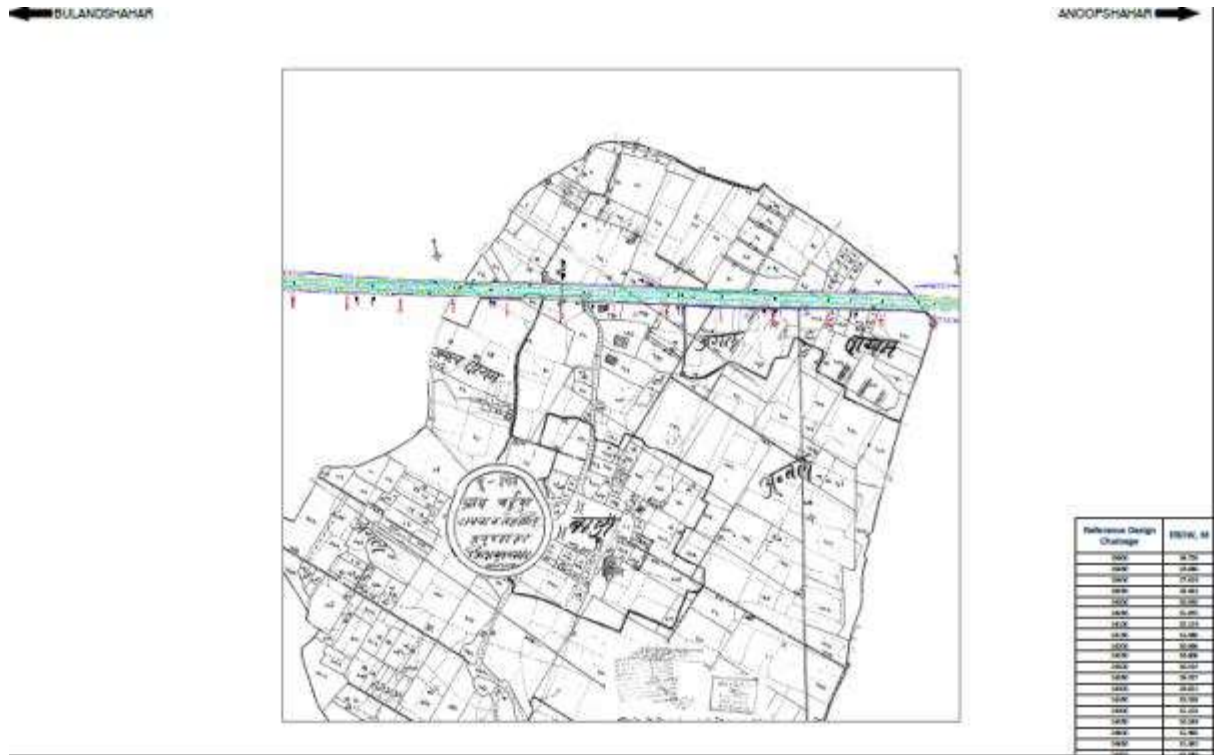
Certified Sajra Map on sample basis (10-15%)



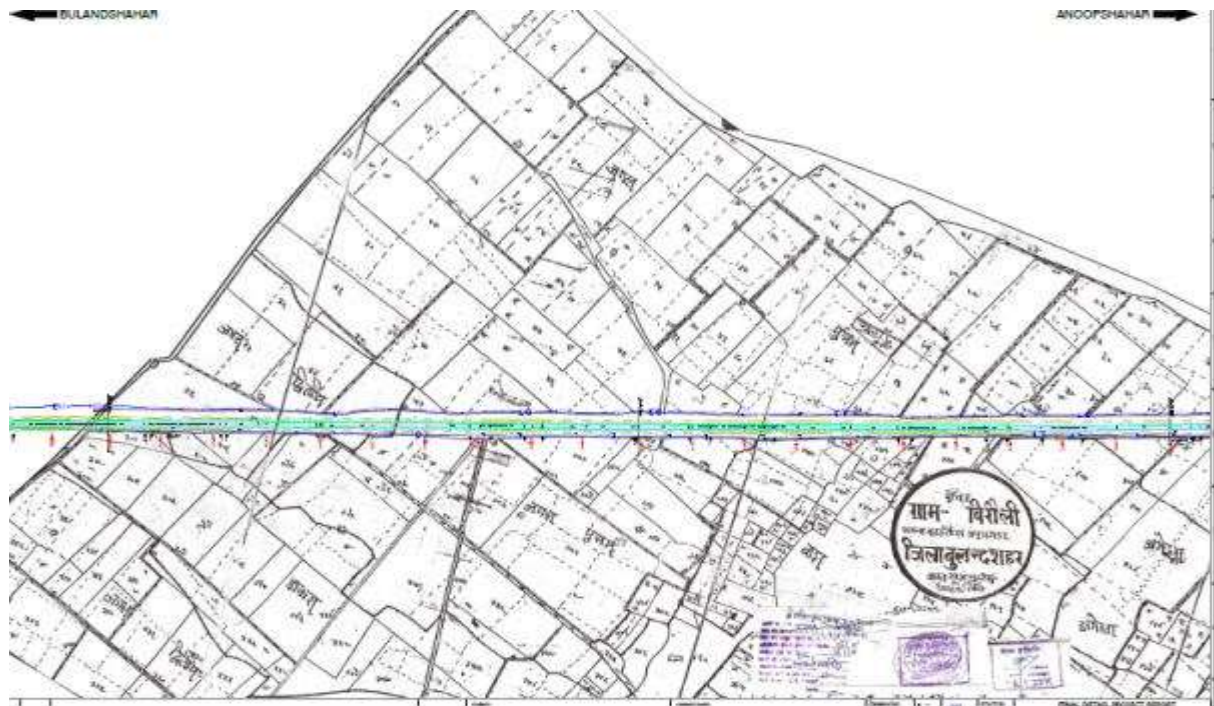
Sajra Map of Anivas Village



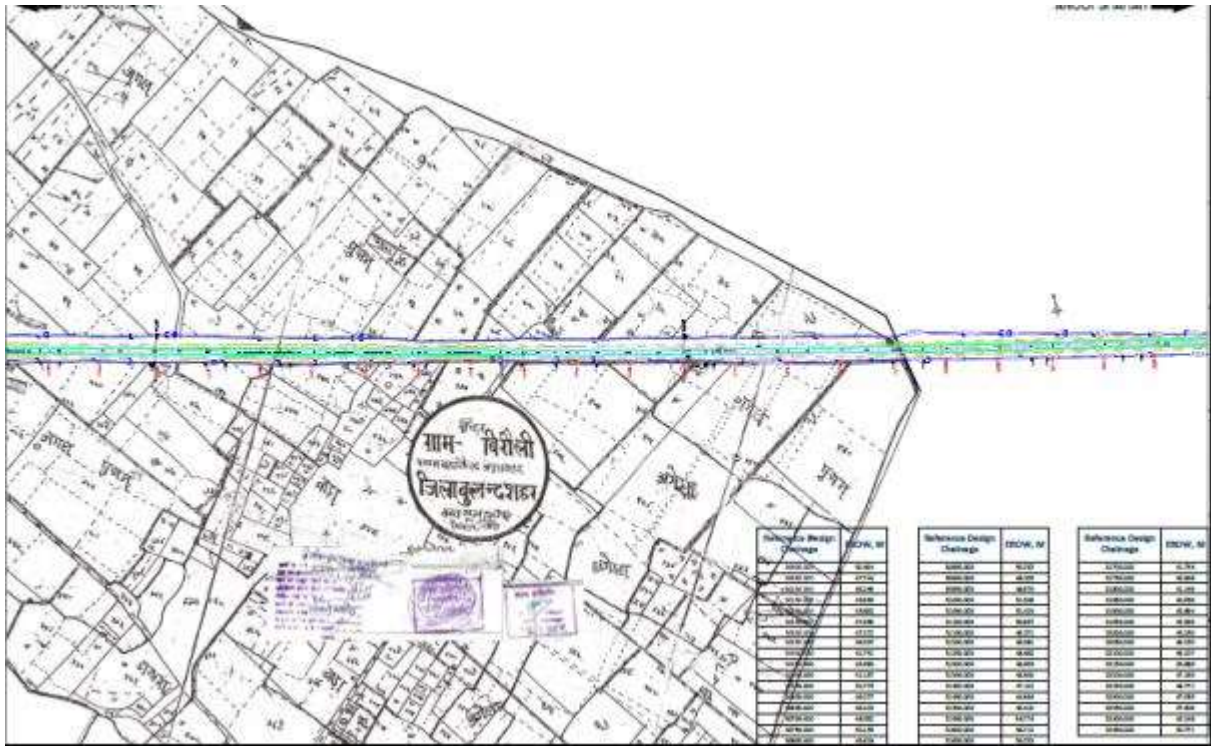
Sajra Map of Bheempur Village



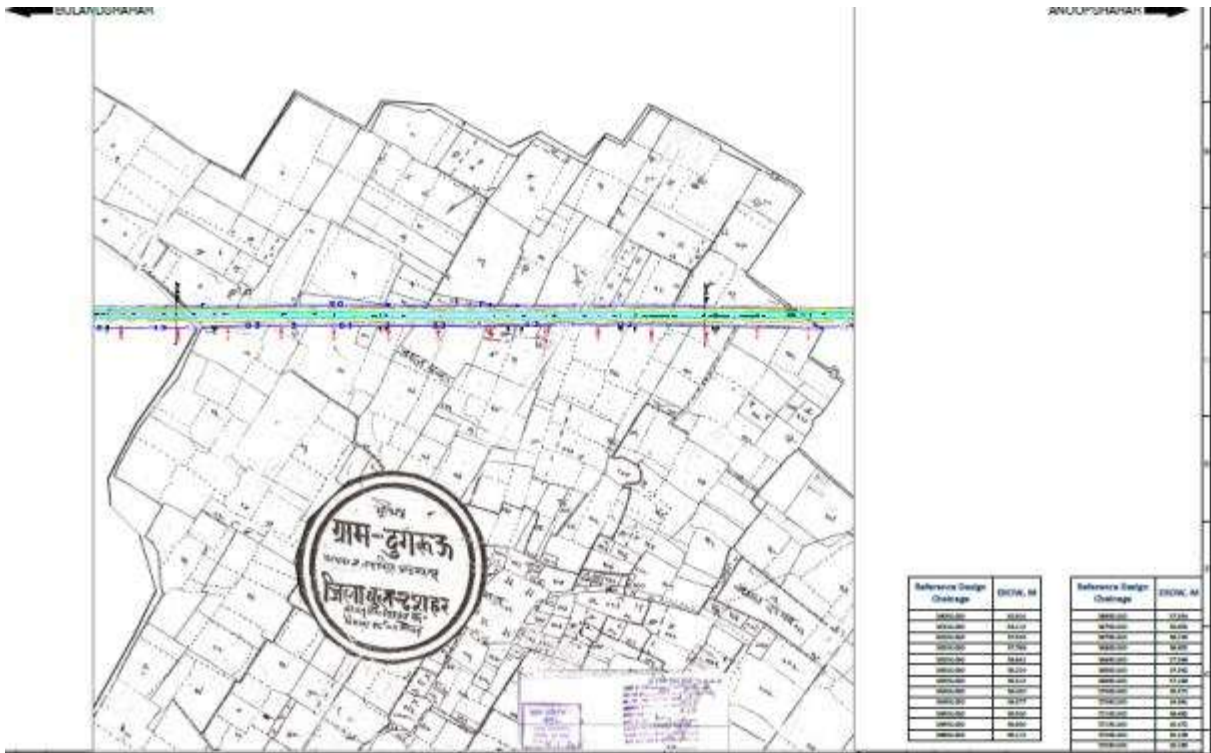
Sajra Map of Bhaipur Village



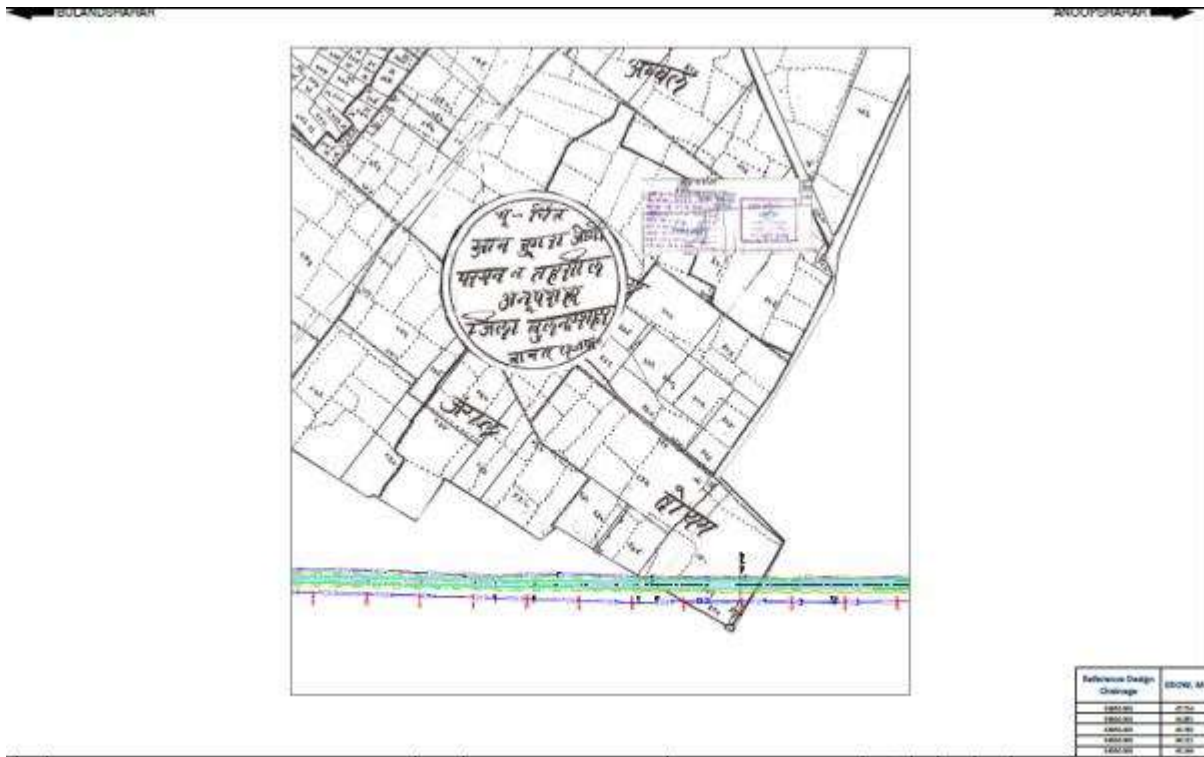
Sajra Map of Birauli Village-1



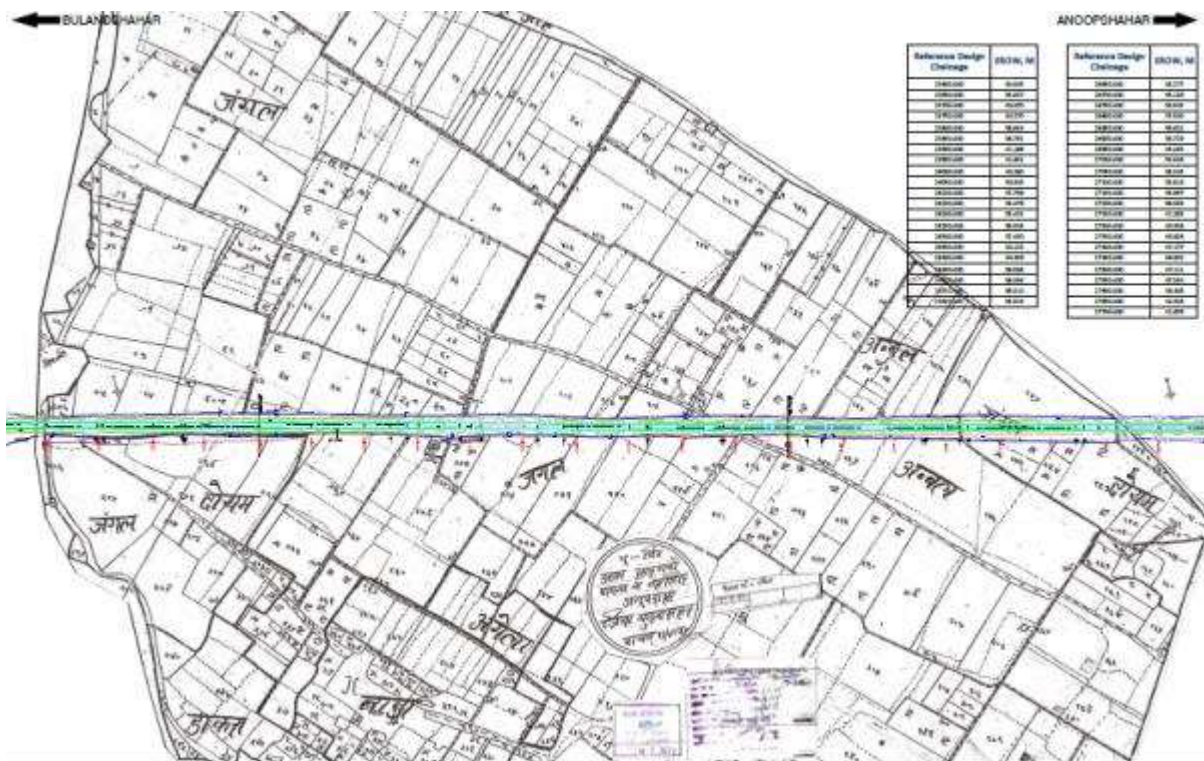
Sajra Map of Birauli Village-2



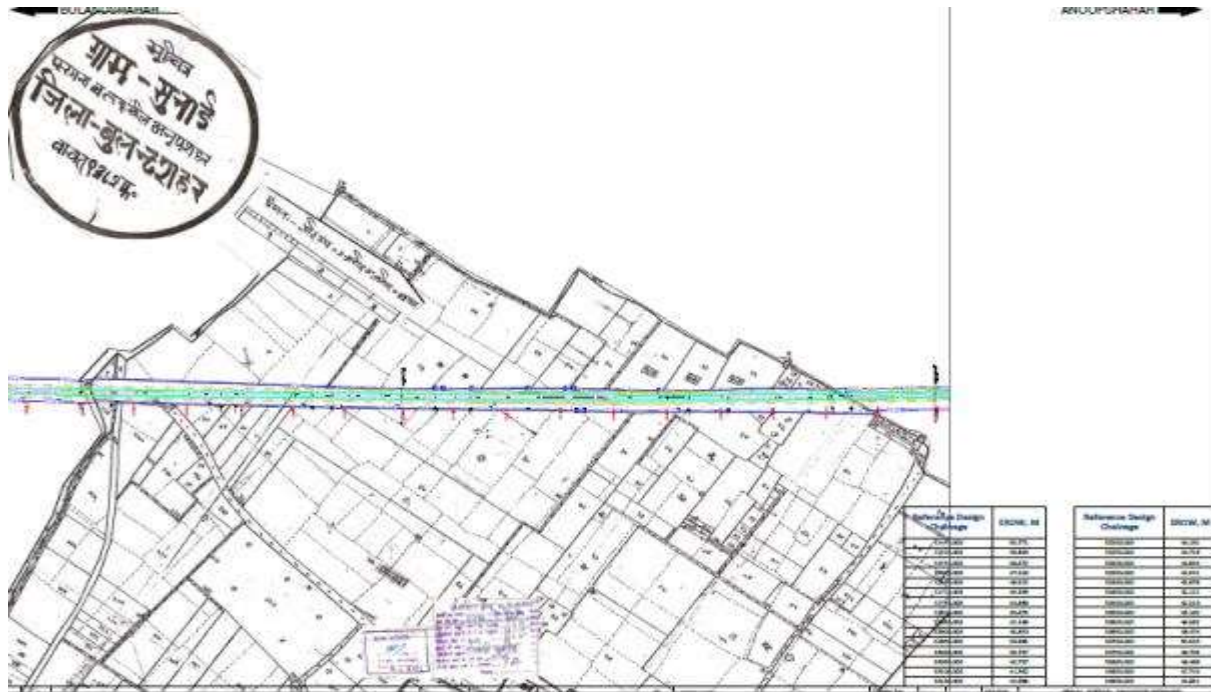
Sajra Map of Dugrau Village



Sajra Map of Dungara Village



Sajra Map of Salgavan Village



Sajra Map of Sunai Village

Width of the Existing RoW as confirmed with Revenue Department

S. No.	Reference Design Chainage		EROW	
1	19900	20400	23.60	28.20
2	20400	20900	25.00	43.70
3	20900	21400	39.80	50.10
4	21400	21900	33.40	42.10
5	21900	22400	27.60	32.00
6	22400	22900	26.00	29.60
7	22900	23400	28.70	33.20
8	23400	23900	25.70	32.60
9	23900	24400	27.70	32.20
10	24400	24900	29.70	68.30
11	24900	25400	64.90	71.40
12	25400	25900	30.70	73.00
13	25900	26400	34.50	41.70
14	26400	26900	35.20	40.50
15	26900	27400	33.60	46.00
16	27400	27900	41.70	47.20
17	27900	28400	41.40	46.80
18	28400	28900	40.40	48.50
19	28900	29400	41.20	44.90
20	29400	29900	40.20	44.10
21	29900	30400	45.70	50.50
22	30400	30900	42.80	52.80
23	30900	31400	48.10	51.50
24	31400	31900	38.80	47.20
25	31900	32400	43.40	48.80

S. No.	Reference Design Chainage		EROW	
26	32400	32900	42.20	50.80
27	32900	33400	39.80	44.80
28	33400	33900	42.20	50.10
29	33900	34400	44.70	46.50
30	34400	34900	38.00	49.20
31	34900	35400	39.40	45.90
32	35400	35900	40.40	44.90
33	35900	36400	37.60	41.80
34	36400	36900	35.70	39.90
35	36900	37400	34.50	37.60
36	37400	37900	31.50	36.90
37	37900	38400	35.30	36.90
38	38400	38900	30.70	35.00
39	38900	39400	29.60	31.90
40	39400	39900	19.20	32.10
41	39900	40400	18.10	23.50
42	40400	40900	18.10	44.60
43	40900	41400	33.40	42.90
44	41400	41900	29.40	41.10
45	41900	42400	27.70	33.60
46	42400	42900	27.80	31.40
47	42900	43400	26.10	30.60
48	43400	43900	28.90	46.40
49	43900	44400	30.00	34.30
50	44400	44900	29.60	42.60
51	44900	45400	37.20	39.80
52	45400	45900	33.90	37.40
53	45900	46400	35.10	37.00
54	46400	46900	32.90	35.90
55	46900	47400	25.10	51.70
56	47400	47900	36.70	42.90
57	47900	48400	34.80	40.80
58	48400	48900	27.90	36.60
59	48900	49400	26.60	31.00
60	49400	49900	29.50	40.20
61	49900	50400	28.10	34.10
62	50400	50900	26.70	31.80
63	50900	51400	30.70	33.50
64	51400	51900	26.10	42.10
65	51900	52400	35.70	44.90
66	52400	52900	37.10	40.70
67	52900	53400	35.10	38.10
68	53400	53900	26.80	34.90
69	53900	54400	35.70	39.60
70	54400	54900	34.50	44.50
71	54900	55400	27.20	37.40
72	55400	55900	34.90	39.00

Source/ Basis- Sajra Map of affected Villages

Annex 4- List of Affected CPRs/ Govt. Properties

Sl. No.	Side	Existing Chainage (Km.)	Village	Type of Properties	Distance from C/L (in mts.)	Total Area (in Sq.m.)			Type of Construction
						Length	Width	No. of Floors/ Stories	
1	Right	22.680	Chandab Dauraha	Rest Shed	6.0	6.0	3.0	1	Pucca
2	Left	25.310	Bhoipur Chowraha	Rest Shed	5.0	5.0	3.0	1	Pucca
3	Left	27.490	Salgwan	Temple (Hanuman Temple)	6.0	3.0	3.0	1	Pucca
4	Left	27.500	Salgwan	Hand Pump	5	N.A	N.A	NA	N.A
5	Left	27.800	Salgwan	Rest Shed	6.0	5.3	3.0	1	Pucca
6	Left	33.795	Dungra Jogi	Rest Shed	6.0	5.4	3.0	1	Pucca
7	Right	35.590	Anibash Nagar	Temple	6.0	3.1	4.0	1	Pucca
8	Right	38.090	Hind Pur	Shrine	5.8	3.8	3.8	1	Pucca
9	Right	39.850	Karanpur Kalan	Hand Pump	6	N.A	N.A	NA	N.A
10	Right	40.110	Khalikabad /Dungrajat	Hand Pump	6	N.A	N.A	NA	N.A
11	Right	47.970	Surajpur Makhaina	Hand Pump	6	N.A	N.A	NA	N.A
12	Left	50.470	Daulatpur Khurd	Hand Pump	6	N.A	N.A	NA	N.A
13	Left	52.980	Pandrawal	Hand Pump	6	N.A	N.A	NA	N.A

Annex 5: Description of the Consultation Process

This Annex provides a summary of the key findings from the different consultation methods undertaken during the consultation process (i.e. public consultation meetings, FGDs, etc...).

A. Public Consultation Meetings/Individual interviews:

Table A below relates to the public consultation meetings, where a significant number of persons participated in the consultations, undertaken during the process at different sections of the road

Name of the Village	Issues Raised	Suggestions of DPs (Response)	Mitigation Measures / Design Approach
VILLAGE- JATWAI DISTT- BULANDBHAHR (27/12/2014) VENUE- HOUSE OF Ex- PRADHAN XXXXXXXXXX	Encroachment	DPs said that they are well outside of RoW and clear space of 12-20 m is available.	Assistance to all encroachers and squatters as per Entitlement Matrix
	Widening option	Should be widened according to the land availability on either side of the road	Concentric Widening
	Employment	Would prefer permanent employment either with PWD or contractor. Temporary employment with contractor was also agreed upon.	As per the policy, contractor to give preference to local population
	Drainage	Provide drains on the both side of the road and internal road of the village	Covered Drainage facility in every urban area and earthen drainage in rural area
	Compensation	Cash compensation at replacement value	As per entitlement matrix, compensation will be provided at replacement Value
VILLAGE- GAHANA/GOBAR DHANPUR DISTT- BULANDBHAHR (27/12/2014) VENUE- HOUSE OF PRADHAN (MR. DEBENDRA CHOUDHURY) XXXXXX	Encroachment	DPs said that they are well outside of RoW and clear space of 12-20 m is available.	Assistance to encroachers and squatters as per R&R policy
	Widening option	Concentric Widening	Concentric Widening
	Drainage	Provide drain along with road to reduce water logging	Covered Drainage facility in every urban area and earthen drainage in rural area
	Compensation	Cash compensation at replacement value	As per the policy, compensation will be provided at replacement value
	Safety	Speed breakers be provided at the both end of the village	Various safety signage will be provided. Footpath and safety railing in every urban area. Project has a Separate component on road safety.

Name of the Village	Issues Raised	Suggestions of DPs (Response)	Mitigation Measures Design Approach /
	Widening Option	Concentric Widening as per the clear space available	Concentric Widening
VILLAGE- SALGAWAN DISTT- BULANDBHAHR (16/04/2015) VENUE-INFRONT OF GOVT. SCHOOL (PRADHAN: JAIMAL SINGH)	Employment	Permanent employment either with the government or private	As per the policy, contractor to give preference to local population.
	Drainage	Provide drains on both side of the road	Covered Drainage facility in every urban area and earthen drainage in rural area
	Shifting of religions structure	To avoid the demolition of small temple. Village community should be consulted.	It will be tried not to relocate or demolish the religious structures,
	Compensation	Cash compensation at replacement value	Compensation will be provided at replacement value as per the Entitlement Matrix
	Employment	DPs demand for Employment opportunities	As per the policy, contractor to give preference to local population
	Drainage	Provision of drainage system should be facilitated	Covered Drainage facility in every urban area and earthen drainage in rural area
VILLAGE- BIROULI DISTT- BULANDBHAHR (27/12/2014 & 17/04/2015) VENUE- PRADHAN HOUSE (MRS. BIRBATI) XXXX	Compensation	Cash compensation at replacement value	As per the Entitlement Matrix, compensation will be provided at replacement value
	Widening Option	Road should be widened on both side as per the clear space available	Concentric Widening
	Drainage	Drains should be provided	Covered Drainage facility in every urban area and earthen drainage in rural area
	Compensation	Should be provided at replacement value	Compensation at replacement value as per the entitlement matrix
VILLAGE- BIRPUR DISTT- BULANDBHAHR (28/12/2014 & 17/04/2015) VENUE-HOUSE OF PRADHAN HARBEER SINGH XXXX	Safety	Speed breaker and median should be provided,	Footpath and safety railing in every urban area
	Widening Option	Road should be widened on either side	Concentric Widening
	Drainage	Drains should be provided	Covered Drainage facility in every urban area and earthen drainage in rural area
	Compensation	Should be provided at replacement value	Compensation at replacement value as per Entitlement Matrix
	Safety	Speed breaker and median should be provided,	Footpath and safety railing in every urban area. Project has a separate component on road safety

Name of the Village	Issues Raised	Suggestions of DPs (Response)	Mitigation Measures / Design Approach
	Employment	Permanent employment either with the government or private	As per the policy, contractor to give preference to local population. DDR implementing Consultant/NGO will provide training for self-employment for eligible DPs
VILLAGE- JIROULI DISTT- BULANDSHAHR (28/12/2014) VENUE- PRADHAN HOUSE (MR. RAHUL SINGH) XXXXXXX	Encroachment	DPs said that they are well outside of RoW and clear space of 12-20 m is available.	Assistance to all encroachers and squatters as per Entitlement Matrix
	Widening option	Should be widened according to the land availability on either side of the road	Concentric Widening
	Employment	Would prefer permanent employment either with PWD or contractor. Temporary employment with contractor was also agreed upon.	As per the policy, contractor to give preference to local population
	Drainage	Provide drains on the both side of the road and internal road of the village	Covered Drainage facility in every urban area and earthen drainage in rural area
	Compensation	Cash compensation at replacement value	As per entitlement matrix, compensation will be provided at replacement Value

B. Focus Group Discussions with Specific Groups

Focus groups provide more in-depth insights on people's views about the project and specific needs. Focus groups can reveal a wealth of detailed and in-depth information on the issue of a particular group. Focus groups were held for women, business men and farmers, all three of these groups are considered as special stakeholders of this project whose views were particularly important to include in the design of this Due Diligence Report.

1. FGDs with Women along the Project Road

Women focus groups were conducted in Jatwai, Salgawan, Birouli and Birpur. It is important to mention that after constant efforts to involve women, many were not willing to participate in the FGDs and participation was limited to 91 women. Key concerns raised related to property acquisition during road construction, safety concerns with the road impact on existing public infrastructure.

Table B: Women FGDs

Participants	Issues raised by Women	Observations and Suggestions
FGDs for Women participants	<ul style="list-style-type: none"> Women are not sure about the exact road alignment as no centre line pillars nor are any other benchmarks marked. 	<ul style="list-style-type: none"> Women were made apprised about the project and road alignment.

Participants	Issues raised by Women	Observations and Suggestions
Village- Jatwai Village- Salgawan Village-Birouli Village-Birpur	<ul style="list-style-type: none"> Women of the affected structures/land requested to realign the road, so that their structures/land may not be affected. 	<ul style="list-style-type: none"> They were told that the project is not going to acquire the private land, however, the structures within corridor of the impact, will be adequately compensated.
	<ul style="list-style-type: none"> Women enquired about the compensation that shall be provided to them. 	<ul style="list-style-type: none"> Compensation will be paid as per Basic Schedule rate of PWD, which will be equivalent to replacement cost of the structures. There will be no depreciation of cost estimation
	<ul style="list-style-type: none"> Road safety measures should be provided. 	<ul style="list-style-type: none"> Road safety signs would be provided at various locations to avoid accidents
	<ul style="list-style-type: none"> Provision of a bus stop and public conveniences should be made 	<ul style="list-style-type: none"> The Technical Design team will be apprised by this requirement. And they will provide the Bus Stop at appropriate Place.
	<ul style="list-style-type: none"> Employment 	<ul style="list-style-type: none"> The eligible women will be given preference in employment during construction of the road
	<ul style="list-style-type: none"> Equal wage for equal task 	<ul style="list-style-type: none"> The women were ensured that the women, who will be working for the project will be given equal wage for equal work
	<ul style="list-style-type: none"> Skill up-gradation Training 	<ul style="list-style-type: none"> Skill up gradation training will be given to affected women within project preview
	<ul style="list-style-type: none"> Human Trafficking/ Child labour/ Health (HIV/AIDS) 	<ul style="list-style-type: none"> The women group were made aware on human trafficking, child labour, road safety and road related diseases
	<ul style="list-style-type: none"> Impact on drinking water (i.e. hand pump) should be shifted in another place for villagers. 	<ul style="list-style-type: none"> The relocation of affected source of water will be properly shifted

2. Consultation with Farmers & SC group along the Project Road

To understand the concern of farmers and SC group, a consultation with them has been initiated by the consultant team in Birpur (km. 49.000), Jirauli (50.500), Amarpur (52.500) and Salgawan (Km 28.000) Village in the district of Bulandshahr. The farmers of this region largely depend upon agriculture and sugarcane is the main crop of the project area followed by wheat. A total of 55 farmers and SC person participated. Their key concerns related to land acquisition and fair compensations.

Table D: Farmers & SC community FGDs

Participants	Issues raised by Businessman	Observations and Suggestions
<ul style="list-style-type: none"> FGDs for with Farmer and SC Communities at 	<ul style="list-style-type: none"> Awareness about the project and project features 	<ul style="list-style-type: none"> The participants were made apprised about the project and road alignment.

Participants	Issues raised by Businessman	Observations and Suggestions
<p>Birpur, Jirauli, Amarpur and Salgawan</p>	<ul style="list-style-type: none"> • Avoid acquisition of land 	<ul style="list-style-type: none"> • The Farmers were told that all the efforts is being made not to acquire the private land for up gradation of road. However, if required, the land will be acquired through private negotiations with affected farmers, following a GO (government Order) of Govt. of Uttar Pradesh. It will be prudent to mention here that the Govt. of U.P has recently issued a GO for direct purchase of the land from landowners through private negotiations. To acquire the land through this latest policy, LA will be easier and convenient not only for govt but also in the benefits of the farmers. If acquisition through this policy fails, the LA may be resorted as per RFCT LA R &R act 2013.
	<ul style="list-style-type: none"> • Adequate Compensation/ of land 	<ul style="list-style-type: none"> • The project is not interested in acquiring the private land as existing ROW is sufficient to accommodate the improvement, however, if required, the compensation of the acquired land will be almost 4 times of the prevailing market rate in rural areas as as per RFCT LA R &R act 2013 or GO of U. P state on new policy
	<ul style="list-style-type: none"> • Facilitation in transporting the agricultural product to main market 	<ul style="list-style-type: none"> • The farmers were very happy to know about the project. They opined that the improvement will certainly increase their income and social status.
<ul style="list-style-type: none"> • FGDs for with Farmers Communities at Bharal 	<ul style="list-style-type: none"> • Awareness about the project and project features 	<ul style="list-style-type: none"> • The participants were made apprised about the project and road alignment.
	<ul style="list-style-type: none"> • Avoid acquisition of land 	<ul style="list-style-type: none"> • The Farmers were told that all the efforts is being made not to acquire the private land for up gradation of road. However, if required, the land will be acquired through private negotiations with affected farmers, following a GO (government Order) of Govt. of Uttar Pradesh. It will be prudent to mention here that the Govt. of U.P has recently issued a GO for direct purchase of the land from landowners through private

Participants	Issues raised by Businessman	Observations and Suggestions
		<p>negotiations. To acquire the land through this latest policy, LA will be easier and convenient not only for govt but also in the benefits of the farmers. If acquisition through this policy fails, the LA may be resorted as per RFCT LA R & R act 2013.</p>
	<ul style="list-style-type: none"> • Adequate Compensation/ of land 	<ul style="list-style-type: none"> • The project is not interested in acquiring the private land as existing ROW is sufficient to accommodate the improvement, however, if required, the compensation of the acquired land will be almost 4 times of the prevailing market rate in rural areas as as per RFCT LA R & R act 2013 or GO of U. P state on new policy

Annex 6- Details on the data collected for Gender Analysis

A. Impact on Women in Uttar Pradesh Major District Road Investment Program of UPPWD (Uttar Pradesh key gender indicators):

1. Though **Uttar Pradesh** has made significant progress in recent years, the **Education**, employment and health status of women in Uttar Pradesh is worse than that of men. According to the latest demographic data (Census 2011), the gender ratio of the state stands at 912 females per 1000 males. Gender ratio had constantly increased over the last three decades though it is still lower than the current national average of 933.

B. Gender Issues

2. Discussion with women in the project area shows that women work both for the labour market mostly as agricultural labour and for the household. Some of this work is recognized and remunerated, while most of it is not enumerated and remains unpaid. Women's contribution to the household, economy and society goes unrecognized since most of the activities females are involved in do not enter the sphere of the market and remain non-monetized. Most of the work undertaken by women is often interspersed with other household chores, making it difficult to separate the various tasks performed. The perpetuation of gender stereotypes and the social division of labour that typecasts women mainly as workers in the domestic sphere has been the chief barrier to the recognition of women's economic work participation. Non-recognition of women's participation in economic activities is not only an outcome of (a) their work being intertwined with household activities; and (b) being unpaid, making it difficult for enumerators to identify women as workers, but also stems from flawed definitions and the limited scope of economic activity.

C. Gender Disparity in Sex

3. Uttar Pradesh has very low sex ratio reflecting the deteriorating situation of women in the state. In addition to the worsening mortality conditions, some of the reasons for this decline lie in increasing economic pressure for survival and sex selective migration. Uttar Pradesh has always recorded sex ratio below the all-India level and one primary reason is female infanticide and preference of son. The situation is not good in the project road where sex ratio is 894 as compared to 912 in the state and 943 in the country. With regards to Sex Ratio in Bulandshahr, it stood at 896 per 1000 male compared to 2001 census figure of 879. The average national sex ratio in India is 943 as per latest reports of Census 2011

Table 3: Sex Ratio

Location	Sex Ratio	
	2011	2001
Project road	894	
Bulandshahr	896	879
Uttar Pradesh	912	898
India	943	934

Source: Census of India, 2011 and Field Survey results.

D. Female Literacy Rate

4. Will improvement in female literacy ensure greater gender equality can be stated with a certain degree of certainty that improving the education of women will lead to gender development; it is difficult to affirm that improvements reflected through this variable of

female literacy alone will be sufficient to bring about women's equality.

Table 5: Female Literacy and Gender Gap in Literacy

Location	Female Literacy in %	Rank	Gap in Literacy in %	Rank
Project road	57.43		14.17	
Bulandshahr	60.65		17.30	
Uttar Pradesh	42.98	4	27.25	3
India	54.16		21.69	

Source: Census of India, 2011 and Primary Survey

5. As the table above shows, female literacy is extremely poor in Uttar Pradesh is ranked among the top 5 worst states in terms of women's literacy. The state also has high gender gap in literacy. This could be because of low enrolment of girl child in coupled with high dropout rate. However in the project road, female literacy rate is much higher than the state and national average. Though there is gap in literacy rate, it is much less than state and national figure.

E. Women's Health

6. The NFHS III findings highlight that in U.P. 53 percent of the respondent women (between the age of 20-24) were married by the age of 18. While this figure was 30 percent in the urban area, it was a high 60.1 percent in the rural area. 14.3 percent women between the age of 14-19 were already mothers or pregnant at the time of the Survey. The situation in project corridor is no difference as mean age of marriage for girls is 17 years.

7. Public Hospitals are available in the district headquarters of Bulandshahr for the people. However, PHC (public health centre) exists at several locations like Anoopshahr, Jirouli Jahangirabad, and Debai village etc.

F. Women's Role in Household Economy

8. The predominant activity of women is household work where they spend most of their time. Additionally, women spend time in supporting their male partner for the agricultural activities. Women also participate in the allied activities and spent time for livelihood in agricultural and non-agricultural laborers. Details of the activities of women are given in **Table 6:**

Table 6: Usual Activity of Women

Usual Activity	N=60	%
Cultivation	38	63.33
Allied Activities*	6	10.00
Collection of fuel fodders	30	50.00
Trade & Business	2	3.33
Agricultural Labour	30	50.00
Non Agricultural Labour	30	50.00
HH Industries	0	0.00
Service	3	5.00
Households Work	60	100.00
Relaxation & Entertainment	25	41.67

Source: ICT Socio-economic Survey, 2015

G. Decision Making Power among Women DPs

9. During the socio-economic survey of DPs and group discussion, various issues related to household matter were raised viz., their importance in financial matter, child's education, child's health care, purchase of assets, day to day activities, marriages and other functions, etc. As the table below shows women participation in socio-cultural activities is very low, therefore they lag behind men on almost all the socio-economic indices. Majority of women have said that they do not have any decision making power at household level. But the women's are only able to take decision related to education and health of child. In the matters of financial, purchase of assets, day to day activities, social functions, marriages and local governance, only male member of the households give the final decisions.

Table 8: Decision Making Power among Women

Activities	Number of Women Respondents	Percent of Women Saying Yes	Percent of Women Saying No
Financial matter	60	13.33	86.67
Child's education	60	100	0.00
Healthcare of child	60	100	0.00
Purchase of assets	60	25	75.00
Day-to-day activities	60	31.25	68.75
Social functions	60	15.62	84.38
Others			

Source: ICT Socio-economic Survey, 2015

H. Accessibility to Infrastructures facilities/ Amenities

10. Amenities and facilities, which concerns women is very important in determining the status of the women in their daily life. During survey the availability of these facilities to women has been assessed. The result was as follows:

Table 9: Accessibility to Infrastructures facilities/ Amenities

Description	Facility	Distance from home (average)	Number of trips/time spend	Remarks
From where you get drinking water?	Hand Pumps/ Public Well	0.100 m. to 0.200 m	1-2trips/ 1 hours	
From where you get health service	Village/block/ District	1-15 km	Around 1-2 hour	
What are the main problems with health services	PHC level/Sub Centre level/ civil hospital level	Distance, doctors not available sometimes, medicines also not available some times		
Do you have latrine	65% Households have no toilet facilities			lack of awareness for hygiene.
Do you use community latrine	No			
Do you go for open defecation	Yes	Distance from home- 0.5-1 Km	1 km, not safe	

Source: ICT Socio-economic survey, 2015

I. Key findings on Gender Specific issues during Socio-economic Survey and Focus Group Discussions

11. With regard to the discussion on division of labor at work and at home, most of the women reported that they look after their reproductive and productive roles simultaneously by working in fields as well as taking care and maintenance work of the household, such as cooking, washing, cleaning, nursing, bearing and looking after children etc. The agriculture or non-agriculture related productive works that can generate cash income are therefore preferred to be done at home, or near home by the women. When such opportunities are not available entire family resorts to migrate to other village/ urban centers. Overall during the FGDs, the women reported to have limited mobility and therefore expressed their preference near their homes. In case of distant places they expressed their preference prefer to work either in groups or move in groups as this gives them confidence. The following reasons were cited by the women for their preference to work near their homes:

- Lack of access and control over vehicle
- Walking long distance is tiring
- Cannot leave small children unattended
- Have never been trained on specific skills to take up skilled jobs
- Fear of working in unknown environment
- Household work can be attended
- Mobility in group enables them to respond to the constraints related to security risks

12. As per the findings of FGD with women group the perceived benefits from the sub-projects are:

- Improved access to social facilities like health, education
- Increase in income generating activities
- Frequent and affordable transport
- Management of emergency situation
- Improved community relations
- Increased frequency of health workers, extension workers visits
- Improved access to market
- Reduced time spent on firewood collection
- Less flooding
- Side pavements will make walking easy

13. The women group consulted could perceive little negative impacts of road improvement in their lives since the benefits perceived were far stronger. The negative impacts could not be easily articulated by the communities apart from loss of assets. However, along with the loss of assets the following negative impacts were also recorded:

- Loss of assets as a result of the road construction
- Loss of assets especially in the case of Female Headed Households
- Discrimination in wage payment, if employed
- More dependence of mechanized techniques in road construction likely to have very little opportunity for labor for women

14. During the socio-economic survey and Focus Group Discussion, it has been observed

that more than 70% women (weaker section) go to market on foot and 30% used public transport for market and other activities. The villagers use buses or private transport to reach the district headquarters. Average cost per trip to District Headquarter is Rs.25-35 per person. The most common destination of the villagers is the district town or nearby Block/town

J. Human Trafficking

15. During the course of census, socio-economic survey and public consultations it was revealed that no cases of human trafficking are reported nor any records found from nearest police station. People are very much aware of this.

Annex 7- Template Public Consultation and Disclosure Plan

Activity	Task	Agencies	Timing (Date/Period)	Completed/still to be conducted	Remarks
DDR Disclosure	Disclosure of the DDR on ADB's and the EA's websites	ADB-EA			
DDR information dissemination	Distribution of information leaflets in local language	PIU Field Office /Implementing NGO			
Dissemination local Grievance Officer contact information	Post contact number/location of local PIU Grievance Officer in strategic locations	PIU Field Office			
Consultative meetings with Aps (ongoing)	Discuss potential impacts of the sub-project	PIU Field Office / Implementing NGO	Quarterly		